



Welfare to Work Handbook

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California Work Opportunity and
Responsibility to Kids (CalWORKs)

San Francisco Human Services Agency
City and County of San Francisco



SAN FRANCISCO
HUMAN SERVICES AGENCY

Welfare to Work Handbook

Disclaimer: The information provided in this Handbook is only general guidelines and information. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and procedures described. For that reason, if you have any questions concerning eligibility for a particular benefit, or the applicability of a policy or practice to you, you should address your specific questions to the Human Services Agency.

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Section 70 - Introductory Information

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
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70-1: Introduction

I. About CalWORKs

A. Time limits

Welfare reform legislation created significant changes in the availability of aid to families, and the programmatic response required of county welfare departments. The five-year lifetime time limit for receiving aid imposed by the State of California necessitated the development of a comprehensive system for moving people from welfare to work.

Effective January 1, 2013, the following three time clocks are tracked and run concurrently;

- TANF (Federal) 60-Month Time Clock
- CalWORKs (State) 48-Month Time Clock (effective 1/1/13)
- WTW 24-Month Clock (effective 1/1/13 after the signing of an Employment Plan)

Effective July 1, 2011, the CalWORKs time limit for adults was reduced from 60 months to 48 months. All months on aid received from January 1, 1998 are counted, unless the participant was granted a time limit exemption. The Federal Temporary Assistance for Needy Families (TANF) 60-month time clock does not change.

Effective January 1, 2013, California enacted Senate Bill (SB) 1041, which introduced a 24-Month Time Clock (MTC) for Welfare-to-Work (WTW) activities and participation hours.

B. Increased Resources

In order to achieve the employment objectives, additional resources have been made available. These include specialized assessment services, childcare, employment and training opportunities, mental health and substance abuse services, and domestic violence services.

C. The Critical Roles of Case Managers

Social Work Specialist

The Social Worker Specialist (SWS) has the responsibility of conducting the appraisal with the participant, after the participant has completed the CalWORKs Orientation.

The Online CalWORKs Appraisal Tool (OCAT) provides a critical first look at the participant's background information. The OCAT is used to provide a detailed comprehensive appraisal. This comprehensive appraisal gives the Case Manager and participant a summary of the participant's strengths and barriers associated with possible work activities, barrier identification information, and work support recommendations.

Employment Specialist

The Welfare-to-Work Employment Specialist has the responsibility for the overall coordination, and continued case management of the Participant's WTW plan, while moving participant from welfare to self-sufficiency.

Good communication between the participant and their Case Manager is essential to navigating the tight course between the participant's immediate need to get a job, and the long-term goals of personal and financial stability.

It is vital that the Case Manager work in union with the participant to develop a good plan. The Case Manager must also monitor the participant's activities regularly to address any unidentified barriers.

II. San Francisco CalWORKs Policy Statement

The purpose of the CalWORKs Welfare-to-Work Program is to promote self-sufficiency while ensuring family stabilization. The Welfare-to-Work Program is a comprehensive Employment and Training Program, which is also designed to meet Federal and State work participation requirements. CalWORKs recipients are assessed to determine the best course of action. This is achieved through immediate placement into a job, placement into an education or vocational training program, participation into various subsidized employment activities, engagement in supervised job search, or a combination of concurrent activities that meet work participation requirements.

CalWORKs recipients who are not exempt must participate in the Welfare-to-Work Program. All Welfare-to-Work participants receive an orientation to the program. Recipients also receive an educational and employment background appraisal, followed by the development of an Employment Plan. The Employment Plan is designed to assist individuals with obtaining employment. WTW participants may be eligible to supportive services such as childcare, diaper payments and/or transportation benefits.

Unless exempt, CalWORKs recipients must participate in the WTW Program for a minimum number of hours each week. Weekly participation hours are determined by each family's

household composition (i.e. number of eligible parents and children who live in the household, as well as, the age of the children).

- Our first priority is to the CalWORKs Participant. Our charge is to provide Welfare-to-Work activities with the greatest likelihood of initiating and/or enhancing the participant's labor market connection. It is also our obligation to provide the needed knowledge to participants, so that they may obtain, retain and advance in their chosen careers.
- Job seekers who approach a potential employer with experience and references have an advantage over the job seeker who approaches an employer with a certificate, and no experience. At every opportunity, we refer CalWORKs Participants to job search and work experience activities.
- Time constraints imposed by TANF legislation make it more important than ever to make career decisions based on solid information, and not based on chance or marketing. We will refer all participants interested in a career change, or participants entering into a new career to a targeted vocational assessment, prior to entering into a WTW Employment Plan, that includes vocational and/or educational training.
- Lifelong learning and continuous education, is the best means to remain competitive in the labor market. We will assist the working participant with career advancement and skills enhancement.
- Our responsibility is to be aware of and to intervene in any potential difficulties that the participant may be experiencing when attending an approved training program. At a minimum, we will monitor progress, request reports, and other verification of satisfactory work from the participant and/or training institution on a monthly basis.
- Despite our efforts, if a CalWORKs Participant is unable to complete their training program, there will be an immediate revision of their WTW Employment Plan, to include other activities, within the remaining time limit.
- Despite our efforts, each CalWORKs participant who has completed an approved training program, who is unsuccessful in obtaining employment, will receive additional services designed to provide relevant job experience in the field, which matches the training they received. We will utilize WTW activities involving work experience to include community services, transitional employment, paid work experience, unsubsidized employment, etc. as deemed appropriate.

III. Purpose and Scope of this Handbook

A. Purpose

The purpose of this handbook is to provide a step-by-step guide for CalWORKs Welfare-to-Work staff in carrying out the tasks involved in moving Participants into the workforce and toward self-sufficiency. This handbook is meant to be helpful to the workers charged with coordinating and delivering Welfare-to-Work services.

B. Scope

This Employment handbook focuses primarily on Welfare-to-Work activities, with additional sections on supportive services, status issues, non-compliance, sanctions, and CalWIN. The Table of Contents immediately preceding this section lists the subject areas included in this handbook. The WTW Trainer Provider List describes the various approved education and training programs available to WTW Participants. It is located on the O: drive.

Copy and paste the following link into your web browser: O:\Employment Services\IR\Vendor List

Procedures for other areas related to aid to families are described in their own manuals:

- Eligibility
- Food Stamps

C. User feedback is Essential

In order to ensure that this handbook is and continues to be useful, user feedback is essential. Please communicate any problems you have experienced in using this handbook as well as your suggestions to your immediate supervisor or to the WTW Handbook Technical Writer.

IV. Handbook Organization and Layout

A. Organization

In carrying out the tasks of moving individuals from welfare to work, there are multiple layers of activities involving multiple sections of this handbook. For example, many activities involve making referrals, or monitoring progress. In order to confine policy information or instructions for a particular process to only one place in the handbook - and thereby avoid problems of modifying or updating a procedure and then risk having it remain in its old form in another section of the handbook - we have made extensive use of cross-referencing.

Major sections are as follows:

Section 70: Introductory Information

Section 71: Pre-enrollment, Enrollment and Status Issues

Section 72: Entry to Welfare-to-Work

Section 73: Welfare-to-Work Activities
Section 74: Supportive Services
Section 75: Case Management
Section 76: Noncompliance
Section 77: Grievance Procedures
Section 78: Glossary and Forms

B. Layout

Each section of this handbook is broken down into the following sub-sections:

1. Introduction

This provides a definition and some basic general information about the topic of the section.

2. References

This part provides information from legislation and policy documents that serve as the basis for the section. Reference sources include the original state law (AB 1542), State Department of Social Services policy and regulations, and local policies. This section also includes cross-references to other relevant handbook sections.

3. Policy

This part provides some detail of state and local policy that form the basis for the procedures to follow.

4. Process

This part provides instruction on what to do. In general, it flows from the general to the specific and also in a chronological, or step-by-step, fashion.

5. CalWIN

This part provides information on how the actions taken in this section are to be entered into CalWIN.

6. Forms

This section contains a table, which lists and describes forms used in carrying out the actions for the section.

Agencies created forms are accessible at the CalWORKs Forms link on the HSA intranet site. CDSS forms are also available thru a link provide on the site.

All English forms (originals) are in the left column under the appropriate form number. The language-translated form (Spanish, Chinese, etc.) are located in the right column of the table.

Please note that some forms may not have been translated to date. Check appropriate shelves or forms locations for related forms.

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70-3: Flowchart: Welfare-to-Work Track Process

The following is a breakdown of the Welfare-to-Work track process:

Client/Applicant > Diversion (if the client/applicant can be diverted to other services, programs or community-based assistance)

Client/Applicant > Ineligible (no services or referrals provide)

Client/Applicant > Eligible > Orientation > Appraisal > Assessment > Employment Plan > WTW Activities > Post Aid Services

1. **Orientation** - Introduction to CalWORKs and Welfare-to-Work, Rights and Responsibilities, Participant Background Information Completed.
2. **Appraisal** - The case manager provides the initial foundation for the WTW case and works with participant to determine next steps. In the appraisal appointment, the case manager:
 - Reviews participant's background information
 - Identifies key strengths and barriers to WTW participation
 - Identifies a WTW path for the participant which may include engagement in WTW activity, exemption and/or auxiliary social work services

Case Manager and participant decide next steps:

- JobsNow! Job Match / CJP1
 - Education / TVA Workshop
 - Unsubsidized Employment
 - Exemption
 - Family Stabilization
3. **Assessment**:- Development of Employment Plan which is a contract between HSA and participant after completing assessment to engage participant in a WTW activity. In the assessment appointment, the case manager will assess the most appropriate activity going forward based on the participant's current level of work readiness.

The following information will be discussed with the participant when developing a new plan:

- The participant’s WTW participation requirement based on AU composition;
- The participant’s current CalWORKs 48-Month Time Clock and WTW 24-Month Time Clock;
- The participation flexibility during the WTW 24-Month Time Clock period, including the elimination of the current core and non-core hourly requirements and the scope of activities that they may participate in;
- WTW supportive services;
- The criteria for WTW exemptions;
- The conditions that allow a month to not count toward the CalWORKs 48-Month Time Clock and WTW 24-Month Time Clock; and
- The post WTW 24-Month Time Clock participation requirements.

4. Welfare-to-Work Activities:

CalWORKs Activities for 24-Month Time Clock	CalWORKs (Federal) Activities Outside 24-Month Time Clock
No Core Activity Requirement	Core Activities
<ul style="list-style-type: none"> • Unsubsidized employment • Subsidized private or public sector employment • Work experience • Community service • Vocational education • On-the-job training (OJT) • Grant-based OJT • Job search • Job readiness • Self-employment • Supported work and transitional employment • Work study • Mental health, substance abuse, domestic violence services 	<ul style="list-style-type: none"> • Unsubsidized employment <ul style="list-style-type: none"> ○ Self-employment • Subsidized private or public sector employment <ul style="list-style-type: none"> ○ Grant-based OJT ○ Work study • Work experience • Community service • Vocational education (12-month lifetime limit) • OJT • Job search and job readiness <ul style="list-style-type: none"> ○ Mental health services ○ Substance abuse services
<ul style="list-style-type: none"> • Job skills training directly related to employment • Education directly related to employment • Satisfactory attendance in a secondary school or in a course leading to certificate of general equivalence (GED) • Adult basic education (reading, writing, arithmetic, high school proficiency or GED, and English-as-a-Second-Language) • Participation required by school to ensure child’s attendance • Other activities necessary to assist in obtaining employment <ul style="list-style-type: none"> ○ Non-credited study time 	Non-Core Activities
	<ul style="list-style-type: none"> • Job skills training directly related to employment • Education directly related to employment (for individuals with no high school diploma or equivalent) • Satisfactory attendance in a secondary school or in a GED course

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5. **Post-Aid Services** - Includes; problem-solving, promotions, support services and career advancement.

Support Services	Community Resources
<ul style="list-style-type: none"> • Childcare • Transportation • Diapers (if applicable) • Other Support Services 	<ul style="list-style-type: none"> • Department of Public Health, Housing Authority, Department of Rehabilitation, EDD • One Stop Center • City College of San Francisco • DOL • Bay Area Legal Aid • Mental Health Services • Substance Abuse Services • Domestic Abuse Services

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70-6: San Francisco Operation Plan For Implementing CalWORKs

NOTE: This section is under construction.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
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70-7: County Work Participation Rate

I. Introduction

The Deficit Reduction Act of 2005 (DRA) and the Federal Interim Final Rule introduced major changes to the Temporary Assistance for Needy Families (TANF) Program. Despite the changes that have been made to the TANF program at the federal level, the structure of the California Work Opportunity and Responsibility to Kids (CalWORKs) Welfare-To-Work (WTW) program has not changed, with the exception of the elimination of durational WTW sanctions. CalWORKs regulations continue to require counties to offer a broad range of employment and education activities, behavioral health services, and other activities necessary to help recipients achieve self-sufficiency (Welfare and Institutions Code Section 11322.6).

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): 06-06, 07-03, 07-05, 08-07, 08-08, and 08-55, 09-07

B. Cross-references to Other Sections of This Handbook

Sections 73-1 to 73-19: Welfare to Work Activities
Section 75-4: Progress Monitoring

C. Other cross-references: WTW PIM 08-01

III. Policy

A. Major Changes to the TANF Program

1. County Work Participation Rate (CWPR) – Caseload Reduction Credit (CRC)

Effective Federal Fiscal Year 2007, the DRA changes the base year for calculating the CRC from FFY '95 to FFY 2005. This change requires the State to meet the WPR requirements without the benefit of the substantial case load reductions achieved between FFY 1995 and FFY 2005.

Required WPR is 50% for all families (one - and two parent families) and 90% for two-parent families.

2. New Populations Subject to the Work Participation Rate

- Separate State Programs Funded with TANF Maintenance of Effort (MOE) Dollars is now subject to the WPR requirements. Two Parent families are included to determine the CWPR. With this change in the DRA, the two-parent families program is now subject to the 90 percent WPR requirement
- The adult that has exceeded 48-month TANF time Limit (Timed-Outs Adults/Safety Net Cases)
- Fleeing Felons and Drug Felons

3. State Work Verification Plan (WVP)

The DRA required the Department of Health and Human Services (DHHS) to submit a WVP that addresses the State's definitions of federally countable activities, procedures for verification of hours, definition of a work-eligible individual, and a description of internal controls that the state and counties will use to ensure compliance with the procedures established in the WVP.

The state will be held accountable for complying with the WVP through federal audits and other means. A penalty for failing to comply with the WVP begins at one percent of a state's TANF Block Grant for the first year of noncompliance with the approved WVP, and increases by one percent for each subsequent year of noncompliance up to five percent. The penalty for noncompliance with the WVP is in addition to any other penalties associated with not meeting the WPR.

a) Work - Eligible Individuals

Work eligible individual is an Adult (or minor child head of household or minor parent who is married to HOH) receiving Assistance under TANF or a separate State program or a non-recipient parent living with a child receiving such assistance unless the parent is:

- A minor parent and not the head-of-household
- A non-citizen who is ineligible to receive assistance due to his or her immigration Status; or
- On a case-by-case basis, a recipient of Supplemental Security Income (SSI) benefits (Effective October 1, 2008, adult applicants of SSI may be retroactively determined to be not work-eligible once they are approved for SSI benefits)
- On a case-by-case basis, a recipient of Supplemental Security Disability Insurance (SSDI) benefits. (Effective October 1, 2008, adult applicants of SSDI may be retroactively determined to be not work-eligible once they are approved for SSDI benefits)

Also excludes:

- A parent providing care for a disabled family member living in the home provided that the need for such care is supported by medical documents, regardless of whether the disabled family member is attending school on a full time basis
- An individual receiving MOE-funded assistance under an approved tribal TANF program
- Further clarification on work-eligible individuals
- Disabled means the individual is receiving benefits from State Disability Insurance, Worker's Compensation Temporary Disability Insurance, In-Home Supportive Services, or the State Supplementary Program. For adult family members, disabled also means the individual is temporarily disabled and the disability is expected to last at least 30 days and significantly impairs the individual's ability to be regularly employed or participate in activities. For family members who are children, the disability significantly impairs his or her ability to participate in school activities. In addition to providing verification from a doctor of his or her disability, the individual will be required to actively seek treatment, if appropriate, as verified by a doctor
- Family member means the individual is a relative living in the household. A relative may be any relation by blood, marriage or adoption who is within the fifth degree of kinship to the dependent child, as defined in CDSS Manual of Policies and Procedures Section 82-808
- Paid barrier removal activities are counted under unsubsidized and subsidized employment

EXAMPLES:

- **A work-eligible individual is paid to cook meals while receiving treatment at a residential drug rehabilitation center.**
- **A work-eligible individual is paid for the time spent in mental health or substance abuse treatment.**

b) CalWORKs Program Requirements

To comply with program requirements, an adult in a one-parent assistance unit (AU) must participate, on a monthly basis, an average of 32 hours per week; adults in a two-parent AU must participate, on a monthly basis, an average of 35 hours per week (with one parent participating at least 20 hours). Adults are also required to participate for a minimum of 20 hours per week in core work activities, with the balance of their 32- or 35-hour per week participation requirement spent in other non-core activities that will aid in obtaining employment

c) Required verification/documentation

Participation hours are monitored and verified by county staff on a monthly basis. Monthly documentation/verification must be filed in the case folder.

d) Noncompliant participants

Individuals who do not comply with WTW program requirements are subject to a financial sanction equal to the adult's portion of the grant amount, in addition to the adult's removal from the AU.

e) "Timed-Out" Cases

To comply with new DRA Work Participation Rate Reporting Requirements, CalWIN has been modified to add two statuses to help tracking and reporting Timed Out participants in Employment Services. The two new statuses are:

- Timed-Out (Safety Net) is intended for identification of participants who are CalWORKs timed out and do not participate in WTW
- Timed-Out (Post Aid) is intended for identification of participants who are CalWORKs timed out and intend to participate or are participating in WTW activities

Employment Specialists should take the following steps to enter CalWIN processes for "timed-out cases":

1. Identify and review timed-out cases
2. Engage timed-out participants in WTW activities if they have not been engaged
3. Follow the instructions provided in the 'How To' Guide below to manually enter 'Timed-Out (Safety Net)', or 'Timed-Out (Post Aid)', or 'Post Aid Services' status in Employment Services
4. Enter WTW activities without an Employment Plan or WTW activities in an Employment Plan depending upon the assigned activities
5. Update activities statuses; enter Attendance, and absence hours
6. Enter case comments: what activity the participant is assigned to, when the activity will begin, and number of participation hours; OR, how the Employment Specialist attempts to engage the participant and why the participant does not want to participate in WTW

4. Federal Work Participation Requirements

Counties that fail to meet federal work participation requirements shall be required to share any penalty imposed on the state for failure to achieve the outcomes required by federal law.

As previously stated in the introduction of this HB Section, the following information is strictly for federal data reporting purposes only and does not address CalWORKs rules nor change the CalWORKs program.

a) Federal Participation Requirement

For all families:

A recipient is considered to be engaged in work for a month in the federal fiscal year if he/she is participating in work activities for at least a minimum of 30 average hours per week. At least 20 hours per week of the minimum average number of participation hours shall be in one of the core activities specified in 1) through 9) below.

Single parent or relative with child under age six:

A single parent or caretaker relative in the family of a child who has not attained six years of age, is deemed to be engaged in work if he/she participates in work activities at least 20 hours per week during the month in one of the core activities specified in 1) through 9) below.

For two-parent families:

A family is considered to be engaged in work for a month in the federal fiscal year if the parents are participating for a total of at least 35 hours per week, with at least 30 hours spent in one of the core activities specified in 1) through 9) below.

b) Welfare to Work Activities that may be used to meet the Federal Participation Requirement

1. Unsubsidized employment
2. Subsidized private sector employment
3. Subsidized public sector employment
4. Work experience, public or private sector, as well as a nonprofit, community-or faith-based setting
5. On-the-job training
6. Job search and job readiness assistance

The amount of job search and job readiness assistance activities by any individual that counts toward meeting federal work participation requirements is limited to four consecutive weeks and six weeks total in the preceding 12 months. (The six-week limit may be extended to 12 weeks if California's unemployment rate is at least 50 percent greater than the unemployment rate of the United States, or California is a "needy state" as defined in federal law.)

The state is required to consider participation of an individual in these activities for less than a full week, i.e., for only three or four days during a week, as a full week of participation, but only one time per individual in the preceding 12 months.

7. Community service;
8. Vocational education training (not to exceed 12 months for any individual);

9. Providing child care services to a participant in community service;

After at least 20 hours a week in one or more of the activities listed above (CORE hours), the following federally countable work activities may also be used to meet the federal participation requirement hours (NON-CORE hours):

10. Job skills training directly related to employment;
11. Education directly related to employment, in the case of a recipient who has not received a high school diploma or a certificate of high school equivalency;
12. Satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence, in the case of a recipient who has not completed secondary school or received such a certificate.

Details on definitions of the countable work activities, determination of countable hours, verification of actual hours, and methods of daily supervision for each countable work activity are in [CDSS All County Letter \(ACL\) 09-07](#).

5. How to count hours of participation towards the federal WPR

a) Actual Hours of Participation

Federal data reporting regulations require reporting and verification of actual hours of participation.

b) Projection of Hours

If an individual reports information on a SAR7 that meets the federal hourly requirement, those hours of employment will be projected as participation for a minimum of three months, consistent with the eligibility determination for the same period. However, if information is received that indicates a recipient's actual hours of work have changed, the hours of work must be re-verified and re-projected.

The newly reported number of hours worked will be counted for purposes of participation for the following activities:

- Unsubsidized employment
- Subsidized private sector employment
- Subsidized public sector employment
- On-the-job Training

c) Participation for Partial Months of Aid

If a family receives assistance for only part of a month, an adult in the family must be engaged in work for the minimum average number of hours in each full week that the family receives assistance in that month to be counted as meeting the monthly work participation requirement. Aid granted retroactively for a new applicant for prior months may be excluded from participation rate calculations.

d) Fair Labor Standards Act Deeming

The State plans to use the "deeming" provision permitted for determining the maximum monthly hours that a participant may participate in the following State CalWORKs WTW activities: unpaid work experience and unpaid community service. The State certifies that California has adopted a "mini" Simplified Food Stamp Program (SFSP) in order to count the value of food stamp benefits.

The State determines the maximum monthly hours of participation by combining the CalWORKs assistance unit's grant plus the assistance unit's portion of the food stamp allotment and dividing it by the State or federal minimum wage, whichever is higher. No more than the number of hours derived from the TANF grant and food stamp allotment calculation will be allowed as participation in these activities. If the actual number of hours of participation in work experience or community service is not sufficient to meet the core hourly requirement but meets the calculated hours, the State will deem 20 core hours.

When FLSA "deeming" is used, required hours will be tracked and recorded using the verification and documentation procedures for the work experience and community service activities.

If State policies or procedures differ for work experience and community service programs on FLSA deeming, the State should make those differences clear.

There is no difference in FLSA deeming for work experience and community service

e) School Attendance

For federal data reporting purposes, satisfactory school attendance is regular attendance, in accordance with the requirements of the secondary school or course of study, at a secondary school or in a course of study leading to a certificate of general equivalence, in the case of a work-eligible individual who has not completed secondary school or received such a certificate.

Satisfactory school attendance is primarily an activity for minor parents and will only include other related educational activities, such as adult basic education or language instruction, when they are required for completion of a General Educational Development (GED) credential. Hours of participation attending high school in a vocational education track may be counted under this activity.

In addition, case management services are provided to minor parents in this activity. Case management involves directing and coordinating a recipient's educational, health, and social services and may include ESL, career training, alternative school, tutoring, dropout prevention, and teen pregnancy or parenting programs. The case management programs are essential to this work category in that they address the special social service needs of minor parents.

Meeting these specific needs helps this group of recipients attain GED credential or attend secondary school, which helps minor parents achieve self-sufficiency.

f) Daily Supervision

The term "daily supervision" means that a responsible party has daily responsibility for oversight of the individual's participation without making in-person daily contact. Daily supervision can be achieved by telephone or electronic methods, as appropriate and at the same level as other employees, students, or trainees of the organization.

g) Verification of Participation

The 7024CW CalWORKs Monthly Attendance and Progress Report including information on Excused Absences and Holidays, the SAR7 form completed and signed by the participant with ALL the needed verifications, and Employer's Statements with the appropriate information are some of the verifications/documentation the County may use to verify actual hours of participation.

Documentation of Actual Hours of Participation and Verification of Income must be filed in the case file.

For educational activities, for purposes of verification, the person "verifying hours" is an individual (county or service provider or the responsible party) who confirms that the participant was enrolled in an allowable course of study for the period for which hours are being reported and the hours of participation correspond to the days of classes scheduled.

h) Unsupervised Homework Time

One hour of unsupervised homework time for each hour of class time is allowed on the condition that a statement from the educational program indicating the amount of homework required is included in the case file and that total homework time counted for participation will not exceed the hours required or advised by the educational program. Note: For all homework time, documentation must include a time sheet or record of participation hours signed by the individual verifying the activity. Documentation needed to support all the reported hours of participation in homework time is maintained in the case file.

i) Excused Absences and Holidays

The excused absence policy only applies to unpaid activities. In the circumstance where a participant in a paid activity is paid for the hours of an absence from that activity (such as a paid holiday or paid vacation), the actual paid hours are countable as participation. The excused absence policy allows the counting of absences on an hourly basis. Under this provision, up to 80 hours of excused absences may be counted in the preceding 12-month period, of which no more than 16 hours can occur in a month. Excused absences must be documented in the case file and verified.

The 7217 CW CalWORKs Excused Absences Log is used to track these excused absences and to determine work participation for each individual.

In addition, the following ten State holidays are also allowed in unpaid activities as excused absences:

- New Year's Day
- Martin Luther King, Jr. Day
- President's Day, Memorial Day
- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Day (and day after Thanksgiving)
- Christmas Day.

j) Job Search and Job Readiness

Job search and job readiness assistance (JRT/JCL) is limited to six weeks in the preceding 12-month period, no more than four weeks consecutively. A week is defined as 20 hours for a single custodial parent with a child under six and 30 hours for all others, or a total of 120 hours and 180 hours, respectively. The state is required to consider participation of an individual in these activities for less than a full week, i.e., for only three or four days during a week, as a full week of participation, but only one time per individual in the preceding 12 months.

For two-parent families, the four-consecutive-week and six-week time limits apply to each individual separately. For each work-eligible individual in a two-parent family, the six-week limit is converted based on the 30 core hours per week work requirement. Therefore, 180 hours of participation in JS/JRA may be counted for each work-eligible individual in a two-parent family in any 12-month period. The time limit for each work-eligible individual in a two-parent family accrues separately, and the hours cannot be combined to allow one parent to participate in JRT/JCL beyond 180 hours (six weeks) in the preceding 12-month period.

When counting any participation in JS/JRA toward the federal WPR under the six-week limit, there must be a break of at least seven consecutive days between every four consecutive weeks before a county can count any additional hours of JRT/JCL.

The amount of job search and job readiness assistance activities by any individual that counts toward meeting federal work participation requirements is limited to four consecutive weeks and six weeks total in the preceding 12 months.

k) Vocational Education

Education leading to a baccalaureate or advanced degree count as vocational education training, which is a federal core activity.

Please note that the 12-month lifetime limit on vocational education still applies and that participation beyond 12 months cannot continue to count as vocational education but may, if appropriate, still be counted as job skills directly related to employment.

IV. CWPR Process

The CDSS randomly selects CWPR monthly sample cases for each County. There is a Regular and a Supplemental CWPR sample as described below. The County has 75 days after the end of the sample month to report work participation information for these cases. Work participation must be verified and documented in each case.

Only the selected cases that meet the federal participation requirements in the sample month count towards CWPR.

The Regular sample is received on the 26th day of the month prior to the review month. This allows a week or so to focus on the Work Participation of the sample cases.

The Supplemental Sample is received on the 26th day of the month after the sample month.

EXAMPLE: At the end of January, we receive February's Regular sample. On March 26, we receive the Supplemental sample. Refer to "SF County WPR Escalation Process" flow chart at the end of the section under Forms And Supporting Documentation.

Workers follow the guidelines established in A.2, A.3 and A.4 described above to review the WPR cases and complete the surveys correctly and accurately.

A. Advance Review

CalWORKs supervisors receive a list of the sample cases at the end of the month for the following month. Supervisors and workers must immediately review the case(s) and, if necessary, take steps to ensure participants are fully engaged and their participation verified

and documented. This review must be followed by an Assessment appointment within five days of the Advance Review notice if participants are not participating or participating less than the required hours. Staff must verify and obtain necessary documentation to support participation or apply a sanction or exemption when appropriate. This activity must be documented in Case Comments.

These cases are the very highest priority. Make every possible effort to fully engage participants prior to the sample month or at the beginning of the sample month to increase the WPR. Use this advance notice to ensure seamless transitions between activities in the sample month.

EXAMPLE: If your participant's activity is scheduled to end on the 18th of the upcoming sample month, make every effort to schedule another activity to start on the 19th. ESQA Specialists will follow up to ensure that workers have complied with these Advance Review procedures.

B. WPR Month Review

At the beginning of each month, CalWORKs supervisors are notified via email that the WPR sample is in the WPR tool and ready to be completed with a deadline to complete the reviews/surveys. The sample includes the Advance Review cases and any supplemental cases added to the sample.

Workers complete reports on the county WPR Tool using the "Cheat Sheet-E2Lite Survey" (last revision 11/08) to assist them in entering the information correctly in the tool. All completed reviews are submitted on-line to their respective supervisor. After the completed reports are submitted, workers provide copies of relevant supporting documentation to their supervisors for approval. Work participation documents include, but are not limited to, Progress and Attendance Reports, QR 7s with copies of the appropriate (Data Month) Pay Stubs, Employment verifications, 7024CWs, etc.

If complete documentation is not in the case folder as part of the monthly monitoring of work participation, staff may use the Work Participation Verification Letter (CW 7004) to request verifications from participants. Refer to the section Forms and Supporting Documents.

Supervisors must establish deadlines for workers to submit surveys for supervisor review and approval.

Supervisors are responsible for reviewing the information for accuracy with corrections, and submit the surveys with copies of the supporting documentation, with a copy of the "Recap Page" of the on-line review showing the status as "Sent for final review" by the due date to the WPR Specialists.

The copy of the Recap Page serves as verification that the cases have been reviewed and approved by the respective supervisors.

The WPR Specialists finalize ALL sample cases.

C. CWPR Reporting to the State

Once the reviews are finalized by the WPR Specialists, the information is sent to the State by the due date each month. Normally this happens every 15th of the month.

D. Important Reminders

WPR staff review cases thoroughly and request additional information or clarification to maximize case compliance with WPR. WPR Specialists may contact staff directly if necessary. Workers must respond as soon as possible and no more than two days after receiving the request. Workers must forward any additional needed documentation timely.

Full Participation is determined by the total number of hours of each activity per month divided by 4.33.

THERE IS NO PARTIAL PARTICIPATION UNLESS THE APPLICATION DATE IS IN THE SAMPLE MONTH.

V. WPR Tools (Comma Separated Values - CSV Files)

At county option WPR data may be reported to CDSS in one of two ways: 1) via web-based tool (E2lite) or 2) via comma separated values (CSV) file (E2Lite automated). The WPR Tool is the CSV file used to report our CWPR data to the State.

A. WPR Tool

This tool is where the CWPR data is collected, analyzed and pulled every month to be reported to the State. It provides data based on the same specified data elements necessary to determine if each case in the sample is meeting federal work participation rate requirements. The WPR Tool provides the information to calculate the county's work participation rate.

B. WPR Tool and CalWIN

Demographic information for each case in the WPR sample is automatically entered in the WPR Tool from CalWIN.

VI. CalWIN Processes

Go the CalWORKs webpage on the intranet to access the CalWIN "How-to" for processing "Post Aid and Safety Net Timed-Out" case statuses.

VII. Forms

Forms #	Form Name	Purpose	Language
7024A CW (Contract)	CalWORKs Monthly Attendance and Progress Report	Serve as documentation/verification of monthly hours of contracted providers for clients participating in WTW services. The form includes information on Excused Absences and Holidays.	
7024B CW (Non-Contract)	CalWORKs Monthly Attendance and Progress Report	Serve as documentation/verification of monthly hours of non-contracted providers for clients participating in WTW services. The form includes information on Excused Absences and Holidays.	
7217CW	CalWORKs Excused Absences Log	Serve to track excused absences to determine individual's work participation.	
	SF County WPR Escalation Process	SF County WPR Escalation Process Flow Chart	
	Cheat Sheet-E2Lite Survey (last revision 11/08)	Cheat sheet to correctly enter the information from the WPR surveys in the WPR Tool.	
7004CW	Work Participation Verification Letter	Use to request verifications from participants at the time a WPR survey is completed and the case lacks documentation.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 71 - Pre-Enrollment, Enrollment and Status Issues

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 7/1/19

71-1: Diversion

I. Introduction

Counties provide a Diversion Program for CalWORKs applicants through State and Federal mandates. Diversion is a single payment of financial assistance to an individual (or to the appropriate vendor) who is eligible for, but does not require, CalWORKs assistance. The purpose of a single Diversion payment is to avoid the need for extended assistance.

In San Francisco County, the allowable maximum Diversion payment amount that may be issued without authorization by the Section Manager is \$3,500. This may be issued to the applicant or as a vendor payment.

Applicants must be eligible for CalWORKs in order to qualify for the Diversion program, and must be a resident in the county of application.

II. References

A. References from the Law and Regulations

All County Letters (ACL): 97-68; 81-215.31- 81-215.33

Welfare and Institutions Code (WIC): 81-215.51; 81-215.4; 82-215.2; SEC. 38. Section 11266.5, Section 11454.5(c); Section 145

California Assembly Bill (AB) no. 1542 Chapter 270, Statutes of 1997

Manual of Policies and Procedures: 42-302.22

B. References from San Francisco's Welfare-to-Work Operations Plan, Part IV.A. 2(b)

C. Cross-references to Other Sections of This Handbook

Section 75-2: Referral Procedures

Section 75-7: Job Retention Services

III. Policy

The WTW and Diversion programs offer flexible services at the point of entry to move people into the workforce as quickly and efficiently as possible.

Exempt and non-exempt recipients have the following options:

- Eligible exempt participants who are not mandated to participate in Welfare-to-Work activities are offered to participate as voluntary participants
- Non-exempt eligible participants are given the option to choose Diversion instead of receiving monthly aid payments

CalWORKs Orientation

Prior to approval, staff notify CalWORKs applicants that they may enroll in the Diversion Program. During the orientation process, staff informs exempt and non-exempt recipients regarding their obligations to participate in the CalWORKs WTW program.

In accordance with state and federal requirements, the county offers applicants several choices during the CalWORKs Intake Orientation:

1. Voluntary WTW participation to engage aided recipients as early as possible in Welfare-to-Work activities.
2. Staff offers eligible applicants qualified for (lump sum) Diversion payments to enable them to begin, resume, or continue their employment, as an alternative to enrolling in CalWORKs WTW activities.
3. Staff offers eligible non-exempt applicants services through WTW participation.

IV. Procedures

The Diversion informing process takes place during CalWORKs intake. Diversion is not a part of WTW services. Enrollment in Diversion bypasses TANF aid and CalWORKs. Staff explain Diversion to applicants during the Intake Orientation session. The Reception Clerk provides a handout explaining Diversion to applicants when the applicant signs the SAWS1.

Applicants must be a San Francisco resident and eligible for CalWORKs in order to qualify for the Diversion program. During the initial eligibility-screening interview, Eligibility Workers establish the applicant's "apparent eligibility" for CalWORKs when the applicant expresses an interest in Diversion.

A. Apparent Eligibility

"Apparent Eligibility" is defined as follows: "Apparent Eligibility" means that the information provided on the Statement of Facts, and information otherwise available to the county indicates that the applicant would be eligible for aid if the information on the Statement of Facts were verified." (EAS Manual, Section 40-129.11)

B. Eligibility Worker responsibilities:

- Explain outcome of eligibility status to the applicant
- Note the eligibility determination on the screening interview sheet
- Provide the applicant the SAWS 2 to complete
- Waive verification of the technical conditions of eligibility, and other eligibility factors unless the information given by the applicant is inconsistent
- Refer applicants who wish to apply for Diversion assistance to the Diversion Specialist who will make an appointment within two days. The specialist will instruct the client what to bring to the Diversion interview
- If the applicant expresses interest in Diversion during Orientation, a Case Manager will screen the applicant to begin the Diversion referral

C. Case Manager Responsibilities

Diversion cases are assigned to Case Managers on rotation.

- The Case Manager will interview the applicant and will determine if the applicant would benefit from a Diversion payment, rather than CalWORKs assistance payments
- The Case Manager will use the Participant Background Form (7000 CW)
- The Case Manager will record the interview on the Intake Interview Sheet

The Case Manager must consider any of the following to determine if an applicant would benefit from a one-time aid payment:

1) Employment History Review

- Check for gaps in employment
- Are there gaps covered without applying for cash aid frequently?

2) Probability of Immediate Full-time Employment

- Are the applicant's strengths and skills in an area of high demand with existing job opportunities?

3) Evaluate the applicant's cash assistance needs to pay for housing, and other unforeseen expenses (or work-related expenses).

- Is available income or expected available income enough to meet family needs?

4) Housing stability

- Is the applicant's housing history stable?

5) Available Childcare Stability

- Is childcare available during working hours?
- Is there a back-up plan for sick children?

D. The Diversion Denial Process

If the Case Manager determines that the applicant would not benefit from a Diversion payment, the Case Manager must:

- Inform the applicant about appeal rights

Refer the applicant back to the screener to continue the application for aid process. If the applicant declines a Diversion payment, the applicant must finalize the pending CalWORKs application.

- The Case Manager must use the appropriate denial code
- I-File a copy of all NOAs

E. The Diversion Approval Process

If the county determines that an applicant would benefit from a Diversion payment, the Case Manager must inform the applicant that the applicant qualifies for Diversion. If the applicant requests a one-time Diversion payment, the Case Manager must deny the pending CalWORKs application.

F. The Diversion Agreement Form

The Case Manager and the applicant must complete Side 1 of the Diversion Agreement (Form 4050)

G. Reasonableness of Diversion Amounts

- Case Managers evaluate the reasonableness of the Diversion dollar amount

- Case Managers must request cost documentation

If the Diversion applicant requires more time to obtain information or documentation regarding costs, the applicant may be granted up to 10 working days for this purpose

H. Diversion Cases Initiated in CalWIN

- The Case Manager must authorize applicants for Diversion assistance in CalWIN
- Refer to the CalWORKs Eligibility Handbook for CalWIN procedures

I. The 24-hour Window for Changes

Upon approval of the Diversion amount and the Diversion plan, the applicant has 24 hours to reconsider the terms.

J. Carrying the Diversion Case

- The Diversion Case Manager will carry the case for the length of the diversion period
- Diversion payments are a maximum of \$3,500, without supervisory approval
- The Diversion period is calculated as follows: Divide the total diversion amount by the applicant's Maximum Aid Payment (MAP) amount. For example, if \$2,200 is used and the MAP is \$673, the diversion period is 3 months (ex. $\$2,200/3 = 3$ months). Any remaining fraction of a month is not counted

K. Reapplication within the Diversion Period

The diversion payment amount must be recouped if the recipient applies within the Diversion period. The applicant must complete the Diversion Recoupment Agreement (4052) at the time of the CalWORKs re-application. The Case Manager must send the applicant the NOA specifying the option selected.

The client must compensate the Diversion payment amount by one of the following two methods:

1. Through monthly grant recoupment adjustments, the recoupment amount will be 5% (administrative error rate) of the monthly gross grant amount until the claim is paid.
2. Count the total Diversion period against the 48-month time limit.

L. Returning Diversion Clients

If the Diversion recipient returns after the diversion period has end one month is counted toward the 48-month time limit.

V. Forms

Form #	Form Name	Purpose	Language
WTW 0	The San Francisco CalWORKs Welfare-to-Work Guidebook	Summary of San Francisco's program for distribution to clients, advocates, and the general public, upon request.	
4049	Diversion Handout		
4050	Diversion Agreement		
4051	Statement to Decline Diversion		
4052	Diversion Recoupment Agreement		
7000 CW	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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	Effective: 11/15/18

71-2: Enrollment

NOTE: This section is obsolete. All work eligible individuals are required to enroll in WTW activities after case approval. Please consult your unit supervisors if you have questions regarding the enrollment process.

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	Effective: 7/10/19

71-3: Participation Requirements

I. Introduction

Effective January 1, 2013, Senate Bill 1041 (SB 1041) established a Welfare-to-Work (WTW) 24-month time clock. SB 1041 reduced the mandatory participation hours required for single adult families receiving cash aid, and addressed barriers to prepare participants for employment. The new rules also increased WTW activity options for participants. Core and non-core hour requirements were eliminated, aligning weekly participation hours with federal hourly requirements.

Hourly participation requirements are determined by an average number of hours per week in a given month. The methodology used to calculate the average number of hours per week in the month depends on whether the client is scheduled to meet the CalWORKs minimum requirements under the WTW 24-Month Time Clock; or if the client is scheduled to meet the CalWORKs federal standards participation requirements.

Federal Work Participation Rates

Federal Welfare Reform legislation requires that families receiving TANF assistance meet "work participation" rates.

The Work Participation Rate (WPR) involves two criteria:

1. The mandatory hours of WTW activities each family must participate in each week, and
2. The overall percentage of families that must be participating at the WPR rate

SB 1041 did not change the 48-month time limit for receiving cash aid. SB 2041 created a new 24-month time clock (within the 48-month time limit).

Mandatory adult participants must engage in Welfare-to-Work activities as required under federal law for their entire time on aid. Participants may not participate in activities if they are enrolled in less the required federal hours, unless the individual is an exempt volunteer.

II. References

A. References from the Law and Regulations

Welfare and Institutions Code (WIC): 10532(c) 2, 11320.3, 11320.1(c), 11322.8, 11322.9(a)(1), 11322.9(a)(2), 11325.21, 11454, 11454.1, 5, 22454(a)

Senate Bills (SB): SB 1104, Chapter 229, Statutes of 2004, SB 68, SB 1041

All County Letters (ACLs): 01-71, 03-59, 04-41, 11-33, 12-53, 12-53E, 12-67, 12-69, 13-01, 13-15, 13-37, 13-59, 13-68, 14-16, 15-64

B. Cross-references to Other Section of this Handbook

Section 71-4: Exemptions

Section 72-3: Employment Plan

Section 72-4: Self-Initiated Programs

Section 73-15A: Job Search and Job Readiness

Section 76: Non-Compliance, Good Cause, Conciliation and Sanctions

III. Policy

A. Requirements for WTW Participation Hours

Effective January 1, 2013, adults may participate in CalWORKs activities without meeting the core hourly requirement, within the newly established WTW 24-month time clock. Dependent upon the composition of the assistance unit, participants must meet the WTW 24-Month Time Clock minimum requirements (20, 30, or 35 average hours per week). The number of required hours for each assistance unit is determined by the number of parents or caretaker relatives included in the assistance unit, and the ages of the children dependent children.

Single parent/caretaker families have different hourly participation requirements than two-parent/caretaker families. *A single parent or caretaker relative in the family of a child, who has not attained six years of age, is deemed to be engaged in work if the participant engages in work activities at least 20 hours per week during the month. (EAS 42-714, .22)* .Two-parent families that receive aid based on incapacity are considered single-parent families. Two-parent families receiving aid based on unemployment deprivation have the highest "two-parent" requirement.

Single Parent/Caretaker Households

Single parent with a child under 6 years old:

- Average 20 hours per week

Single parent with no children under 6 years old:

- Average 30 hours per week

Two-Parent Households:

- Average 35 hours per week

Each parent in a two-parent household will have an individual WTW 24-Month Time clock.

The weekly WTW hours participation requirement can be met by one parent or a combination of both parent's participation in WTW program activities.

B. Averaging Methodology for CalWORKs Federal Standards

When the client is scheduled to meet CalWORKs federal standards, the methodology used to calculate the average number of hours per week in the month will be the same calculations of average hours currently used for federal data reporting. The methodology is to add the total number of participation hours in each activity for the month and divide each sum by 4.33 and then round the quotient to the nearest whole number. Then add the total average number of hours for each activity in the month to determine the total average of core and overall hours per week in the month. The total average hours of participation in CalWORKs activities must meet the minimum average core and overall hourly requirements in order to meet CalWORKs federal standards. (ACL no. 14-80, November 14, 2014)

NOTE: Calculate each concurrent activity separately to determine the average hours per week

C. Post 24-Month Participation Requirements

Clients who exhaust the WTW 24-Month Time Clock must meet CalWORKs federal standards, unless the family qualifies for an exemption or good cause is determined in order to remain on aid. Included in the CalWORKs federal standard is a core hourly requirement for all mandatory participants. CalWORKs federal standards were created from federal work participation requirements and federal WPR computation rules.

Single Parent/Caretaker Households:

Single parent with a child under 6 years old:

- Average 20 hours per week (20 core hours)

Single parent with no children under 6 years old:

- Average 30 hours per week (20 core hours)

Two-Parents Households:

- Average 35 hours per week (30 core hours)

The weekly WTW hours participation requirement may be met by one parent, or by a combination of both parents' participation in WTW program activities. See the table below for examples.

One Parent Household Example	2 Parent Household Example
<p>Single parent with a child under 6 years old:</p> <p>15 hours per week in employment</p> <p><u>+ 5 hours per week vocational training</u></p> <p>20 participation hours total</p>	<p>Two-parent hourly requirement is an average of 35 hours/week</p> <p>The hourly requirement can be met by one adult or through a combination of participation hours.</p> <p>Parent One - 20 hours per week in employment plus</p> <p>15 hours per week vocational training</p> <p><u>+ Parent Two - 0 hours per week</u></p> <p>35 participation hours total</p>
<p>Single parent with no children under 6 years old:</p> <p>20 hours per week in employment</p>	<p>Parent One - 30 hours per week in employment</p> <p><u>+ Parent Two - 5 hours per week in training</u></p> <p>35 participation hours total</p>

D. Cal-Learn Participation Requirements

The CalWORKs mandatory participation requirements detailed above do not apply to individuals who are required to participate in the Cal-Learn Program (I.E. pregnant or parenting teen living in the same home as their child who has not graduated from high school or its equivalent).

A 19-year old custodial parent, who has no high school diploma or equivalent, and is not participating in Cal-Learn, is required to participate in Welfare-to-Work activities only to earn a high school diploma or its equivalent. A 19-year-old custodial parent who has a high school diploma or equivalent is required to participate in welfare-to-work activities, and is subject to all program requirements.

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	Effective: 8/3/16

71-4: Exemptions

I. Introduction

The CalWORKs Program requires every individual to participate in welfare-to-work activities as a condition of eligibility for cash aid unless exempt. Individuals who meet the exemption criteria are exempt from participating in welfare-to-work activities as a condition of eligibility of cash aid under CalWORKs as long as the condition(s) exist. Exempt CalWORKs participants may volunteer under certain circumstances, although they are not required to participate in WTW activities.

II. References

- Welfare & Institutions Code: 11320.3 (a)(1), (b)(7), (g); 11454.5 (a)(6)(7),
- Manual Letter EAS 42-712 Exemption from Welfare-to-Work Participation
- Assembly Bill 4X, Chapter 4 (AB4X)
- Senate Bill 72 (Chapter 8, Statutes of 2011)
- All County Letter (ACL) 09-46: CalWORKs Short Term Reforms Implementation Guidelines (dated 11-10-09)
- All County Letter (ACL)11-34: CalWORKs Short Term Changes Extension and Expansion Implementation Guidelines/Repeal of Prior Policies - CalWORKs Long-Term Reforms (dated 4-8-11)
- All County Letter (ACL) 12-72 : Short –term changes and the new young child exception (dated 12-20-12)
- All County Letter (ACL) 13-52: Participating exemption clarifying guidance (7-16-13)
- All County Letter (ACL) 12-67: New CalWORKs Welfare-to-Work 24-month time clock (12-21-12)
- All County Letter (ACL) 15-08: Welfare-to-Work program guidance for disability exemptions (1-24-15)
- ACIN 1-38-15: Clarification on pregnancy and young child related exemptions (dated 6-3-15)

III. Exemption Categories - General Categories

Exemption Categories

CalWORKs recipients are exempt from Welfare to Work participation if they qualify for any one of the following Exemption Categories:

- Children under 16 years of age
- Children attending school full-time through age 18
- Disabled Adults
- Individuals aged 60 or older
- The caretaker relatives of a foster child, or child at risk of placement in foster care
- An Individual required to care for an ill or incapacitated member of the household
- A parent or caretaker relative who is the primary caregiver for an infant zero to six months
- A parent or caretaker relative who is the primary caregiver for a child 0-23 months of age
- A parent or caretaker relative who is the primary caregiver for a child who is from 12 to 23 months of age, or for two or children who are under six years of age. (This is exemption expired on December 31, 2014. Refer to [Procedural Information Memo \(PIM\) 11-17, dated 6/30/11](#) for specific procedures and processes)
- An individual qualified for "Good Cause". Cases in which the county program is unable to provide supportive services necessary for a recipient to participate in welfare-to-work activities
- Pregnant women whose pregnancy impacts WTW participation provided that they meet "good cause" criteria as prescribed by law
- A pregnant or parenting teen under the age of 20, who is attending to school to earn a high school diploma or GED
- Individuals exempt under Domestic Violence criteria
- Administrative exemptions (I.E. manual exemptions)

This section includes the requirements and mandatory documentation for each exemption category.

A. Household members under 16 of age

An aided child under the age of 16 attending school full-time is not required to participate in WTW activities

Documentation

Any valid proof of age in accordance with CalWORKs cash assistance regulations is acceptable.

B. School Attendance through age 18

Children 16, 17 and 18 years of age are exempt when **attending full-time high school, vocational school, technical school** or in grades 12 or below.

- 18 year olds are entitled to benefits, if they are reasonably expected to graduate prior to their 19th birthday
- A Full-time school is defined by the school district

Children in this age group who are **not in school full-time** must participate in WTW activities, or be sanctioned by having their portion of the grant reduced.

- 18 year olds who are not expected to graduate before their 19th birthday are **not eligible** for aid, and will not be required to participate in WTW activities

Documentation

Any valid proof of age in accordance with CalWORKs cash assistance regulations is acceptable. Full-time school enrollment may be school term

Exemption Limitations

Recipients(16 or 17 years of age) discontinued from this exemption status, who were discontinued as a result of his/her failure to attend school full-time, are not entitled to receive this exemption status again. This exemption cannot be reapplied to these previously discontinued children even if they attend school full-time. Attendance may be part of the WTW Employment Plan.

C. Disability

Disabled Individuals are **exempt** from WTW participation if:

1. The disability has been medically verified; **and**

2. The disability is expected to last at least 30 days; and
3. The disability significantly impairs the individual's ability to be employed or participate in WTW activities; and
4. The individual is actively seeking appropriate medical treatment.

Documentation

A written or verbal statement from a *health care professional* (including physicians, certified psychologists, psychiatrists, a LCSW, a MFCCs, or nursepractitioners), or members of the medical staff with access to the physician's records verifying that the individual in the household is physically or mentally impaired and someone is needed in the home to provide care.

- Verbal statements must be documented in writing by an ES. The ES must include who made the verbal statement, when the statement was made, and what was reported to them during the conversation. This must be followed by written verification from the provider within 30 days of the documented statement
- A CW 61 may be used to provide documentation
- Verification that the caretaker and individual in need of care reside at the same address

Review

This exemption must be reviewed by the ES during any of the following circumstances:

- 30 days prior to the end date of the exemption period
- The individual's condition is expected to end
- When there is reason to believe that there has been a change in the individual condition

D. Age 60 or Older

Any individual aged 60 or older is exempt from participating in WTW activities. These individuals may volunteer at any time.

Documentation

Any documentation which the county determines is genuine, and which substantiates the claim of age for cash aid is acceptable.

Review

Once an individual establishes that s/he is 60 or older, there is no further review or re-verification.

E. Caretaker Relative of a Foster Child/Child at Risk of Foster Care

Any non-parent caretaker of a child who is a dependent or ward of the court, or at-risk of becoming a dependent or ward of the court qualifies for an exempt from WTW activities. The caretaker responsibilities must be beyond normal parenting responsibilities, which impair the caretaker's ability to be regularly employed or to participate in WTW activities. The caretaker may volunteer for WTW activities.

It is not required that the caretaker relative receives Foster Care payments on behalf of the child to qualify for this exemption.

Documentation

Documentation may be any verification establishing that the child is living with the caretaker relative, such as a court order for dependency or ward ship.

A caretaker may provide a written affidavit or documentation from third parties, including but not limited to Family and Children Service Child Protective workers to verify that they have parenting responsibilities. Through a consultation with the caretaker relative, the ES must determine whether the caretaker relative's duties impair the caretaker's ability to be employed or participate.

F. Care of an ill or Incapacitated Member of the Household

A recipient is exempt from WTW participation if the recipient's presence is required to care or assist another household member incapacitated by illness. The care of the individual must impair the caretaker's ability to be regularly employed or to participate in WTW activities.

Documentation

A written or verbal statement from a *health care professional* (including physicians, certified psychologists, psychiatrists, a LCSW, a MFCC or nursepractitioners), or members of the medical staff with access to the physician's records verifying that the individual in the household is physically or mentally impaired and someone is needed in the home to provide care.

- If obtained verbally, documentation must include the date the ES obtained the statement, and the name of the person who supplied the statement
- A CW 61 may be used to provide documentation

- Verification that the caretaker and individual in need of care reside at the same address

Review

This exemption must be reviewed by the ES when:

- The individual's condition is expected to end; or
- When the ES has reason to believe that there has been a change in the
- Circumstances that may affect this exemption

G. Care of an Infant- Child Zero to Six Months of Age

Parents (biological and/or adoptive) and caretaker relatives may be exempted from participation in WTW activities when caring for an infant. The length of the exemption is dependent upon whether it is the first time a parent or caretaker claims the exemption, or a subsequent exemption.

- First-time parents or caretakers automatically qualify for this exemption if the child is less than six months of age. Subsequent to this exemption, recipients may be extended up to 12 months after the birth of the child on a case-to-case basis
- Parents or caretakers claiming this exemption for a second or subsequent child automatically qualify if the child is less than 3 months of age. Parents and caretakers may receive an additional exemption which ends when the child reaches 6 months

Extended exemptions may be authorized on a case-to-case basis using the following criteria:

1. The parent or caretaker claiming this exemption must have the primary responsibility for personally providing care for the child.
2. Two-parent cases who meet CalWORKs deprivation eligibility requirements due to the unemployment status of both parents, may request an exemption for one parent.
3. The non-exempt parent is required to participate in full-time WTW activities, as the exempt parent has the primary responsibility to care for the child.

An ES may grant this exemption based on the following criteria:

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1. The availability of safe and appropriate childcare in San Francisco;
2. The proximity of available infant care to parent's home or work;
3. Parent's request; and
4. The health of child

Documentation

- Documentation in accordance with CalWORKs regulations, which substantiates the age of the child; and
- Documentation which verifies that the parent or other caretaker relative is personally providing care for the child. The parent's or caretaker relative's sworn statement under penalty of perjury is sufficient; and
- Documentation which substantiates the criteria upon which the family qualifies for the extension, if applicable. The parent's or caretaker relative's sworn statement under penalty of perjury is sufficient verification.

Review

Thirty days prior to the end of this exemption, the ES must engage the parent or caretaker relative to participate in WTW activities. An appraisal must be conducted to identify barriers to participation.

H. Child 0-23 Months of Age

This exemption can only be used one time by an individual who has the primary responsibility for personally providing care to a child from birth to 23 months. This exemption may be used in addition to any other child related exemption.

Documentation

1. Valid documentation of the child's age, and
2. Verification that the exempt individual has not previously used the 0-23 Months of Age exemption on another child aged 0-23 months during the lifetime of the CalWORKs case.

Review

Thirty days prior to the end of the exemption, the ES must engage the client to participate in WTW activities. If the client has not had an appraisal within the past year an appraisal must be

conducted to identify barriers to participation, any other qualifying exemption or if the client may be eligible for “good cause.”

I. Pregnancy

Participation is required during pregnancy, unless the pregnancy qualifies for a disability exemption or for “good cause.”

- The disability exemption from WTW participation can be used if a doctor or medical professional verifies that the recipient’s pregnancy significantly impairs her ability to regularly work or to participate in WTW activities for at least 30 days
- A pregnant woman may be exempt from participation in WTW activities for good cause when she reports a disabling condition due her pregnancy that temporarily prevents, or significantly impairs, her ability to be regularly employed or participate in WTW activities

Documentation

A pregnant woman may be granted “good cause” by supplying a written statement or a verbal report from her physician, licensed nurse practitioner or certified midwife verifying that she is pregnant. The ES must document verbal statements in detail, including the date and name and title of the person and who supplied the statement.

A pregnant woman may be granted a “disability exemption” with a written verification or verbal statement from a physician that the pregnancy impairs the recipient's ability to be regularly employed or participate in WTW activities.

An ES must also write a case notation that the recipient's participation will not readily lead to employment, or that training activities are inappropriate.

If medical statements are obtained verbally, written documentation must be provided to the ES within thirty days of the statement.

Review

This exemption must be reviewed by the ES during any of the following circumstances:

- 30 days prior to the end date of the exemption period

- The individual's condition is expected to end (i.e. newborn has been added to the case)
- when there is reason to believe that there has been a change in the individual's condition

J. Cal-Learn Program

Pregnant and parenting teens, under the age of 19, who do not have a high school diploma or its equivalent, are required to participate in the Cal-Learn program. Previously or continually enrolled Cal-Learn recipients may volunteer at the age of 19, until their 20th birthday, if their initial Cal-Learn enrollment began before age 19.

Teens mandated to participate may be exempted from Cal-Learn participation if they have a learning disability preventing them to complete school.

Documentation

- Written or verbal verification from a physician, a licensed nurse practitioner
- A certified midwife verifying that the individual is pregnant
- Verbal statements must be documented in a case comment; including the date the ES obtained the statement, and the name of the person who supplied the statement

K. Individuals Receiving a Domestic Violence Waiver

"Domestic Abuse" means assaultive or coercive behavior which includes physical abuse, sexual abuse, psychological abuse, economic control, stalking, isolation, threats, or other types of coercive behaviors occurring within a domestic relationship.

CalWORKs Program requirements, including the time limit on receipt of assistance and welfare-to-work requirements may be waived, for an individual who is a victim of domestic abuse on a case-by-case basis, but only for as long as domestic abuse prevents the individual from obtaining employment or participating in welfare-to-work activities.

Documentation

Domestic Violence Waiver from the Homeless Prenatal Program

Review

This exemption must be reviewed by the ES when:

- 30 days prior to the end date of the exemption period; or
- The individual's condition is expected to end; or if there is reason to believe that there has been a change in the individual's condition

L. Administrative Exemption

Recipients who qualify for an employment exemption (administrative exemption) are found to be unable to maintain employment or participate in WTW activities due to circumstances not listed in other exempt categories. This exception only may only be requested if the recipient has a history of cooperating with welfare-to-work rules.

Documentation

- Verbal Authorization from Employment Services Section Manager
- The ES must write a case comment

Review

This exemption must be reviewed by the ES when:

- 30 days prior to the end date of the exemption period; or
- The individual's condition is expected to end; or
- if there is reason to believe that there has been a change in the individual's condition

IV. Exemption Policy - Short Term Exemption

Extension of CalWORKs Short-Term Exemptions

In 2009, Assembly Bill X44, Chapter 4 (AB X44), provided a temporary exemption from the CalWORKs time limit, and WTW participation activities for a parent or caretaker relative who has primary responsibility for personally providing care for:

- 1 child who is from 12 months to 23 months of age, or
- 2 or more children who are under 6 years of age

Short-term Exemption – SB 74 (active March 2011 thru December 2014)

On March 24, 2011, pursuant to SB 74, short-term exemptions were extended to June 30, 2012, or until the exemption no longer applied to the client.

NOTE: This exemption extension expired December 31, 2014.

The parent or caretaker claiming this exemption must have the primary responsibility for providing care for the child. In families eligible for aid based on unemployment, **only one parent in the unit may be eligible to seek exemption based on primary responsibility for care of the child.**

If the parent meets the criteria for this exemption, the ES shall process the exemption according to established policies and procedures, and restore aid upon receipt of exemption documentation.

Limitations

- These exemptions do not stop the federal TANF time clock.
- There is no participation requirement for exempt clients, and their CalWORKs
- The participant's 48-month time clock must be stopped, even if volunteering.
- These exemptions do not apply to pregnant and parenting teens under 20 years old, who have not acquired a high school diploma or its equivalent.

V. Non-Compliance or Curing a Sanction with Good Cause or an Exemption

- A recipient's noncompliance status ends immediately when an individual qualifies for an exemption or is granted good cause for not participating.
- The ES must lift a sanction for recipients who qualify for an exemption or good cause. The sanction must be cured the first of the following month the recipient qualifies for the exemption or good cause.

VI. Exemption Policy - Time Limits

Time Limit Exemptions – “Clock Stoppers”

The 48-Month Lifetime Limit

Effective July 1, 2011, adults will only be eligible to receive CalWORKs for a maximum of 48-month countable months. This new 48-month CalWORKs time clock replaces the 60-month CalWORKs time clock that was implemented January 1, 1998.

A month in which an individual is exempt based on the following exemption categories is **not counted** against the individual's 48-month lifetime limit on aid:

- Disability
- Age 60 or older
- Caring for an ill or incapacitated household member
- Caring for a dependent child of the court or a child at risk of placement in foster, which impairs the WTW participation
- Child 0-23 Months of age or younger
- Domestic Abuse

Months of aid are not counted, regardless of collected child support payments.

The 24-Month Lifetime Limit

Effective January 1, 2013, SB 1041, eliminated the WTW core and non-core hourly requirements and established a 24-month period in which aided adult clients will be able to participate in the CalWORKs WTW activities consistent with client assessments.

This new time clock does not affect a client's 48-month CalWORKs time limit.

No month prior to January 1, 2013, counts toward the WTW 24-Month Time Clock. Months from January 1, 2013, and following, in which a client meets any one of the following exemptions also do not count:

- Disability
- Age 60 or older
- Caring for an ill or incapacitated household member

- Caring for a dependent child of the court or a child at risk of placement in foster, which impairs the WTW participation.
- Pregnant and cannot work or participate in WTW activities
- Child 0-23 Months of age or younger
- Child 0-6 Months of age or younger
- Domestic Abuse
- Good Cause

VII. Duties and Responsibilities

Eligibility Worker Responsibilities

Intake EWs must screen for applicants for exemptions during the intake process. All applicants must receive the CW 2186A for completion at the initial intake interview.

After applicants complete the 2186A, the EW must provide needed verification forms. After the application has been completed, with subsequent CalWIN entries, EWs must i-files the CW 2186A and enter a case comment.

Employment Specialist Responsibilities

The Employment Services subsystem in CalWIN maintains and tracks the exemption status for every WTW eligible participant. The initial determination of exemption from Employment Services programs is made by the EDBC subsystem based on program regulations and the individual participant information that is gathered through the Data Collection process.

There are some exemptions that will not be determined when running EDBC or when running the exemptions process from the ES subsystem. These are referred to as manual exemptions and must be set by the user in the ES subsystem

System Determined Exemptions:

- Disability
- Age 60 or older

- Caretaker responsibilities for an ill or incapacitated household member, a dependent or ward of the court, or child at risk of becoming a dependent or ward of the court, that impairs the recipient's ability to be regularly employed;
- Pregnant and cannot work or participate in WTW activities
- Child 0-6 Months of age or younger

Manual Exemptions:

- Disability
- Child 0-23 Months of age or younger
- Caretaker responsibilities for an ill or incapacitated household member, a dependent or ward of the court, or child at risk of becoming a dependent or ward of the court, that impairs the recipient's ability to be regularly employed;
- Domestic Abuse
- Mental Health
- Good Cause

Note: 1) Disability and Caretaker exemptions must be entered in both the data collection and employment service subsystems in CalWIN. 2) Mental Health disabilities require “Long Term Disability” to be entered as the primary exemption reason with Mental Health as the secondary exemption reason when entered in the Employment Services Subsystem.

New Applicants:

The ES must search i-Files for the participant’s CW 2186A, or OCAT summary for an exemption request.

If a client is eligible for a system determined exemption, the ES immediately emails the EW the following information and instructions:

1. The details of the specific exemption type
2. The exact begin and end date for the exemption
3. Instructions to run exemptions and save

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4. Instructions to run EDBC and re-evaluate any months that are ticking incorrectly on the 48-month clock and authorize
5. Request confirmation of task completion

If the client is eligible for a manual exemption, the ES must:

1. Enter the exemption in the ES subsystem
2. Enter reason, with the begin and end dates, for the exemption
3. Email the EW to run EDBC, re-evaluate any month that are ticking incorrectly on the 48-month clock and authorize.
4. The ES must notify the client of his/her exemption status by sending the participant the Exemption Determination Form (CW 2186B).
5. Case comments are required for all actions taken and correspondences with the participant.
6. Fully exempted cases (not participating in WTW activities) must be transferred to the Exempt Unit immediately.

Entering an Exemption – Hierarchy

1. Caregiver of ill or incapacitated household member
2. Medical CW 61
3. Child Exemption (0-23 months) – client's choice
4. Domestic Abuse/DV Wavier
5. Behavioral Health (RAMS)

Exempt Unit Case Maintenance

1. The ES reviews the transferred case in i-Files, and in CalWIN for accuracy.
2. The Exempt Unit manages their caseload to ensure that:

- Exemptions are current and accurate
- Assessments are scheduled for the first week after the exemption expires to renew the exemption or assess for Welfare-to-Work. A CW61 is mailed to the client along with the assessment appointment letter.
- DV and Mental Health Exemptions are renewed internally in conjunction with CBO partners.
- Noncompliance is initiated for failure to attend assessment appointments
- Exemption renewals are entered into CalWIN in a timely manner

A. Exemptions are monitored using the “Individual Caseload Detail by Worker Report,” posted on the Intranet under CALWIN/County Management Reports/CalWORKs. The report is updated automatically on the 7th day of each month. Employment Specialists must review this report monthly to ensure families are being screened timely for continuation and/or the ending of their exemption. The Daily Exemplar Report alerts ESs to initiate immediate actions needed.

Expiring Exemptions & Reengagement

San Francisco HSA is committed to meeting the Federal Work Participation Rate (WPR) and assisting CalWORKs clients in becoming self-sufficient. Timely reengagement of exempt clients into WTW will facilitate achieving these goals.

30 days prior to the exemption end date the ES shall schedule the participant for a WTW appointment immediately after the exemption expires, in order to reengage the participant.

Once the exemption period ends, the CalWORKs 24-Month Time Clock 48-month Time Clock will begin to tick the first of the month following the exemption end date.

Employment Specialist Responsibilities

1. Update the WTW Registration window to end the exemption and register the client as Registered, “Mandatory.”
2. Inform the EW via e-mail using the template below of the WTW exemption end date, and the WTW registration status.
3. Document actions taken in the Maintain Case Comments window.

Eligibility Worker Responsibilities

1. When an EW receives an e-mail from an ES indicating that an exemption has ended, and the client is registered for WTW, the EW must ensure that the exemption has the correct end date. The EW must notify the ES within two days if the end date is incorrect.
2. Effective the month after the exemption expires, the EW must run EDBC and Exemptions in Wrap-Up to confirm that the client is registered.
3. An EW must authorize the case, and review the Individual Time Clock Detail window to ensure that the client's 48-month time clock begins ticking in the month following the end of the exemption.
4. When the process is completed, the EW notifies the ES via e-mail.
5. EWs must document all actions taken in the Maintain Case Comments window in CalWIN.

VIII. The Medical Report

The *Medical Report (CW 61)* has been revised by CDSS in 2001. This section discusses in details the requirements for use of the form by Eligibility Workers (EW) as well as Employment Specialists (ES). The CW 61 reports a recipient's physical or mental capacity in relation to the ability to maintain employment or participate in WTW activities.

A. The 3-Part Medical Report (CW61, A & B)

The Medical Report (CW61), as revised has 3 parts. The CW61 "main form" and the CW61 A and CW61 B.

The Medical Report CW61 is required when:

- Verification of incapacity deprivation,
- WtW disability exemption for incapacitated parent,
- Need for child care in an "incapacitated case and,
- WtW exemption for at-home care of a person

The two additional **CW61 forms A and B** provide information as follows:

- **CW61 A: Physical Capacity** - including capacity to stand, walk, sit, do hand and foot repetitive motions, lift and carry, etc.

- **CW61 B: - Mental Capacity** - including capacity to interact appropriately and communicate effectively with co-workers, instructors, etc.; capacity to complete everyday workplace, training and/or educational routines; capacity to follow directions, etc.

B. Local Policy and the CW61 (including forms A & B)

1. When is the CW61 A or B not required?

The CW61 A or B is not required if the "main form" CW61 provides documentation that the individual:

- CAN work with no restrictions **OR**,
- CANNOT work

If you send the CW61 A and/or B along with the CW61 to the provider, but only the CW61 is returned, there is no need to insist on return of the other forms from the provider, if the CW61 contains the information needed for the case.

IX. Exemption Policy - Volunteers

Exempt Volunteer

1. An exempt volunteer is not required to meet minimum participation hours.
2. An exempt volunteer must sign a WTW Employment Plan - Activity Assignment (WTW2) if requesting supporting services for the activity.
3. An exempt volunteer is required to attend, and make satisfactory progress in the activities agreed upon in the Employment Plan.
4. Volunteer and Compliance - if a volunteer is not in compliance to the level agreed upon in the Employment Plan, the ES must determine good cause. If there is no good cause, the activity and accompanying supportive services must be terminated.

5. Volunteer and Sanction - there is no financial sanction for a volunteer who is in non-compliance. However, the interruption of the plan results in the termination of supportive services for the activity.

CalWORKs Welfare-to-Work Exemptions				
EXEMPTION		DESCRIPTION	49-MTC STOPPED	24-MTC STOPPED
1	Children Under 16 Years of Age	A child under 16 years of age is exempt from participating in welfare-to-work activities.	N/A	Yes
2	Children Attending School Full-Time	Children 16, 17, or 18 years of age is exempt from welfare-to-work participation while attending school full-time.	N/A	Yes
3	Client Disability	An individual who has a disability is exempt from welfare to work when the condition significantly impairs their ability to work.	Yes	Yes
4	60 Years of Age or Older	An individual who is 60 years of age or older is exempt from participating in welfare-to-work activities.	Yes	Yes
5	Caretaker Relative of a Foster Child	Client has primary responsibility of a foster child who is a ward of the court or child at risk of foster placement.	Yes	Yes
6	Caring for Ill or Incapacitated Member of Household	Client is caring for an ill or incapacitated person residing in the home.	Yes	Yes
7	Pregnant and Cannot Work or Participate in WTW Activities	Client is a woman who is pregnant with medical verification that the pregnancy impairs her ability to be regularly employed or participate in WTW activities.	No	Yes
8	Pregnant or Parenting Teen Attending School for HS Diploma or GED	Pregnant and parenting teens, under the age of 19, who do not have a high school diploma or its equivalent, are required to participate Cal-Learn.	Yes	Yes
9	Child 0-23 Months of Age	Client has primary responsibility of caring for a child from 0-23 months of age. An individual may be exempt only once in a lifetime under this exemption.	Yes	Yes
10	Exemption for Child Six Months of Age or Younger	Client is caring for a child six months of age or younger. An individual may be exempt only once in a lifetime under this exemption.	No	Yes

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11	Subsequent Exemption for Child 12 Weeks of Age or Younger	Client is caring for a child 12 weeks of age or younger.	No	Yes
12	Domestic Abuse	Client is a past or present victim of domestic abuse.	Yes	Yes
13	Good Cause	Client has good cause for not participating in WTW. (Administrative Exemption)	No	Yes

IX. Forms

Informing Notice to Clients

Workers must provide timely and adequate notices to eligible adults for all approved and denied WTW exemptions. The ES/EW determines whether an applicant or recipient meets exemption criteria.

Form #	Name	Purpose	Language
CW 61 (7/01)	Cover Sheet and Medical Report	Cover sheet addressed to the health care provider to explain purpose of information requested on CW 61 and CW61 A/B. "Main form" for documentation of incapacity/deprivation for cash aid or disability related exemption from welfare-to-work activities.	
CW 61A (7/01)	Physical Capacities	This form elicits information on the patient's physical condition for use in making decisions concerning WtW participation. The English version must be sent to the Medical Provider. Contact CX4B at ext. 75197 for translated copy.	
CW 61B (7/01)	Mental Capacities	This form elicits information on the patient's mental condition for use in making decisions concerning WtW participation. The English version must be sent to the Medical Provider. Contact CX4B at ext. 75197 for translated copy.	
CW 2186A (rev. 12/12)	CalWORKs Exemption Request	The form provides an individual who has been identified as a mandatory WtW participant with the opportunity to request an exemption from participation in WtW activities. Give this form to WTW participants or CalWORKs applicants who request exemption.	
CW 2186B (rev. 12/12)	CalWORKs Exemption Determination	Use this form to notify applicants or recipients of his/her exemption status if s/he requests, either verbally or by completing and submitting the CW 2186A, to be exempted from participating in WtW activities. Check box for the appropriate determination and enter the reason. Original to client; copy to the case file.	

Welfare to Work Handbook

WTW 2 (12/12)	Employment Plan - Activity Assignment	This CDSS required form specifies up to four welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW 5 (5/99)	Welfare to Work Program Notice	An informing notice about the program for clients.	Chinese Spanish Vietnamese
Form 6100 (6/11)	Notification of Temporary Exemption Ending and Appointment	Notifies participant that the temporary exemption has ended and that they must participate in CalWORKs WTW activities. Serves as notice of appointment and orientation.	
Form 6200 6/11	Notification of WTW Temporary Exemption	Notifies participant that they are temporarily exempt from participating in CalWORKs WTW activities.	
7067 (i.c. 3700)	WTW 24-Month Tracking Sheet	Form 7067 is to enable WTW Employment Specialists and their Supervisors to track on a yearly basis the new WTW 24-Month Clock for each participant.	
NOA Temp M40-107a	48 Month Time Clock - Temporary Notice of Action	Use to inform an adult recipient of a change to the total number of months that s/he received aid. (For the WtW Time-Limited Exemption: Check the appropriate box indicating the reason the client has a new time limit exemption.	
8014 (5/07)	Authorization to Release Information	Standard DHS form for client signature - ES must have a client's authorization before communicating with any agency or party outside of HSA about the client	Chinese Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/2/17

71-5: Time on Aid (TOA)

I. Introduction/Overview

Effective July 1, 2011, the CalWORKs time limit for adults was reduced from 60 months to 48 months. All months on aid received from January 1, 1998 count unless the adult has/had a time limit exemption. The federal Temporary Assistance for Needy Families (TANF) 60-month time clock does not change.

Effective January 1, 2013, there are three time clocks:

- TANF (Federal) 60-Month Federal Clock
- CalWORKs (State) 48-Month Clock
- WTW 24-Month Clock (effective 1/1/13 or at signing of new Employment Plan)

Effective January 1, 2013, California enacted Senate Bill (SB) 1041, which introduced a 24-Month Welfare-to-Work Time Limit Clock (within the CW 48-Month Time Limit) for WTW activities and participation hours.

For California recipients, TANF limits are applied to aid received effective December, 1996, and after. The CalWORKs 60-month (now 48-month) limit applied to aid received on and after the date the program was implemented, January 1, 1998.

The Welfare and Institutions Code (WIC) Section 1154 (b) imposed a 60 month Federal time limit on the receipt of cash assistance for the parent or caretaker relative of an aided child, including Temporary Assistance to Needy Families (TANF) received from other states. The regulations provided that a parent or caretaker relative would not be eligible for cash aid under CalWORKs when s/he reached 60 months.

Cash aid that was received from California or other states under the Aid to Families with Dependent Children (AFDC) Program before January 1, 1998 is not counted toward the time limits.

II. References

- CalWORKs Eligibility Handbook Section 58-0 Time on Aid
- ACL 97-65,11-33, 02-33, 98-37, 99-90, 00-48, 03-01

- ACIN I-52-99
- CW PIM # 99-05, 01-01, 01-24, 01-24A, 51-80, 04-03, 02-10, 98-4, 98-4A, 01-27
- MPP Sections: 42-301 and 42-302, 44-113.8 44-133.51 and 44-133.511

III. Policy

A. Effective July 1, 2011, adults are eligible to receive CalWORKs for a maximum of 48 months. This 48-month CalWORKs time clock replaces the 60-month time clock that was implemented January 1, 1998.

- Time on aid in other California counties counts towards the CalWORKs 48- month lifetime limit.
 - TANF time on aid in other states also counts towards CalWORKs 48-months time clock when a family moves to California. California exemptions are different from TANF, and an individual may receive aid in California even after TANF has timed out:
1. If an individual uses up the full TANF 60 -month in another state then moves to California, the children would be eligible to California's safety net aid. The adult would only be eligible to continuing CalWORKs if all adults in the household meet one or more extender.
 2. If an individual uses part of their TANF 60-months in another state, California would consider those months to be CalWORKs months, too. However, if an individual who has moved to California meets a CalWORKs exemption that stops the CalWORKs clock, only the TANF clock would continue to tick. If/when the exemption ends, the person would receive additional CalWORKs cash aid until the CalWORKs time ends.
 3. The CalWORKs time clock began January 1, 1998.
 4. When a Diversion payment is issued, at least one month counts towards the CalWORKs 48- month time limit. If the diversion recipient does not reapply within the diversion period, this is the only month counted toward the CalWORKs time clock. If the family reapplies during the diversion period, the applicant may choose the following:
 - Either to count the entire diversion period towards the time limits, or
 - Repay the entire amount of Diversion payment (If Diversion payment is repaid, one month is always counted towards lifetime limits).
 5. Child Support collection can remove a month from the 48-month count. (See Section XI, for more on Child Support.)

6. Months for which no cash was received also do not count towards CalWORKs time on aid.
7. Any month when cash aid was \$10 or less is a month considered as a month that no cash aid was received.
8. Sanction and ineligible months do not count towards the 48-month CalWORKs lifetime limit.
9. If any payment, such as Homeless Assistance (HA) payment is issued, the month counts towards the CalWORKs time on aid.
10. Aided months will not count towards CalWORKs time on aid when the individual is any one of the following:
 - 60 years of age or older
 - Disabled
 - Needed in the home to care for an ill or incapacitated person
 - A non-parent caretaker relative of a child who is a ward of the court or at risk of placement in Foster care.
 - Aided as an adult but eligible for, and required to participate in, or participating in Cal Learn (See CW HB Section 51-22 for more information).
 - Victim of domestic abuse with good cause established
11. There are also "clock stoppers" under CalWORKs. See Appendix A & B. Clock stoppers apply to the individual. Certain months do not count when exemptions are met; these are months that do not count toward the 48-month time limit to CalWORKs.
12. Time limit extenders are exemptions that can result in a recipient remaining on aid beyond the 48-month time limit. (See Appendix B, for a list of Time limit Extenders).
13. A Notice of Action must be sent to the client to inform him/her of the CalWORKs months remaining at specific intervals. These intervals are as follows:
 - at application,
 - at the 42nd month of aid,
 - at the 46th month of aid,
 - at the 48 month of aid,
 - at the annual redetermination, and
 - at the clients request.

Form CW 2184, CalWORKs 48-Month Time Limit, which explains time on aid is required to be sent along with these Notices of Action.

IV. Exempt TANF Months

A. An individual may be exempt from his/her federal 60 month TANF clock if any of the following conditions are met:

1. The individual is living in Indian country, as defined by federal law, or an Alaskan native village, in which at least 50 percent of the adults living in the Indian country or village are not employed.
2. The individual is an adult or minor who is not the head of household or married to the head of household and who is receiving federal funded aid in his/her parent's AU.
3. The individual is removed from the AU as the result of a sanction. The TANF clock does not click.

NOTE: If a penalty is applied, the TANF clock remains ticking.

V. CalWORKs Individual Time Limit Exemptions

A. Certain parents and caretakers are exempt from the 48-month time limit. The 48-month time limit does not apply when all parents or caretaker relatives of an aided child meet any of the following conditions:

1. He/she is 60 years of age or older;
2. He/she is disabled as determined by a doctor's verification that the disability is expected to last at least 30 days and that significantly impairs the recipient's ability to be regularly employed or participate in welfare-to-work activities, provided that the individual is actively seeking appropriate medical treatment.
3. S/he is eligible for, participating in, or exempt from Cal-Learn or another teen parent program approved by the California Department of Social Services (CDSS). 18 & 19- year old pregnant and parenting teens who are not receiving aid as children in their parents AU will remain exempt from the CalWORKs 48 month time clock until they turn age 20 or graduate from high school or its equivalent. (Refer to CW HB Section 51-22, WTW for Pregnant and Parenting Teens, for more information.)
4. A victim of domestic abuse and it has been determined that good cause exists for waiving the 48-month time limit.
5. Excluded from the AU for any other reason other than reaching the 48 month time limit, e.g., sanctioned, felon, SSI, non-needy payee, undocumented.

B. Participants with Young Children:

1. New One-Time Exemption for Child from 0 to 23 months: Effective January 1, 2013, there is a new one-time only young child exemption for individuals caring for a child from birth to 23 months.
2. Short Term Young Child Exemptions end as of 12/31/12: As of result of the passage of AB X4 4, short term changes were implemented which included Time Limit Exemptions and Welfare-to-Work (WTW) participation exemptions for clients with young children. This exemption is a temporary exemption from WTW activities for a parent or caretaker relative who has primary responsibility for personally providing care to one child who is from 12 months to 23 months of age, or two or more children who are under six years of age.

NOTE: Effective 1/1/2013, there is a two-year re-engagement period for these participants.

- i. Clients granted this exemption will not be required to participate and will have their CalWORKs 48 month time clock stopped until they no longer meet this criteria.
- ii. For two-parent families, only one parent or caretaker relative can be granted this exemption.
- iii. One parent in a two-parent AU can receive the exemption if the other parent is not available to care for the child due to his or her own participation and fulfillment of the 35-hour participation requirement.
- iv. This temporary exemption automatically cures a sanction; if a sanction client meets the new exemption criteria the client must be considered to have cured the sanction by becoming exempt.
- v. V. Sanctioned clients who meet the exemption criteria who were in sanction status prior to August 1, 2009, should have been considered to have cured their sanction and added back to the AU effective August 1, 2009.
- vi. If a client did not meet the new exemption criteria and was sanctioned on or after August 1, 2009, but subsequently meets the new exemption criteria, shall be added back the AU, the first of the following month, he/she meets the new exemption criteria.
- vii. These short term changes were implemented August 1, 2009 and were initially approved through June 30, 2011. Pursuant to changes implemented by SB 72, the short term changes, known as the Young Children Exemptions, were extended and remain in effect until December 31, 2012.

VI. Exempt CalWORKs Months

A. Certain months may be exempt, and stop the clock from "ticking" for certain individual who have not reached their CalWORKs 48-month lifetime limit. When an individual meets one of the following conditions, that month will be an Exempt month and will not count toward the individual's 48-month CalWORKs time limit:

1. When child support fully reimburses the aid paid for the month. (See Section XI, Child Support, for more information.)
2. The individual is a former recipient of cash aid and is only receiving child care, case management, or supportive services.
3. A Diversion Payment was made for a month within the Diversion period and the individual reapplies during that Diversion period, and is determined eligible and repays the Diversion Payment.
4. There is no cash aid payment made for the month because the grant amount is \$10 or less.

VII. Extenders

A. The CalWORKs 48-month time limit does not apply to any individual(s) when all parents, aided stepparents, and or caretaker relatives in the AU meet an extender exception. (MPP 42-302.11)

- For cases with one parent/caretaker relative, the exception is applied if the timed out individual meets the exception
- For cases with more than one aided adult, both the timed out individual and the other aided adult(s) must meet an extender criterion

B. In order to meet an extender an individual must meet one of the following criteria:

1. The individual is 60 years of age or older.
2. The individual is exempt from welfare-to-work participation requirements due to:
 - a. The need to care for an ill or incapacitated person residing in the home, and the caretaking responsibilities impair the individual's ability to be regularly employed or to participate in welfare-to-work activities.
 - b. Being a non-parent caretaker of either a dependent child of the court, a Kin-GAP child, or, as determined by the county, a child who is at risk of placement in foster care. Please refer to CW HB Section 52-8 Family Reunification, for more information on CW & Linkages. For this exemption to apply, the county must also determine

- that the caretaking responsibilities are beyond those considered normal day-to-day parenting responsibilities so that they impair the individual's ability to be regularly employed or to participate in the welfare-to-work activities.
- c. A victim of domestic abuse and it has been determined that good cause exists for adding the individual back to the AU.
 - d. Not included in the AU.
 - e. The individual is receiving benefits from State Disability Insurance, Worker's Compensation Temporary Disability Insurance, In-Home Supportive Services, or the State Supplementary Program, and the disability significantly impairs his/her ability to be employed on a regular basis or to participate in welfare-to-work activities.
 - f. The county determines that the individual is not able to maintain employment or to participate in welfare-to-work activities, based on a current assessment of the individual as specified in MPP Section 42-302.114(b), and the county's finding that the individual has a history of participation and full cooperation in welfare-to-work activities.

Extender exceptions apply at any time that the timed out individuals meet the exception criteria.

VIII. Tracking

The State CalWORKs time clock began January 1, 1998. The Federal TANF time clock began in California on December 1, 1996.

- For the state CalWORKs time Clock, CalWORKs recipients were allowed 60 months of time on aid until July 1, 2011 when the maximum allowable time on aid changed from 60 to 48 months
- For the federal TANF time clock, counties must track the 60-month TANF aid from the date each state implemented TANF
- For California, TANF aid must be tracked from December 1996. A few CalWORKs recipients may have received TANF -funded aid earlier than December 1996 because they received aid in a state that implemented the TANF program earlier than California. These individuals may have reached the TANF time limit prior to December 2001 and would have begun receiving state-only funded assistance

A. CalWIN – CalWIN is San Francisco’s CalWORKs Information Network used to track time on aid for CalWORKs in San Francisco. Time on Aid Specialist manually enter time on aid months received outside of San Francisco.

B. WDTIP- (WDTIP) is the statewide automated Welfare Data Tracking Implementation Project. It was developed to provide county welfare departments with information on recipients' time on aid for eligibility determinations. Monthly reports are received from the WDTIP database, which includes a summary and detailed list of active individuals who are approaching the TANF and CalWORKs 48 month time limits, within two and six months of their expiration of their CalWORKs 48 month time clocks.

- These reports from the automated system are used to determine when a worker should review a client’s case records and notify them of his/her time limit information

C. Aided Adults- Time on aid is person-based and is tracked for each aided adult. An individual’s time on aid record depends on workers entries into CalWIN. Time on Aid is tracked for all CalWORKs aid types and all adults with and active status in CalWIN. Time on Aid Specialist manually enter time on aid months received outside of San Francisco.

D. TOA Tracking- TOA tracking captures data from 12/96 and forward. The federal TANF time clock in California begins 12/1996. The California state time clock begins 01/1998.

E. Exemptions- There are exemptions and clock "stoppers" that may be recorded for each individual. See Section V, CalWORKs Individual Time Limit Exemptions, and Section VI Exempt CalWORKs months.

F. TOA records are tracked for an individual with an active status in CalWIN. An individual’s record is permanent and will never be removed, but can be corrected. Information that will be stored and available for review includes the following:

- TANF time (maximum 60 months)
- CalWORKs time (maximum time 48 months)
- WTW 24-Month Clock (effective 1/1/2013 or after signing of new Employment Plan)
- CalWORKs Sanctions
- CalWORKs Penalties
- Exemptions from Welfare to Work
- Exemptions from TANF 60- month and/ or CalWORKs 48-month Clock.
- Diversion Payments
- Demographic Information
- Time out of state
- Time out of county

- Tribal TANF Aid

G. There are Time on Aid screens in CalWIN. These screens are recorded by individual, and are primarily accessed by the individual's CalWORKs case number and choosing the Individual's name. There are also multiple screens in the WDTIP TRAC system and are primarily accessed by the individual's social security number or CIN Number. The information that is entered into CalWIN transmits to WDTIP TRAC so that other counties may see what aid has been paid to an individual in a particular county.

X. "Unticking" Clocks for Overpayments Reimbursement and Child Support Recoupment

A. When a client is ineligible, and a full-month overpayment occurs, the TANF and CalWORKs clocks will automatically tick for that month. When the overpayment is fully repaid, an adjustment must be done to "untick" the individual's time clock. (See Section XII, Overpayments, for more information.)

B. A month is also "unticked" when child support fully reimburses the aid paid for a month in which:

1. Aid is paid.
2. Homeless Assistance is paid.

See Section XI, Child Support, for more information.

XI. Child Support

A. Any month in which cash aid is fully reimbursed as a result of child support collection, whether collected in that month or any subsequent month, shall be exempt from the CalWORKs 48-month time limit.

B. Workers are required to track current and subsequent child support collections in order to ensure that they are applied to reimburse and exempt monthly aid. All child support recoupment, including collections for a current month, arrearages, and lump sum payments, collected from January 1998 and forward, shall be cumulatively applied to repay aid payments. Workers shall use the following steps to repay aided months:

1. The cumulative child support recoupment will be applied to each month of aid, starting with the earliest unreimbursed month(s) of aid, on or after January 1998, and moving forward as each month's grant is paid back. Only child support paid on behalf of aided children can be used in this process.
2. Each month of aid that is fully reimbursed by child support shall be exempt and will not count toward the CalWORKs 48 month time limit.
3. The child support recoupment amount will be applied to all months of aid whether or not the month had previously been exempted for any other reason, including months an individual was unaided due to a sanction. (A previously exempted month could include a month in which an individual was receiving aid, however they were exempt due to a disability, or their children were on aid and they were sanctioned, therefore still receiving a grant.)
4. The child support recoupment amount will be reviewed to determine if the cumulative amount is sufficient to reimburse and exempt a monthly grant amount. Any child support amount that remains, but is insufficient enough to fully reimburse a monthly grant, whether collected in the current month or for a previous period of time, will be carried forward and used for any subsequent unreimbursed month(s) of aid. This means that once all aid has been paid back, and there is still a balance remaining of the child support, this child support will remain uncollected until further child support has been collected, and there is enough child support to collect another full cash grant month.
5. Records shall be kept of the aid payments and the cumulative child support recoupment amounts until the months of aid have been fully reimbursed and the exempt months are recorded and validated.
6. Counties are required to send the exemption transaction information to the (WDTIP) system to "untick" the months on aid for the individual.

XII. Overpayments

A. An overpayment is any amount of aid paid to an AU to which the AU was not eligible. An overpayment may be all or a portion of the cash aid payment for a month. Overpayments can be for, and are not limited to, immediate need payments, special needs payments, and aid paid pending a state hearing.

B. An overpayment month, that has been fully repaid by grant reductions or other means, does not count toward the CalWORKs 48-month, or TANF 60 month time limits.

C. When an overpayment has occurred the Eligibility Worker must calculate the amount of the overpayment and determine the period of time for which the recipient was not entitled to receive the cash aid.

1. State CalWORKs Clock: Once the recipient has repaid the amount of aid for the totally ineligible month(s), the month(s) will not be counted toward the CalWORKs 48 month time limit.

2. Federal TANF Clock: The month(s) will continue to be counted toward the federal 60-month time limit if the amount of aid for the ineligible month(s) is repaid; however if supportive services were provided to the recipient during that month, the recipient is considered to have received "TANF" assistance.

XIII. Two Parent Families October 1, 1999 - September 30, 2006:

A. Between October 1, 1999, and September 30, 2006, federal Temporary Assistance for Needy Families (TANF) funds were no longer available for CalWORKs cash assistance or welfare-to-work services, including child care and other supportive services, to those two parent assistance units (AU) as described below:

Two-parent family - A two parent family is defined as an AU that includes two, aided non-disabled, natural or adoptive parents of the same aided or SSI/SSP minor child (living in the home), and unless both parents are aided minors and neither is the head-of-household.

B. TANF TOA Clock – Between October 1, 1999 and September 30, 2006 all eligible two parent CalWORKs households were aided only by the state of California, and not by the federal TANF program.

During this time period, only the State TOA clock counted. The Federal TOA clock did not tick, since no federal funds were used.

XIV. Employment Specialist Duties and Responsibilities

The Employment Specialist shall:

A. Maintain and update the CalWIN data to ensure the participant's TOA clock is accurate. Action is required when there is a change in exemption status (e.g., when an exemption is starting or ending), a change in sanction status or a change in Registration status.

It is the responsibility of the Employment Specialist to:

1. Ensure that the data entered for the exemption/sanction/registration status and reason are accurate.
2. Correct discrepant data in the Employment Services subsystem.
3. If coordination with Eligibility staff is needed, submit the task request with URGENT in the subject line by email to CWClerticalTMT@sfgov.org for corresponding data entries.

B. Monitor time clock data in CalWIN: CalWIN data is entered and monitored by both the Eligibility Worker (EW) and the Employment Specialist (ES). Accurate data entry, communication and follow-up by both the EW and ES are crucial for producing correct TOA outcomes. If the data entered by either worker does not accurately reflect the client's TOA, a TOA referral is made. In addition adjustments to TOA for Out of County, Out of State and Pre CalWIN Go-live months will be reviewed, completed and corrected by the TOA Specialists once a TOA referral is submitted to the TOA unit for resolution of a discrepancy.

C. Check the accuracy of the TOA Clock to ensure that:

1. the clock stops ticking at the time a sanction is entered.
2. the clock stops ticking at the time an exemption is entered.
3. the clock starts ticking when benefits have resumed.

D. Make a referral to the TOA Unit should a discrepancy be noted.

E. Submit a request through CW ClericalTMT@sfgov.org if a timed out individual is discontinued due to the CalWORKs 48-month limit and later reinstated when s/he meets an extender criterion or has received a full months child support reimbursement to move the case out of the safety net aid code, and into the appropriate code for a case in which the adult has not timed out.

F. Manual Exemptions

It is the responsibility of the Employment Specialist to enter manual exemptions in the Employment Services subsystem.

The ES shall:

1. Enter an exemption status update to the Employment Services Registration Window
2. Enter the reason for the exemption with the actual begin date and end date (as the last day of the month in which the exemption expires)
3. Index the documents and place documents in the unit scanning box to be iFiled.
4. Advise eligibility via email to CW ClericalTMT@sfgov.org that documents have been scanned, and request that EDBC be run and cash aid for current or past months (specifying the months) be re-evaluated.
5. Check the TOA on the Display Time Clock Summary window to ensure that the TMT task was completed.
6. If the EDBC task was not completed, the ES shall contact the Eligibility Worker's Supervisor and CC: The ES Supervisor. If the issue is still not resolved the ES shall contact the CalWORKs Eligibility Program Manager and CC: The ES Supervisor.

7. Enter actions in CalWIN Case Comments

G. Exemption Clock Stoppers and Clock Extenders

Both Employment Specialists and Eligibility staff are responsible for CalWIN data entries. The process is as follows:

1. ES enters an exemptions status update to the Employment Services Registration Window.
2. ES enters reason for the exemptions with the actual begin date and end date (as the last day of the month in which the exemption expires).
3. ES emails CWCLericalTMT@sfgov.org with exemption information including the reason, the begin/end date, requesting that the corresponding data entries are made by Eligibility staff and the discrepant months are re-evaluated.
4. ES iFiles exemption documentation.
5. ES shall receive confirmation from CWCLericalTMT@sfgov.org when the EDBC is completed.
6. ES checks the TOA on the Display Time Clock Summary window to ensure that the TMT task was completed.
7. ES enters actions in CalWIN Case Comments.

NOTE: The three Appendices at the end of this section provide additional information on the TOA process:

- APPENDIX A: CalWIN Time Clock Cheat Sheet
- APPENDIX B: Side-by-side Comparison to TANF (Federal) and CalWORKs (State) Clock
- APPENDIX C: Summary of Program Noncompliance Penalties, Sanctions, Excluded Persons, Fraud Penalties, Time Limit Exemptions – Clock Stoppers and Time Extenders

XV. TOA Referral Process

TOA referrals shall be initiated during:

1. Intake or RRR Process
2. Routine case management
3. Retroactive DV TOA
4. Administrative request
5. Other County/State request

6. Tribal TANF review
7. Fair Hearing

Review Process

At any time a TOA discrepancy is noticed, the case manager shall initiate a TOA referral

- Review of MEDS / TRAC; KCAL and TCAL with CalWIN Individual Time Limit Clock Summary for discrepancies
- Prior to completing the referral, the case manager shall attempt to resolve simple discrepancies. These may include:
- Conflicting Begin/End dates
- Exemption reasons are entered incorrectly (IE. exemption reasons are not entered in the correct order)
- Failure to run EDBC and Re-evaluate

Referral Process

1. Complete online Form 7063 CW (revised 1/17) TOA Referral
2. Indicate "Urgent" if the participant is at risk of timing out or has already timed out on the referral form
3. Submit form via email to the Unit Supervisor
4. Unit Supervisor will forward the form to the email address: TOAinquiry@sfgov.org once the referral is reviewed and approved indicating "Urgent" on the subject line as appropriate **Note: paper referrals are no long accepted**
5. Case Comment in CalWIN notating TOA referred and date submitted

NOTE:

TOA discrepancy is URGENT when:

- Client has 0-12 months TOA remaining in San Francisco
- Client has used 42 months or more, Timed-Out in either on MEDS or CalWIN or both
- Urgent referrals are reviewed within 3 working days
- Regular referrals are reviewed within 7 working days

XVI. TOA Specialist Unit

TOA Specialist Unit is under the supervision of the TOA Supervisor, C650 and is responsible to review and correct participant's TOA clocks.

A. TOA Unit Clerk's Responsibilities:

Upon receipt of the TOA referral:

1. Assign the new Referral to a TOA Specialist on a rotation basis (staff is off the rotations when on vacation, floating holiday, or sick leave for more than two days).
2. Check TOA Excel spread sheet (O:\CalWorks 1 TOA Referral Listing 2009 present.xls from 2009 to present, and assign repeat TOA referrals back to the original TOA Specialist
3. Log referrals on TOA Excel spread sheet

On-going Responsibilities

1. Send monthly stat report of pending reviews to TOA Specialists and to TOA Supervisor within 2 weeks after the end of the prior month.
2. Maintain and update log.

B. TOA Supervisor Responsibilities:

1. Act as back-up when clerical staff is not available. Check TOA Excel spread sheet from 2009 to present, and assign repeat TOA referrals back to the original TOA Specialist. Assign the new Referral to
2. a TOA Specialist on a rotation basis (staff is off the rotations when on vacation, floating holiday, or sick leave for more than two days).
3. Return incomplete TOA referrals to sending Supervisor.
4. Receive TOA requests from Out of County, State and Tribal TANF. Review and assign to TOA Specialist.
5. Review TOA staff input, re-evaluation requests, and draft Case Comments for corrections prior to the current 12 months.
6. Advise if corrections are needed.
7. Review monthly TOA statistics and consult with TOA Specialists on referrals not completed within 30 days.
8. Review monthly Approaching and Exceeding TOA list from IT, and assign TOA reviews for clients at their 41 month of CalWORKs TOA, and clients exceeding the 48 month on WDTIP.

C. TOA Specialist Responsibilities:

1. Review and complete the TOA Referral Packet from the Eligibility Worker, which includes:

- Form 7027 TOA Worksheet
- Form 7063 TOA Referral
- Supporting documentation and verification

2. Review the TOA Referral Packet from the Employment Specialist, which includes:

- Form 7063 TOA Referral
- Any supporting documentation and verification

The TOA Specialist must complete a 7027 CW as part of completing the TOA review.

3. Discuss with the TOA Supervisor if the packet is incomplete.

4. Review and complete TOA reviews as assigned from:

- Approaching and Exceeding Lists
- Retroactive DV requests
- Administrative requests
- Other Counties
- Other States
- Tribal TANF
- Closed CalWORKs
- Fair Hearing

The TOA Specialist must complete a 7027 CW as part of completing the TOA review.

5. Prioritize urgent referrals.

6. Review the State and Federal TOA windows in the WDTIP System, including:

- KCAL

- TCAL
 - PSUM
 - ESUM
 - UNCP
7. Review all CalWIN data entries, updates and corrections relating to Time on Aid in the employment service and data collection subsystem such as;
- Display Individual Time Clock Summary Window with Grant History
 - Child Support Summary Tabs
 - Display Disability Medical Condition Summary
 - Display Sanction Summary
 - Display Employability Summary
 - Display Eligibility Summary
 - Display Case Employment Services Participation
 - Search Case Comments
 - Search for Issuance
8. Determine if the two data systems accurately represent the participant's time on aid, and if not, where the discrepancies are located.
9. Review iFiles for documentation (for example: CW 61, DV Service Plan; MD letters; provider letters; case comments; prior data entries)
10. Identify data discrepancies in the ES subsystem and consult with TOA Unit Supervisor regarding data more than one year old. Correct CalWIN data in ES subsystem following discussion and agreement with TOA Unit Supervisor.
11. Identify data discrepancies in the ES subsystem and consult with Employment Specialist regarding data less than one year old. Correct CalWIN data in ES subsystem following discussion and agreement with Employment Specialist.

12. Identify data discrepancies in the Eligibility Data system and consult with TOA Unit Supervisor regarding data updates needed. Send a CWClericalTMT@sfgov.org for EW to update the data, following discussion and agreement with TOA Unit Supervisor.
13. Once approved, communicate with staff via email with the ES, and via the CWClericalTMT@sfgov.org with the EW during the TOA review period.
14. Alert the CWClericalTMT@sfgov.org for EW data input, running EDBC, and re-evaluation
15. Enter CalWIN Case Comments.
16. Follow-up with staff within 3 business days for “urgent referrals” (participant at-risk of timing out or already timed out) and 10 business days for “regular referrals” to ensure the corrections are made.
17. Check the Collect Case Summary Detail Window, Child Support Collection Tab. Set the “Unticking for Child Support Reimbursement and or Claim Recoupment” tab to Certify Automation or Recertify Automation, if not already set.
18. Adjust or enter manually all pre go-live (11/2005) data into CalWIN and WDTIP with supporting documentation of discrepancies from staff, or if the systems did not convert CDS data correctly to CalWIN or WDTIP/TRAC. Consult with Supervisor when needed.
19. Enter manually all Out of County, Out of State, and Tribal TANF data into CalWIN and WDTIP.
20. Ensure all TOA outcomes are correct in CalWIN after the EDBC process.

21. If TOA information is not acted upon by staff timely, the TOA Specialist shall contact the Eligibility Worker's Supervisor and CC: The TOA Supervisor. If the issue is still not resolved, the TOA Specialist shall contact the CalWORKs Eligibility Program Manager and CC: The TOA Supervisor.

22. Once the TOA information in CalWIN is correct, check to see that all TOA Outcomes that are entered into CalWIN have automatically transferred to WDTIP at the end of 3 working days.

23. Correct WDTIP manually if the data corrects the TOA in CalWIN and after 3 days does not correct WDTIP.

24. Enter in CalWIN a Case Comment at initial review, after supervisor or ES/EW review if needed, completion, and when a case is pending a help ticket or other unusual circumstance.

25. I-File Form 7027, Form 7063 and Form 2192 (when required) when TOA Referral is completed (Index Code 3700)

26. Add Case comment outcome in CalWIN.

27. Complete monthly stats within two weeks of receipt of spread sheet from TOA Unit Clerk.

XII. CalWORKs Time Limit Forms

Form#	Form Name	Purpose	Language
CW 2184) (07/11) (i.c. 3700)	CalWORKs 48-Month Time Limit	The CW 2184 informs recipients of the CalWORKs 48-month time limit requirements. This is a required form.	Spanish Chinese Vietnamese Russian

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CW 2186A (12/12)	CalWORKs Exemption Request	The request form, CW 2186A, describes exemptions to the CalWORKs time limits and time limit waivers. This is a required form	
CW2186B (12/12)	CalWORKs Determination Form	The determination form, CW 2186B, explains to a recipient whether or not he/she is exempt from the time limits and the reason the exemption is granted or denied. This is a required form.	Spanish Chinese Vietnamese Russian
CW 2187 (04/11) (i.c. 3700)	Your CalWORKs 60-Month Time Limit	This informing notice, the CW 2187, informs adult recipients of the number of months that he/she has received aid. Workers are required to send this notice to a recipient upon his/her request for time limit information. This is a required form.	Spanish Chinese Vietnamese Russian
CW2188 (04/02) (i.c. 3700)	Verification of Aid for the Temporary Assistance for Needy Families (TANF) Program	The verification of TANF aid form, CW 2188, is used to verify the number of months of assistance provided by TANF funds. Workers must provide this form when a former CalWORKs recipient applies for aid in another state, and the other state requests information on the TANF aid received in California. This is a required form.	
CW 2189 (06/11) (i.c. 3700)	Notice of Your CalWORKs Time Limit at 42nd Month on Aid	Modified to reflect the new CalWORKs 48 month time limit.	
CW 2190A (06/11) (i.c. 3700)	CalWORKs 48-Month Time Limit Extender Request Form	Modified to reflect the new CalWORKs 48-month time limit.	
CW 2190B (06/11) (i.c. 3700)	CalWORKs 48-Month Time Limit Extender Determination denial Form.	Modified to reflect the new CalWORKs 48 month time limit.	
CW 2191 (06/11) (i.c. 3700)	Time on Aid Verification for CalWORKs 48-Month/ TANF 60-Month Time	Modified to reflect the new CalWORKs 48-month time limit.	
CW 2192 (06/11) (i.c. 3700)	Tracking Non- California TANF Assistance for the Time Limits	Modified to reflect the new CalWORKs 48 month time limit.	
7027 (i.c. 3700)	TOA Worksheet,	Used by EW as part of TOA Review Request; used by TOA Specialist to review time on aid	
7063 (i.c. 3700)	TOA Referral,	Used by ES and CW Eligibility staff to submit TOA Review requests	
7067 (i.c. 3700)	WTW 24-Month Tracking Sheet	Form 7067 is to enable WTW Employment Specialists and their Supervisors to track on a yearly basis	

		the new WTW 24-Month Clock for each participant.	
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

APPENDIX A

CalWIN Time Clock Cheat Sheet

Where to see if Client received aid (including aid code and benefit amounts):

- Search for Issuance window, check the Eligible Individuals button
- Display Individual Eligibility Summary window in Wrap Up

Where to check TOA information in CalWIN:

- Check relevant Data Collection entries
- Data Collection Impacts on Employment Services (ES) Exemptions from OLUM:
http://calwinhelp/Data_Collection_Impacts_on_ES_Exemptions_calwin.htm
- ES exemptions and Wrap Up are driven by these entries
- Maintain Employment Services Participation, including the Reasons button
- Individual Time Limit Clocks are driven by ES registration entries
- Individual Time Limit Clocks, including the Exemption detail window
- TRAC (PSUM/ESUM) entries are driven by the time clocks
- Display Non-Financial Eligibility Summary/Time Clock button (in Wrap Up)

How to make changes to TOA from CalWIN:

Data Entries:

- You can correct the time clocks in CalWIN by correcting entries in ES and/or Data Collection and then running EDBC, reevaluating the affected months and saving ES exemptions in Wrap Up. Time clocks will be updated when the results are authorized.
- It takes 48 hours from the day you authorized for the corrections to show in TRAC.

Manual:

Once a TANF or CalWORKs time clock is adjusted manually for a particular month (i.e. when time used in another state or county is added to CalWORKs clock) that month will no longer be updated automatically through authorizing changes made in Data Collection or Employment Services or by the automated child support reimbursement process. All changes to the time clock for a manually adjusted month will have to be done manually from then on for that

month.

Only the TOA Specialist can:

- Add CW and TANF time clocks in CalWIN for other Counties - not for your County after go live.
- Add and delete exemptions in CalWIN time clocks
- Change Ticking/Non Ticking status in CalWIN time clocks

It takes 48 hours from the day the CalWIN time clock was updated for the corrections to show in TRAC.

TOA Extenders:

Unearned Income Summary window:

When all adults in the household are in receipt of disability based income, they meet the criteria for a TOA extender. Once the disability based income has been terminated the client no longer meets the criteria for the TOA extender. It is important that when the income is terminated in "Collect Income Received Detail" that the user also end date "Collect Unearned Income Detail" window. Failure to end date this window will continue to allow a TOA extender.

Maintain Employment Service Registration:

When all adults in the household are eligible to a manual exemption for Domestic Violence or they are Unable to Maintain Employment or Participate in WTW activities, they meet the criteria for a TOA Extender. It is important the Employment Specialist enters the exemption reason and reason end date, case comments in CalWIN, sends a TMT to eligibility to run EDBC, re-evaluate if needed and authorize. Once this is complete the ES must check TOA to ensure the extender issued CalWORKs benefits.

Tips:

- For cases that have been included in the automated Child Support Reimbursement Process be sure to check that the time clocks have been updated with the correct Ticking/Non Ticking status.
- Entries in a client's Employment Services record will have an impact on the client's TOA.

Please make sure that the data is correct.

APPENDIX B

TANF CLOCK (FEDERAL)	CalWORKs CLOCK (STATE)
<p>Federal Exceptions</p> <p>Federal law and regulations (CFR 264.1) do not count months of aid as specified:</p> <ul style="list-style-type: none"> • Aid to an adult or minor who is not the head of household or married to the head of household and receiving TANF funded aid in his/her parents AU. • Living in Indian country- An individual was living in Indian country, as defined by federal law, or an Alaskan native village with a 50 percent unemployment rate. 	<p>CalWORKs Exemptions-Clock Stoppers</p> <p>MPP Section 42-302.21 - Any month in which any of the following conditions exist for any period during the month shall not count toward the 48-month limit as specified:</p> <ul style="list-style-type: none"> • Eligible for, participating in, or exempt from the Cal-Learn program or another teen parent program approved by the CDSS when receiving aid in their parents AU or in their own AU. Does not apply to an individual who is 19 years of age and is eligible for voluntary participation if the individual chooses not to participate in Cal-Learn. Does apply to a person who is receiving a Cal-Learn "sanction." • Living in Indian country- An individual was living in Indian country, as defined by federal law, or an Alaskan native village with a 50 percent unemployment rate. • Aid reimbursed by child support- Any month in which the cost of the aid is fully reimbursed by

child support.

- Advanced age- 60 years of age and older
- Caretaking responsibilities - Exempt from welfare-to-work participation because of inability to be regularly employed or participate due to caretaking responsibilities for:
 - An ill or incapacitated person residing in the home;
 - A dependent child of the court, or;
 - A child who is at risk of placement in foster care.
- Disabled - Exempt from welfare-to-work participation due to a medically verified disability expected to last at least 30 days, which significantly impairs the ability to work or participate in welfare-to-work activities.
- Domestic Abuse- County option

to find good cause to waive time limit requirements for individuals who are victims of domestic abuse.

- Grant Amounts \$10 Or Less- Recipient does not receive a cash grant payment for the month because the grant amount is \$10 or less.
- Unaided - Individual is out of the AU for reasons other than exceeding the time limit.

Hardship Exception

Federal law (42 U.S.C. 608(a)(7)(C)(ii)) permits a state to use TANF funds to provide aid beyond 60 month due to "hardship", as defined by the state, or if the family includes an individual who has been battered or subjected to extreme cruelty.

If a state opts to extend TANF-funded assistance to part of its case load, it would grant such an extension to a specific family once a head-of-household or spouse head-of-household in the family has received 60 cumulative months of assistance.

In addition, it may be determined that a State has reasonable cause if it demonstrates that it failed to comply with the five year-limit on Federal assistance due to federally recognized good cause domestic violence waivers provided to victims of domestic violence.

CalWORKs Exceptions-Time Extenders

For an individual who has been aided (i.e., is in the assistance unit) as an adult for 48-months, aid may continue for that person when all parents, aided stepparents, and/or caretaker relatives meet any of the following conditions:

- Advanced age- 60 years of age and older
- Caretaking Responsibilities - Exempt from welfare-to-work participation because of inability to be regularly employed/participate due to caretaking responsibilities for:
 - An ill or incapacitated person residing in the home;
 - A dependant child of the court, or;
 - A child who is at risk of placement in foster care.
- Disabled- An individual is receiving SDI, TDI, IHSS, or SSP benefits and the disability impairs his/her ability to work.

- Unable to Maintain Employment or Participate - Individual is unable to maintain employment or to participate in welfare-to-work activities, based on the county's assessment and finding that the individual has a history of participation and full cooperation in welfare-to-work activities.
- Unaided - Individual is out of the AU for reasons other than exceeding the time limit.

Additional CalWORKs Exception - Time Extender

Domestic Abuse - County option to find good cause to waive the 48-month time limit for individuals who are victims of domestic abuse. For an individual who has been aided for 48-months, aid may continue for that adult when he/she is a victim of domestic abuse.

APPENDIX C

PROGRAM NON-COMPLIANCE PENALTIES

Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
Immunization	Penalty-Failure to submit immunization verification without good cause. All parents and Caretakers penalty	YES	YES
School Attendance (Children under 16)	Penalty - failure to submit school attendance verification. Adult Penalty	YES	YES
School Attendance (Child 16 and Over)	Penalty- Failure to attend school regularly or participate in work activities. Child penalty.	N/A	N/A
Cooperation with Child Support	Penalty - Failure to cooperate with child support without good cause. 25% Grant reduction	YES	YES

PROGRAM NON-COMPLIANCE SANCTIONS

Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
Non-Coop Work 1st	Sanction - Individual has failed to comply with work participation requirements for the first time. Excluded from the AU. The sanction lasts until the person complies	NO	NO
Non-Coop Work 2nd	Sanction - Individual has failed to comply with work participation requirements for the second time. Excluded from the AU. The sanction lasts for at least three months or until the person complies, whichever is longer.	NO	NO
Non-Coop Work 3rd and Subsequent	Sanction - Individual has failed to comply with work participation requirements for a third or subsequent time. Excluded from the AU. The sanction lasts for at least six months or until the person complies, whichever is longer.	NO	NO

EXCLUDED PERSONS

Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
Fleeing Felons	Excluded by Law - individual is a fleeing felon or person violating a condition of probation or parole. The individual is ineligible for aid and excluded from the AU.	NO	NO
Drug Felons	Excluded by Law- Individual has been convicted for conduct	NO	NO
Child Support- Assignment of Rights	Excluded by Law - The custodial parent or caretaker relative refuses to assign child support rights. The parent or caretaker is ineligible for aid and is excluded from the AU.	NO	NO

FRAUD PENALTIES

Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
Fraud-False Documents for Children	Penalty - Using false documents for non-existent or ineligible children. Permanent Penalty	YES	YES
Fraud > 10K	Penalty- Fraud exceeds \$10, 000. Permanent Penalty	YES	YES
Felony Fraud > 5K	Penalty - Felony Fraud conviction \$5,000 or more. Permanent Penalty	YES	YES
Fraud > 2K < 5K	Penalty-Fraud-theft between \$2000-\$4999. 5 year Penalty	YES	YES
Fraud < 2K	Penalty - Fraud- theft less than \$2000. 2 year Penalty	YES	YES
Fraud- Duplicate Application 1st	Penalty- Duplicate application- first offense in same county. 2 yr. Penalty	YES	YES
Fraud- Duplicate Application 2nd	Penalty- Duplicate application- second offense in same county. 4 yr. Penalty	YES	YES
Fraud - Duplicate Application 3rd	Penalty-Duplicate application-third offense in same county. Permanent Penalty	YES	YES
Fraud - Duplicate Aid	Penalty- Duplicate CalWORKs aid in two or more counties or states. Permanent Penalty	YES	YES
Fraud- Activity 1st	Penalty- False or misleading		

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CalWORKs	statements, first offense. 6-month Penalty	YES	YES
Fraud- Activity 2nd CalWORKs	Penalty- False or misleading statements, first offense. 12-month Penalty	YES	YES
Fraud- Activity 3rd CalWORKs	Penalty- False or misleading statements, first offense. Permanent Penalty	YES	YES

TIME LIMIT EXEMPTIONS - CLOCK STOPPERS

Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
Under 16 Years	Exemption - Individual under 16 yr. of age	NO	NO
Child Attending School	Exemption - Child 16, 17, or 18 attending an elementary, secondary, vocational or technical school on a full time basis.	NO	NO
60 Years of Age and Older	Exemption - An individual who reaches age 60 or older	YES	NO
Disabled	Exemption- An individual who is disabled and has medical verification that the disability is expected to last at least 30 days and significantly impairs the individual's ability to be employed or participate in welfare-to-work activities.	YES	NO
Needy Non-Parent Caretaker	Exemption- Non-Parent caretaker relative who has primary responsibility for caring for a child who is either a dependent or ward of the court or at risk of placement in foster care and whose caretaking responsibilities impair his/her ability to be employed or participate in welfare-to-work activities.	YES	NO
Caring for Ill or Incapacitated	Exemption-An individual is caring for an ill or incapacitated person residing in the home whose caretaking responsibilities impair his/her ability to be employed or participate in welfare-to-work activities.	YES	NO
Pregnant and Cannot Work	Exemption - A woman who is pregnant with medical verification that the pregnancy impairs her	YES	YES

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	ability to be regularly employed.		
Cal-Learn Non-Head of Household	Exemption-Individuals who are eligible for, participating in, or exempt from the Cal-Learn program, when receiving aid in their parent AU.	NO	NO
1st Exemption for Child	Exemption-First Exemption for caring for child 6 months of age or under. (County option to lower age to 12 weeks, or raise to 1 year depending on availability of child care and job opportunities)	YES	NO
2nd and Subsequent Exemption for Child	Exemption- Second and subsequent exemption for caring for a child 12 weeks of age or under. (County may extend to 6 months depending on availability of child care and job opportunities)	YES	YES
Living in Indian Country	Exemption- An individual was living in Indian country, as defined by federal law, or an Alaskan native village with a 50 percent unemployment rate.	YES	YES
Aid Reimbursed by Child Support	Exemption- Any month in which the cost of aid is fully reimbursed by child support.	NO	NO
Services for Former Recipients	Exemption- An individual who is a former recipient of cash aid and is only receiving child care, case management, or supportive services.	YES	NO
Grant Amounts \$10 or Less	Exemption- Recipient does not receive a cash grant payment for the month because the grant amount is \$10 or less.	YES	NO
Unaided	Exemption-Individual is out of the AU for reasons other than exceeding the time limit.	YES	NO
Self-Initiated Program (Good Cause)	Good Cause Criteria- County must adjust time limits to account for months in which a SIP participant had good cause for non-participation.	YES	NO
Domestic Violence (Good Cause)	Good Cause Program Waiver- County option to provide good cause waiver of time limit requirements for domestic violence.	YES	NO

TIME LIMIT EXEMPTIONS - TIME EXTENDERS

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Program Violation/Requirement	Description of Program Violation/Exemption/Waiver	Does Federal 60-Month Clock Tick?	Does Calif. 48-Month Clock Tick?
State Disability Insurance (SDI), Workers Compensation Temporary Disability Insurance (TDI), In-Home Supportive Services (IHSS), or State Supplemental Program (SSP) benefits.	Exemption- Individual is receiving SDI, TDI, IHSS, or SSP benefits and the disability impairs his/her ability to work.	NO	YES
60 Years of Age of Age and Older	Exemption- An individual who reaches age 60 or older	NO	YES
Needy Non-Parent Caretaker	Exemption-Non-Parent caretaker relative who has primary responsibility for caring for a child who is either a dependent or ward of the court or at risk of placement in foster care and whose caretaking responsibilities impair his/her ability to be employed or participate in welfare-to-work activities.	NO	YES
Caring for Ill or Incapacitated	Exemption-An individual is caring for an ill or incapacitated person residing in the home whose caretaking responsibilities impair his/her ability to be employed or participate in welfare-to-work activities	NO	YES
Unable to Maintain Employment or Participate	Exemption-An individual is not able to maintain employment or participate in welfare-to-work activities, based on the counties assessment that the individual has a history of participation and full cooperation in welfare-to-work activities	NO	YES
Unaided	Exemption-Individual is out of the AU for reasons other than exceeding the time limit.	NO	NO
Domestic Violence (Good Cause)	Good Cause Program Waiver- County option to provide good cause waiver of time limit requirements for domestic violence.	NO	YES

Note: This chart provides information for the tracking of receipt of aid for individual recipients. Federal law allows states to use TANF funds for aid beyond 60 months for up to 20% of their caseloads.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/5/19

71-6: WTW Domestic Violence Waiver Program Requirements and Service Plans

I. Introduction

Human Services Agency (HSA) staff must inform CalWORKs applicants and recipients that there are services designed to assist individuals to identify, escape from, stop future domestic abuse, and recover from the effects of domestic abuse. HSA provides a safe environment to Domestic Violence survivors to ensure that the individual's safety needs and confidentiality rights are met, allowing the individual to self-identify or disclose domestic abuse.

CalWORKs Domestic Violence (DV) Services are individually tailored so that the individual is not placed at risk while the individual is guided away from abusive conditions. Case Managers must ensure that each participant's journey toward healing and self-sufficiency is individualized, supportive and confidential.

The CalWORKs Domestic Violence policy and procedures is contained in the CalWORKs Eligibility Handbook. The CalWORKs Eligibility Handbook Sections 50-30 thru 50-39 provides guidance for:

- The basis of CalWORKs domestic violence services
- A definition of domestic abuse
- Requirements for noticing CalWORKs applicants and recipients about the available domestic violence services
- A description of Domestic Violence Advocate Services
- A list of waivers or program requirements
- A complete list of domestic violence related forms and flyers

Eligibility Handbook Section 52-43 references child support, good cause and domestic violence guidelines. Domestic Violence WTW participation guidelines are located in WTW Handbook Section 73-17.

II. References

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All County Letters (ACLs): 97-54, 97-71, 97-72, 98-12, 99-09, 14-59

All County Information Notices (ACINs): 1-111-01, 1-02-06, 1-48-09

Eligibility and Assistance Standards Manual (EAS) Regulations: 42-715.1, 42-715.11, 42-715.12, 42-715.13, 42-715.2, 42-715.21, 42-715.3, 42-715.4, 42-715.5, 42-715.511, 42-715.52, 42-715.6

California Department of Social Services Manual Letters (CDSS) Manual Letter No. EAS-06-01

Welfare and Institutions Code (WIC) Sections: 11495, 11495.1, 11495.12, 11495.15, 11495.25

CW Handbook Sections: 50-30-50-34.3, 50-39, 52-43, 58-3

Cross-References to Other Sections of this Handbook (HB) and/or WTW PIMs WTW HB Sections: 72-2, 72-3, 73-17, 74-3, 75-3, 75-4

WTW PIMs: 06-01, 06-01 Addendum A

III. Policy

The identification of past or present victims of domestic abuse is critical in order to provide services to clients to overcome barriers, and to become self-sufficient. Individual case assessments by staff trained to serve victims of abuse is crucial to developing WTW Plans that meet the individual needs of participants, and to determine the need for program waivers that may be requested.

A. DV Good Cause Determination to Waive Welfare-to-Work Requirements

Participants are required to consent to an individual case assessment with a provider trained in serving clients who are victims of domestic abuse to determine the need for Welfare-to-Work participation waivers. Participants are eligible for Welfare-to-Work DV waivers based on the outcome of their individual assessment with La Casa de las Madres (SF County provider) or with the participant's own DV provider. Those who qualify for good cause will be encouraged to develop a service plan that allows participants to engage in services specifically designed to overcome difficulties due to being in an abusive environment or relationship.

DV survivors or victims may:

- Request a good cause determination from all WTW participation including DV services under a DV Waiver
- Request a good cause determination from all WTW participation, but volunteer to engage in DV services under a DV Service Plan
- Engage in DV services while participating fully in WTW activities.

B. Retroactive DV Time on Waivers

Retroactive DV Waivers may be provided to participants who are victims of domestic abuse. Approval for retroactive months waived cannot precede the implementation of CalWORKS domestic abuse provisions on January 1, 1998. (Reference: [ACIN 1-02-06](#)).

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Retroactive Waiver Up to Three Months - A domestic abuse waiver may be granted retroactively for up to three months prior to the date the victim of past or present abuse requests a waiver and the county determines that good cause exists.

Retroactive Waiver Beyond Three Months - A domestic abuse waiver may be granted retroactively for more than three months on a case-by-case basis. The retroactive waiver may only be granted beyond three months if the failure to grant the temporary domestic waiver at the time it was requested was due to an error by the county. The participant would need to demonstrate that:

- The county worker(s) failed to act accordingly upon notice that the participant was a domestic abuse victim, and
- The conditions or circumstances during the time period at issue temporarily prevented or significantly impaired the participant from being regularly employed or participating in WTW activities. Under these circumstances, the domestic abuse waiver would be effective retroactively to the date when the county was placed on notice by the participant. (Reference: ACL 14-59).

1. Retroactive Waiver Eligibility Review

Every participant who requests or consents to referral for a DV individual case assessment for a potential good cause waiver at appraisal, assessment, or any point during the WTW continuum must also be evaluated for retroactive waiver eligibility.

The Case Manager should review the participant's WTW history, and any previous disclosure of domestic abuse or participation in domestic abuse-related services. In determining retroactive waiver eligibility, the Case Manager will review and consider, but is not limited to, the following factors:

- Current and past participation in WTW activities.
- Noncompliance and sanction history.
- Previously documented disclosure(s) by the participant of domestic abuse and the County response to such disclosures.
- Previous referrals to a Domestic Violence Advocate for services.
- Historical request for and/or participation in a domestic abuse individual case assessment, domestic abuse-related services, or a DV service plan.
- Prior DV waivers.

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- Request for good cause for non-cooperation with child support (including any existing CW2.1 and CW51).

2. Retroactive Waiver Request

If the participant requests a retroactive waiver, or the Case Manager determines the participant may be eligible for a retroactive waiver, the following must occur:

a. The participant must complete a sworn statement using the Sworn Statement for DV Welfare-to-Work Retroactive Waiver, Form 7054A.

- The participant may attach additional documents to this form, such as court records or documentation from a domestic abuse program, to serve as or support their written statement.
- Case Manager may provide the participant with assistance to complete this form if requested.
- Case Manager will refer the participant to a DV Advocate if the participant needs additional support or help in completing the sworn statement.
- If the participant is requesting a retroactive waiver beyond three months, information must demonstrate that the participant had previously disclosed domestic abuse to their county worker(s), and that their WTW participation was significantly impaired or prevented during the time frame of the requested waiver.

b. Upon receipt of the Sworn Statement from the participant, the Case Manager will complete the Welfare-to-Work Retroactive DV Waiver Request, Form 7054B to request approval for the retroactive waiver.

c. Submit the waiver request form and sworn statement to the Supervisor for review.

d. The Supervisor will forward the waiver request form and sworn statement to the Section Manager for final review.

e. i-File the request form.

3. Retroactive Waiver Denial or Approval

The Section Manager will review the retroactive waiver request and make a determination regarding the participant's eligibility.

a. Waiver Denial

- If the retroactive waiver is denied by the Section Manager, send the Waiver Denial (Retroactive) NOA 7058R to the participant.

- i-File the NOA and the updated waiver request form from the Section Manager indicating the denial and reason.
- Provide a copy of the NOA to the Section Manager.

b. Waiver Approval

- If the retroactive waiver is approved by the Section Manager, send the Retroactive Waiver Approval NOA 7058B to the participant.
- i-File the NOA and the updated waiver request form from the Section Manager indicating the approval and the start and end dates of the retroactive waiver.
- Provide a copy of the NOA to the Section Manager.

NOTE: Document thoroughly in Case Comments the steps taken to evaluate the participant's eligibility for a retroactive waiver and the resulting waiver determination

C. Time on Aid Extension due to DV Waiver

Past or present victims of domestic abuse who have timed out of their 48-Month Time on Aid (TOA) may request an individual case assessment to determine the need for waivers of program requirements.

Participants, who received a DV waiver, may have their 48-Month TOA extended at a 3-month interval. However, the DV advocate or the Case Manager may review the good cause determination monthly. Participants are encouraged to participate in DV services that will not place them at further risk to help guide them to move away from an abusive condition.

D. Monitoring/Reevaluation

A good cause DV waiver may be granted up to 3 months at a time. Case Managers will evaluate good cause waivers with a DV Service Plan at the third month interval. Participants with a good cause waiver for work requirements, and who are not seeking DV services may be reviewed monthly. However, the waiver will remain active for 3 months.

The DV Advocate may terminate the DV Service plan at any time if the participant is not engaged. The DV good cause waiver will be re-evaluated every 3 months, or sooner, as requested by the Case Manager. A DV waiver may continue for an indeterminate period at the 3-month interval, as long as, the county affirms that the conditions or circumstances that supported the granting of the domestic waiver remain applicable. Consult with the WTW Section Manager for DV waivers exceeding 6 months

IV. Referral Process

A. DV Advocate Referral

Referral to the individual case assessment with the DV Advocate must be completed within 7 days of receipt of the request or sooner

The individual case assessment is to determine the following:

- A DV waiver is recommended. Good cause exists for not participating in a WTW activity
- A DV waiver is recommended with a Voluntary Service Plan
- A DV wavier is not recommended. WTW participation is required

B. The DV Referral Process

1. Upon agreement, the participant is referred to La Casas de las Madres for an individual case assessment. The referral and Authorization to Release Information (8014) or the DocuSign ROI document must be completed and submitted through Launchpad. You can cut and paste the following links below.

Authorization to Release Information (DocuSign Instructions)

<https://sfgov1.sharepoint.com/sites/HSA/wtwservices/guidance/Shared%20Documents/Authorization%20to%20Release%20Information%20Process.pdf>

How to Refer Clients to a Service/Activity in Launchpad

<https://sfgov1.sharepoint.com/sites/HSA/WTWservices/guidance/Shared%20Documents/Launchpad%20How%20to%20refer%20clients%20to%20a%20Service%20Activity%20in%20Launchpad.pdf>

2. Participants may also provide documentation from their own DV provider to obtain a DV wavier or good cause for not participating in a WTW activity.
3. After receiving the referral, a DV Advocate will contact the participant to schedule an intake assessment appointment. At the intake assessment appointment, the DV Advocate completes the La Casa de las Madres Domestic Violence Individual Case Assessment Summary (Form 7028CW) to indicate the determination.
4. If the participant agrees to receive services, the DV Advocate will attach a Voluntary Service Plan (7025 CW) to Form 7028CW. The DV Advocate shall forward the Voluntary DV Service Plan to the HSA Case Manager to activate the Service Plan. The Case Manager and the Unit Supervisor must approve and document that supportive services are approved.

5. Upon receipt of the Individual Case Assessment Summary and Voluntary DV Service Plan (if applicable), the Case Manager must call or email the DV Advocate with any questions.
6. The Case Manager must upload the copy of the signed DV Service Plan (7025 CW) to Launch Pad within 7 days of receipt, and i-File the DV services plan.
7. All CalWIN entries must be completed to reflect the participant's status according to the determination on the Individual Case Assessment Summary, and the Voluntary Service Plan, (such as "Other Counseling Services").
8. The waiver approval NOA must be sent within 7 days from the receipt of the Individual Case Assessment Summary, or the letter from the participant's DV provider.

C. If a Participant declines a Referral for an Individual Case Assessment

If the participant declines the individual assessment by a DV advocate (County provided or own DV provider):

1. Document the refusal clearly in CalWIN case comments.
2. Proceed with the WTW assessment to develop a WTW Plan.
3. Refer the participant to the CalWORKs Social Worker to explore other service needs.

V. Voluntary DV Service Plans

A. Individual Case Assessment Summary from La Casa de las Madres

(Form 7028CW) includes:

1. The assessment outcome
2. The Voluntary Service Agreement via the Service Plan
3. The duration of the waiver and re-evaluation date as applicable
4. Indication of the RAMS Behavioral Health service referral made
5. The La Casa de las Madres Case Manager and the client's signature must be completed in order to consider the summary approved. If it is determined that the participant may need behavioral health services, and the participant agrees to receive RAMS services in addition to DV services provided by La Casa de las Madres, La Casa de las Madres will submit monthly Attendance and Progress Reports for both RAMS and for La Casas de las Madres activities (included on the DV Service Plan).

In this case:

- La Casa de Las Madres will monitor the participant's RAMS attendance
- La Casa de las Madres will submit monthly Attendance and Progress Reports for RAMS and for La Casas de las Madres activities included on the DV Service Plan
- The Case Manager will enter all participation hours under "Other Counseling Services"

B. DV Services from Other Providers

Take the following steps when the participant wishes to obtain the individual case assessment and services from their own DV provider other than Las Casas de las Madres.

1. Obtain the letter from the DV provider containing a good cause determination and the list of services the participant is receiving.
2. If the participant is receiving DV services, provide a non-contract attendance report form for monthly submission.
3. Complete the Authorization to Release (8014 form).

VI. Volunteer Participation

Participants with a DV waiver are not required to participate in employment activities. Participants may "volunteer" to participate in DV services under a Service Plan, or they may participate in other WTW activities. A WTW volunteer does not have to meet the 20/32/35 hour Federal Work Participation requirement.

Participants who have completed a WTW assessment with a WTW Plan are required to participate in WTW activities. DV service activities are coded under "Work Life Counseling" and the services are determined by La Casa de las Madres. These activities are "entered within the WTW Plan. Other WTW activities must not conflict with the activities stated in the Service Plan.

Case Managers must monitor progress. If a volunteer does not make satisfactory progress, the volunteer may be removed from participation, per compliance and sanction policies, and procedures found in WTW Handbook Sections 76-3 and 76-4. Supportive services will end as well.

A. Case Manager Responsibilities

1. Review the Individual Case Assessment Summary (form 7028CW) for completion and determination and i-file.

2. Upon receipt of the Individual Case Assessment Summary, the Case Manager must immediately call or email the DV Advocate with any questions.
3. Upload the signed Voluntary DV Service Plan (7025 CW) via the Launch Pad within 7 days of receipt, i-file the original documents, and complete all appropriate CalWIN entries to reflect the DV waiver approval and assigned activities.
4. Continue monitoring monthly progress report received.
5. Contact the DV Advocate if the 7025 CW is not received by the 15th of the month.
6. Consult with the DV Advocate for questions about progress reports.
7. Update all CalWIN entries as appropriate.
8. The Voluntary Service Plan activity under the DV waiver shall be entered as “Other Counseling Services” within the employment plan.
9. Participants who are participating fully enrolled in WTW activities may receive DV services concurrently. The activity is entered as “Work Life Counseling,” within the WTW plan.
10. All DV Waiver approval notices must be sent within 7 days of receipt of the Individual Case Summary determination.
11. All appropriate Notices of Action must be sent within 7 days of the DV waiver approval or denial.

Note: Notice of Actions (NOA) should state the exemption reason as “Unable to Participate in WTW activities”. The words “Domestic Violence” must not be included in the reason.

B. Supportive Services

Supportive services play an integral part to help DV victims and survivors succeed in completing their Service Plan. Supportive services, including transportation and childcare, must be authorized immediately to prevent delay. These supportive services are only authorized to participants volunteering in DV services under a DV waiver. The DV Advocate will determine the hours of participation and services.

- Authorize Stage 1 Childcare (7021 CW)
- Authorize transportation services
- Ensure CalWIN is non-ticking the 48-month clock

C. DV Advocate Responsibilities

When a participant's WTW 48-month time clock is stopped, it is vital that there is a DV waiver determination whether or not a Voluntary Service Plan exists. The services and activities under the Voluntary DV Service Plan and WTW plan must be accurate, and customized on an individual basis to provide the family a safe environment during participation. It must also be designed not to place the family at further risk.

DV Advocates must do the following:

1. Ensure that the intake assessment is completed within 30 days from the referral date.
2. Notify the referring Case Manager if client failed to show up for two appointments.
3. Closely monitor the participant's progress and compliance according to the Service Plan or good cause determination. Provide monthly progress reports to the Case Manager. Progress reports must include information regarding participant contact, scheduled appointments, activity progression and cancelled appointments.
4. Submit reports regarding monthly participation, contacts and reviews from other service providers included in the Service Plan.
5. Review the DV Service Plan and/or the waiver with the participant within the 2nd month of the waiver.
6. The DV Advocate shall determine if good cause for a DV waiver exists at the reevaluation meeting.
7. If any problems arise that prevent the participant from attending appointments, request a joint meeting with the Case Manager and participant.
8. If the participant is not participating in the Service Plan as agreed upon, the DV Advocate may close the Service Plan at any time when there has been no contact with the participant for 30 days, however the waiver will remain for the duration of the approval.

D. 12-Month Consultation

When the participant's waiver is beyond 12-months, a consultation is needed with the participant, DV Advocate, and the Case Manager to discuss the next step.

The next step can be:

- To continue with the waiver
- Participation in other WTW activities
- A SSI Case Management referral

VIII. Non-Cooperation

A. Encourage cooperation

If a participant with a Voluntary Service Plan or required WTW plan is not progressing, the DV Advocate may ask the Case Manager to contact the participant to assist and guide the participant. Reevaluation of the services and activities within the Service Plan may be necessary. A phone call from the Case Manager may help influence the participant to communicate with the DV Advocate.

B. Non-cooperation with Voluntary DV Services within the Service Plan

The DV Advocate sends the Case Manager a written Progress Report after the DV Advocate has determined to end services. This terminates DV services, and ends supportive services. Participants will be maintained under the DV waiver for the duration of the approval.

C. Case Manager Responsibilities

- Update CalWIN as appropriate

D. Good Cause Denial/Refusal of DV Services

If the participant did not follow through with the initial case assessment referral to the DV Advocate without good cause:

- Contact the participant immediately and explain the good cause determination process to obtain a DV waiver
- Send an WTW assessment appointment letter to determine the individual's WTW participation
- Document in CalWIN case comments when participants refuse an individual case assessment with the DV provider

E. The Safe At Home Program

Eligibility Handbook Section 50-30 references the Safe at Home Program.

IX. Confidentiality

The process of simultaneously transferring both the cash assistance and Welfare-to-Work services during the ICT process is critical in assisting recipients make the most effective use of their time on aid, and employment-related services. This process is highly confidential and sensitive for recipients experiencing domestic abuse issues. Information about DV victims, survivors, and their families must not be released to any outside party, other governmental agencies, or to any employee in the sending or receiving county, who is not directly involved in the recipient's case.

The participant's personal record must include documentation of any request for an alternate address, or form of preferred communication. The sending agency must provide the participant's completed and signed form *WTW 37, Permission to Release Domestic Abuse Information When Moving to Another County*.

Information of this nature can only be released by the sending county if the participant has signed a WTW 37 form, in either the sending or receiving county. Access to the participant's domestic abuse information (i.e., waiver determinations, etc.), cannot be transferred or released to the receiving county unless a signed WTW 37 form is on file. DV case files must be limited to workers who have received the required domestic abuse training as specified under MPP 42-715.6.

Sending and receiving agencies are encouraged to work together to ensure that any information regarding domestic abuse services, waivers and security issues are confidential to avoid endangering the participant and/or family members, and to avoid the duplication of requests for verification for the person and/or persons transferring to another county.

Strict adherence to the rules of confidentiality in these cases is required. See WTW Handbook Section 75-3, ACIN I-02-06 and ACIN I-48-90)

X. Inter-county Transfers and DV Waivers

Domestic Abuse Waivers

When the receiving county identifies that a recipient is a domestic abuse victim during the ICT process, it may explore whether the recipient had been granted a domestic abuse waiver in the sending county. Domestic abuse services granted by the sending county should remain in effect while a case is still in the 30-day transfer period (MPP Section 40-187.11).

After the 30-day transfer period, the receiving county may continue with DV services if the county determines that it continues to meet the needs of the domestic abuse victim and is consistent with the county's written domestic abuse waiver criteria. If the receiving county

determines that existing DV services should be modified prospectively, a timely and adequate notice of action must be issued through a safe mode of communication.

Reasons for modification may include, but are not limited to:

- If the situation for granting the original DV services no longer exists
- If the services and activities available in the receiving county necessitate a modification of the waiver or the Service plan
- If the sending county’s DV services does not meet the needs of the recipient’s current situation, etc.

All counties are obligated to provide county criteria for DV services consistent with state regulations set forth in MPP Section 42-715.52.

In addition, when a recipient has received a waiver affecting the 48-Month Time Limit, the receiving county must review the recipient’s Time-on-Aid information to confirm the recipient’s remaining months of CalWORKs eligibility. See ACIN I-60-90 for more information.

XI. Forms

Form #	Form Name	Purpose	Language
WTW 37 7/09	Permission to Release Domestic Abuse Information When Moving to Another County	For participants processed for inter-county transfer, who have domestic abuse issues.	Chinese Russian Spanish Vietnamese
7025CW (03/19)	CalWORKs DV Service Plan	A Voluntary DV Service Plan signed by the participant, DV Advocate, Case Manager, and the Case Manager Supervisor.	Chinese Russian Spanish Vietnamese Tagalog
7028CW (03/19)	La Casa de las Madres Domestic Violence Individual Case Assessment Summary	Determination of Assessment Outcome signed by the La Casa de las Madres Case Manager and the client.	Chinese Russian Spanish Vietnamese Tagalog
7034 CW (7/08)	CalWORKs Compliance Protocol Checklist (2 pages)	A mandatory tool for ES: Steps to take when starting formal NOA process for non-compliance	Chinese Russian Spanish Vietnamese Tagalog
7054A (9/19)	Sworn Statement for Welfare-to-Work Retroactive Waiver	Used by the participant to request a WTW Retroactive Waiver due to current or past experience(s) of domestic abuse. Signed by the Participant.	English Only
7054B (9/19)	Welfare-to-Work Retroactive DV Waiver Request	Form used by the Case Manager to request review and approval from the Supervisor and Section Manager to grant a participant’s Retroactive DV	English Only

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		Waiver.	
7056CW (12/12)	Domestic Violence Services Progress Report	This form is used by the La Casas de las Madres Program for reporting the progress of clients participating in DV services.	English Only
7058 CW (10/12)	CalWORKs DV Waiver Denial Notice of Action	CalWORKs Domestic Violence Waiver Denial	Chinese Russian Spanish Vietnamese
7058A CW (9/19)	CalWORKs DV Waiver Approval Notice of Action	CalWORKs Domestic Violence Waiver Approval	Chinese Russian Spanish Vietnamese
7058B CW (9/19)	CalWORKs Retroactive DV Waiver Approval Notice of Action	CW DV Retroactive Approval Notice of Action	Chinese Russian Spanish Vietnamese
7058R CW (6/18)	CalWORKs Retroactive DV Waiver Denial Notice of Action	CW DV Retroactive Denial Notice of Action	Chinese Russian Spanish Vietnamese
8014 (5/07)	Authorization to Release Information	Authorization to Release Information to SF HSA and Authorization to Release Information by SF HSA. Signed by participant and appropriate parties involved	Chinese Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 72 - Entry to Welfare-to-Work

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/21/18

72-1.1: Universal Engagement & WTW

I. Introduction

Effective 12-1-04 Mandatory WTW participants are required to sign an Employment Plan - Activity Agreement (WTW 2) within 90-days of the date aid is approved. This requirement is called "Universal Engagement" and is the result of Senate Bill (SB)1104. The 90-day Universal engagement timeline applies to Intake and Carrying cases.

II. References

A. References from the Law and Regulations

1. All County Letter: ACL 04-41 & Errata, 06-09
2. CalWIN Change Request (CR): CR 3949
3. Senate Bill (SB): SB 1104
4. Welfare and Institutions Code (WIC): WIC 11322.8, 11325.21, 11454

B. Cross-references to Other Sections of This Handbook:

- Section 72-1 Orientation
- Section 72-2 Appraisal and Assessment
- Section 75-6 Reappraisal
- Section 76 Non-compliance

C. Other cross-references:

CalWORKs Eligibility Handbook Section 50-43, WDD Program Bulletin #05-03, WDD PIM: 08-01, WTW PIM: 05-01

III. 90-Day Timeline Policy

A. 90-Day Timeline: Intake

Applicants approved for aid who are mandatory WTW participants must complete appraisal and assessment and sign the WTW Employment Plan—Activity Agreement (WTW2):

- Within 90-days of date on Intake Approval Notice of Action (NOA) when eligible for aid on the date applied.

OR

- When ineligible for aid on date applied, but subsequently eligible for aid without reapplying: within 90-days of date began receiving aid, (see example under D.)

B. 90-Day Timeline: Carrying

For individuals who have been on aid for some time, the 90-day timeline to sign an initial WTW plan begins on the date the individual is required to participate in WTW activities.

1. Participation date known in advance

If the date the individual must participate in WTW is known in advance, develop an Employment Plan (WTW 2A and WTW2) within 90 days from the date participant must participate.

EXAMPLE: ES knows an exemption will expire August 31 - the Plan is due November 30 (90 days).

2. Participation date unknown

If the date the individual will be required to participate in WTW is NOT known in advance, develop Employment Plan - Activity Assignment (WTW2) 90 days from the first day of the following month.

EXAMPLE: Participant loses full-time job on July 10th, and informs ES two (2) weeks later: the 90 days begins August 1st.

3. Ongoing case management

If there is a subsequent interruption of WTW participation after full implementation of SB1104, re-engage the individual in WTW as soon as possible, but no later than 90-days.

EXAMPLE: After an exemption ends or a WTW Compliance Plan (WTW 32) is signed, the 90-day deadline is in effect.

C. Assessment Activities

The 90-day timeline includes the following appraisal/assessment activities. If applicable, these activities must be completed within the 90-day timeline.

- Targeted Vocational Assessment Workshop (TVAW)
- Learning disability screening and evaluation (referral to RAMS or other provider for Evaluation)
- Process of obtaining medical evaluation (CW61)
- Third-party assessment

D. Non-Compliance

The 90-day timeline does not include time spent in good cause determination or compliance and sanctioning processes, including the participation time in activities to end a sanction.

E. Curing Sanction

The 90-day timeline resumes when a sanctioned participant successfully completes the activity(ies) agreed to in the Plan to Stop a Welfare to Work Sanction (WTW 29).

IV. 90-Day Timeline Process

A. Intake Overview

1. At Intake, applicants are informed of the mandatory CalWORKs Orientation and meeting with ES that are to take place immediately following approval or receipt of cash aid. Intake WTW Informing (4072) is reviewed and signed by EW and applicant.
2. Intake Clerk schedules recipient for CalWORKs Orientation within seven (7) working days following the date:
 - a. Of Approval NOA **or**
 - b. As soon as the Orientation schedule allows.
3. Case **MUST** be transferred out of Intake within five (5) working days of Approval NOA.

For more details see Eligibility Handbook Section 50-43.

B. From Intake to Carrying Overview

1. For a participant who may drop-in for Orientation, the ES will receive a copy of the Orientation Letter (7201 CW) and CalWORKs Case Transfer Instructions (4003), and must contact the participant and schedule an appraisal appointment within five days of the Orientation date.
2. Follow appraisal and assessment procedure as outlined in WTW Handbook Section 72-2.

3. Both Employment Plans (WTW 2A and WTW 2) must be signed within 90-days following Intake Approval Notice or receipt of aid.

C. Track 90-day Timeline

To assure compliance with universal engagement requirements, track 90-day timeline for each case. Unit Supervisor and Section Managers agree on tool/method. Suggestions include:

- Worksheet for Time Limits (7027CW) (revised)
- Timeline Summary Tab on the Display Universal Engagement window in CalWIN

D. Universal Engagement - Start, Pause, and Stop Events

1. Start Event

A Start Event initiates a timeline and is required in order to start the timeline. Once entered, the first start event cannot be deleted. Example of a Start Event: Approval of cash aid.

2. Pause Event

A Pause Event pauses a timeline. Example of a Pause Event: WTW exemption.

3. Stop Event

A Stop Event stops a timeline. Example of a Stop Event: Case discontinuance.

E. Universal Timeline Event Description

TIMELINE TYPE	TIMELINE EVENT DESCRIPTION
90-DAY	START EVENT - WHEN AID APPROVED
90-DAY	PAUSE EVENT - DOMESTIC ABUSE
90-DAY	PAUSE EVENT - FAMILY REUNIFICATION (MANUAL PAUSE)
90-DAY	PAUSE EVENT - EXEMPT
90-DAY	PAUSE EVENT - COMPLIANCE PLAN ACTIVATED
90-DAY	PAUSE EVENT - GOOD CAUSE DETERMINATION PROCESS (MANUAL PAUSE)
90-DAY	PAUSE EVENT - SANCTION
90-DAY	STOP EVENT - PLAN ACTIVATED
90-DAY	STOP EVENT - AUTO CLOSE
90-DAY	STOP EVENT - CASE DISCONTINUED

F. Universal Engagement Timeline Examples

1. Intake (Start Events)

EXAMPLE #1: Abigail applies for aid on May 27, 2008. The date on her Approval NOA is June 7, 2008. ES has

90-days from June 7, 2008 to develop Employment Activity Plan (WTW2) for Abigail.

EXAMPLE #2: Albert and Amy apply for aid on March 16, 2008 but due to income earned in March will not be eligible for aid until April 1, 2008. ES has 90-days from April 1, 2008 (to June 29th) to develop Employment Activity Plan (WTW2) for Albert and Amy.

2. Exemption ends (Pause Event)

EXAMPLE: Ms Zee's intake is approved March 1st. After attending her first CalWORKs Orientation on March 15th, she requests an exemption due to a medical condition. The CW 61 documents that her disability is effective April 1, 2008 through September 30, 2008. Ms Zee's 90-day timeline began upon intake approval (March 1st).

The 90-day timeline automatically pauses once she is exempt effective April 1, 2008. She must be contacted at least 30-days prior to the exemption expiration date to determine her WTW status. If her medical problem is resolved and she has no other reason to be exempt, her 90-day timeline resumes effective 10/1/08 (after exemption expiration date).

Ms. Zee has 59 days left on her 90-day timeline after exemption expires. So, Employment Plans (WTW2A/2) must be developed by November 20, 2008.

3. Employment Plan signed (Stop Event)

EXAMPLE: Mr. D, a single father, signed his first Employment Plans (WTW 2) on 9/5/2008. Thus, his 90-day timeline automatically Stops effective 9/5/2008.

4. Tracking 90-days with interruptions

EXAMPLE: Ms W's Intake Approval NOA is dated March 22, 2008. Ms W attends CalWORKs Orientation on March 29 but does not come to the assessment appointment on April 4.

Initiate non-compliance on April 7 (NA840 and WTW 27). Manually Enter Pause Event with a begin date of April 7. (This is the beginning of the good cause determination process.) Re-schedule assessment appointment for April 14 (call this the 20-day appointment as well).

When Ms. W comes to her April 14 appointment, she provides good cause reason for not attending assessment appointment on April 4, and is granted "good cause" for non-compliance. Refer Ms. W to TVA Workshop (TVAW) and then do the following:

1. Manually enter End Date for the Pause Event using April 13 as end date.
2. Manually enter Start Event to resume 90-day timeline using April 14 as start date.

**** Dates must be contiguous****

Count Down of 90-days: 16 days used from March 22 to April 7. Count resumed on April 14. Thus, 74 days left to complete TVAW and sign Employment Assignment Activity Plan (WTW 2).

See calculation below:

16 days used from March 22 to April 7. Resumed count on April 14.

Result: 90-day timeline minus 16 days used equals 74 days remaining to complete TVAW and sign WTW 2. (90 days -16 days used = 74 days remaining)

****Track the 90-day timeline carefully****

V. CalWIN Process

For step-by-step instructions on how to update 90-day timeline in CalWIN, please refer to the Reference Guide: CR 3949 -Release 18 dated August 2008. The reference guide can be found on the HSA Intranet on the CalWORKs page under ESQA Training Documents.

VI. Forms

Form #	Form Name	Purpose	Language
4072 (Obsolete)	Intake WTW Informing	Notice of Mandatory CalWORKs Orientation and Appraisal appointments signed by Applicant and Intake EW.	Chinese Russian Spanish Vietnamese
7027CW	Worksheet For Time Limits	A case management tool used to calculate and track Time on Aid Months (48-0).	English Only
CW 61	Medical Report	"Main form" for documentation of incapacity/deprivation for cash aid or disability related exemption from welfare-to-work activities.	
WTW 2	Employment Plan - Activity Assignment	This SDSS-required form specifies up to four welfare to work activities that the Participant is committing to engage in. It also specifies activities as core or non-core.	Chinese Russian Spanish Vietnamese
WTW 5	Welfare to Work Program Notice	An informing notice about the program, for clients.	Chinese Spanish Vietnamese
WTW 29	Plan to Stop a WTW Sanction	State form to use with all sanctioned individuals who wish to comply with WTW and CURE the sanction.	
WTW 32	WTW Compliance Plan	The ES and participant agree to and sign the plan to bring the non-cooperating participant back into active status in WTW.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 5/5/05

72-2: Appraisal & Assessment

I. Introduction

Appraisal and assessment are continuous processes during which information is gathered about the client and an employment plan is developed.

CDSS regulations separate the two processes with appraisal being the first interaction with the client and assessment being more in-depth interaction. In practice appraisal and assessment are phases of the same process and continue throughout the individual's participation in WTW.

Appraisal begins with the group informing of recipients at the CalWORKs Orientation. The Employment Specialist (ES), Vocational Assessor (VA) and Trainers complete appraisal and assessment jointly. After an initial appraisal meeting with the ES, a referral to Job Readiness Appraisal (JRA) is made. JRA is a month-long appraisal, assessment and job readiness activity including group and individual interactions.

The outcome of JRA is an initial Employment Plan - Activity Assignment (WTW 2) outlining a series of activities designed to lead to self-sufficiency. Following JRA the ES and participant determine the Employment Plan - Activity Assignment (WTW 2). Universal engagement requires the signing of a WTW 2 within 90 days of the date of the approval Notice of Action (NOA).

Self-initiated programs (SIPs) are evaluated at appraisal interview(s). JRA is not required when a SIP is approved. Exempt volunteers and employed participants who cannot attend full time JRA may complete assessment requirements by individual appointments, on a case- by-case basis.

A. Organization of this Handbook Section

The Appraisal and Assessment Handbook Section 72-2 includes the State CalWORKs regulations as well as local policy and procedures. Specific steps included in assessment are detailed in separate sections identified by additional numbers. For example:

- Section 72-2.1: Targeted Vocational Assessment (TVA)
- Section 72-2.2: Learning Needs Screening

Supportive service sections of the handbook include policy and procedure for the following assessment and services:

- Section 74-2: Mental Health and Substance Abuse Services

- Section 74-3: Domestic Violence Services

II. References

A. References from the Law and Regulations

ACL 98-41, Regulations 42-711 ACL 01-70; 02-64; 04-41 and Errata

B. References from San Francisco's Welfare to Work Operations Plan

Section IV (C)

C. Cross-references to other Sections of this Handbook

Section 71-4: Exemptions

Section 72-1; Orientation

Section 72-1.1: Universal Engagement

Section 72-2.2: Learning Needs Screening

Section 72-2.3: Criminal Records and Background Checks

Section 72-2.5: Evaluation

Section 72-2.6: Special Needs

Section 72-2.7 Learning Disabilities

Section 72-2.8: Core and Non-Core Activities

Section 72-2.9: Third party assessment

Section 72-3: Employment Plan

Section 72-4: Self-Initiated Programs

Section 73-11A: Adult Basic Education: ESL

Section 73-15 B: Up-Front Job Search

Section 74-2: Mental Health and Substance Abuse Services

Section 74-3: Domestic Violence Services

Section 75-2: Referral Procedures

Section 75-6: Reappraisal

Section 75-8: Crossover Cases with CalWORKs and Family and Children's Services

Section 76-2: Good Cause Determination

Section 76-3: Cause Determination and Compliance

Section 77: Grievance

Cross-reference to CalWORKs Eligibility Handbook

Section 50-30: Intake/Domestic Violence

Section 57-15: Continuing Activities/Domestic Violence

Section 58: Time On Aid

E. Cross-reference to Program Information Memos (PIMs)

F. Cross-reference to Workforce Development Bulletins

#04-01: Full Time Supervised Job Search

#05-03: Job Readiness Appraisal

III. Appraisal and Assessment Policy

Mandatory recipients are required to participate in appraisal immediately following cash aid approval. Appraisal begins at CalWORKs Orientation and continues with the initial appointment(s) with the ES.

Assessment of the individual's skills and needs is the basis for developing the WTW Plan (Employment Plan - Activity Assignment, WTW 2).

Universal engagement places strict time limits on the length of time between aid approval and development of the Employment Plan. See Handbook Section 72-1.1.

Appraisal and assessment requirements include:

A. Information Gathering

Appraisal begins with the group informing of recipients at the CalWORKs Orientation. Information about screening for learning disabilities must be presented at first WTW contact (i.e. CalWORKs Orientation, see Handbook Section 72-1).

At the appraisal interview(s) ES continues to inform the recipient about requirements and services, and begins to gather information about the individual including:

- Employment history and skills,
- Need for supportive services,

Barriers to participation in WTW, and

- Any other relevant information that will assist the development of an Employment Plan.

Assessment continues the information gathering process by learning more about:

- Work history, inventory of employment skills, knowledge and abilities.
- Education history and competency levels.
- Physical limitations or mental conditions that impact employability or participation in WTW activities.
- Needs for supportive services.

- Evaluation of the employability given current skills and local labor market conditions. Review local labor market information.
- Identification of available resources to complete the WTW Employment Plan - Activity Assignment (WTW 2).

B. Up-Front Job Search

Results of appraisal determine whether or not to refer the recipient to up-front job search before assessment. See Handbook Section 73-15 B. The learning needs screening must be completed prior to assignment to up-front job search.

C. Learning Needs Screening

The learning needs screening must be completed prior to assignment to a WTW activity. If the screen score indicates possible learning disability, referral for a formal evaluation by a licensed professional approved by the program is required. See Handbook Section 72-2.2.

D. Targeted Vocational Assessment (TVA)

Targeted vocational assessment policy and procedure for all WTW participants is found in Handbook Section 72-2.1.

E. Criminal Record and Employment

Certain jobs/careers require licensure and/or background checks by the Department of Justice. Review of the recipient's criminal record is required before completing an Employment Plan - Activity Assignment (WTW 2) that includes such jobs/careers. See Handbook Section 72-2.3.

F. Additional appraisal/assessment requirements

The following forms and testing must be completed prior to development of an Employment Plan.

1. Welfare to Work Plan Rights and Responsibilities (WTW 1) is initiated in Orientation and reviewed during appraisal.
2. Participant Background Form (7000 CW) is initiated in Orientation and completed in appraisal.
3. Discussion Survey (7001 CW) is completed in appraisal and reviewed during assessment.
4. The flyer Background Checks and Employment (7042CW) is a tool to inform and identify participants who need assistance in addressing criminal records prior to pursuing certain jobs/careers.

5. The CASAS test helps determine reading, math and English-as-a-Second-Language (ESL) levels.

Results are used to decide:

- Which TVA tool to administer and
- Need for ESL or the VESL Immersion Program (VIP),and
- Appropriate WTW activity.

G. Referral to address employment barriers

Barrier(s) to employment may be identified at any stage of appraisal and assessment or after engagement in WTW activity. Employment barriers include:

- Mental health,
- Substance abuse, or
- Domestic violence.

Whenever a barrier is identified, refer the participant for evaluation by an appropriate provider. See Handbook Sections 72-2.5, Evaluation and 71-6, DV and WTW.

IV. Assessment Exceptions

Assessment is not required for persons who at appraisal are found to be in an approvable Self Initiated Program (SIP) or employed enough hours to meet the WTW participation requirements or certain Cal Learn teens.

A. SIP

Individuals in approved Self-Initiated Programs (SIP) are excluded from the assessment requirements, unless it is determined that it is necessary during appraisal. See Handbook Section 72-4.

B. Employed and meeting the participation requirements

Participants who are working in unsubsidized employment with sufficient hours to meet the participation requirements are not required to complete assessment or sign an employment plan.

- Individuals who do not go to assessment will only receive necessary supportive services to maintain employment.

Individuals who wish to participate in another activity (i.e. training) and receive supportive services must complete assessment.

C. Welfare to Work Activity requirements for 19-year-old parents

1. Teen parents in Cal-Learn

Nineteen-year-old custodial parents who have been active in the Cal-Learn program prior to their 19th birthday may volunteer to stay in Cal-Learn until age 20 if they are enrolled in high school or a GED program. These 19-year-olds are exempt from WTW.

2. Non-Cal-Learn 19-year-old custodial parents

A 19-year-old custodial parent who has no high school diploma or GED, who is not otherwise exempt from WTW, and is not participating in Cal-Learn is required to participate in WTW activities only to earn a high school diploma or its equivalent. S/he is exempt from participation in other WTW activities. The WTW activity must be GED or education leading to a high school diploma.

A 19-year-old custodial parent loses the exemption from other WTW activities by dropping out of full-time school attendance (GED studies). S/he cannot regain exempt status by returning to school. S/he must meet WTW core and non-core and hourly participation requirements, which may include GED studies.

3. Parent unable to benefit from continued enrollment in high school or GED

Nineteen (19) year old custodial parents who have a suspected learning or medical problem, shall be referred to an evaluation to determine whether the individual is unable to successfully complete or benefit from the school program. See Handbook Section 75-5: Evaluation.

The need for evaluation may be indicated by information received during appraisal or assessment or by lack of satisfactory progress in the school assignment.

4. Teen parents with a diploma or GED

Teen parents with a high school diploma or GED are required to participate in WTW activities and are subject to all program requirements.

5. Teen parent may be a SIP

If the teen parent enters WTW already enrolled in an educational or vocational program that meets WTW requirements, treat the teen as a SIP and follow the procedures in Handbook Section 72-4 for Self-Initiated Programs.

V. Independent Third Party Assessment

If the participant disagrees with the results of the assessment, a referral must be made for independent assessment by an impartial third party. See Handbook Section 72-2.9.

VI. Re-Applicant

When a re-applicant has had a TVA and Employment Plan - Activity Assignment (WTW 2) reappraisal is appropriate see Handbook Section 75-6. Do not refer to JRA.

VII. Crossover Cases

When a participant is also receiving services from Family and Children's Services (FCS), follow the procedures for a crossover case and include the Child Welfare Worker (CWW) in the case planning.

Consult with the CWW to determine if Up-Front Job Search is appropriate. Include the court ordered FCS service plan in the Employment Plan.

A MDT (Multi-Disciplinary Team conference) may be appropriate. The MDT is a good place to share information.

See Handbook Section 75-8 for more information about crossover cases.

VIII. Process - The Initial Appraisal Interview

Appraisal and assessment are a continuum of information gathering, review and evaluation. The following steps apply to new recipients of cash aid and re-applicants. The order of the appraisal and assessment steps may vary depending on the individual's presenting issues. However, all steps should be addressed with each participant. Many of the steps are repeated at Reappraisal.

The initial appraisal interview with the ES will include:

A. Scheduling the interview

WTW requirements for universal engagement mandate time frames for initial appointment with the participant. See Handbook Section 71-1.1

B. Preparing for the interview

Prior to meeting with the new recipient, review the Participant Background Form (7000 CW). If a re-applicant, review the case file for assessment, WTW and 48-month time on aid information prior to the first meeting.

C. Time on aid

For re-applicants the number of months remaining in the 48 months time limits may impact development of the Employment Plan. Review the county Reappraisal policy for further information in Handbook Section 75-6. See also Eligibility Handbook Section 58-4, Time on Aid/Intake.

D. Review Rights and Responsibilities (WTW 1)

Review Welfare to Work Plan Rights and Responsibilities (WTW 1) with the client, whether or not s/he has already signed it.

Once it is signed, s/he is no longer a "registrant" but is classified as a "participant." If it is not signed, s/he must sign it now.

Refusal to sign:

- Inform client about grievance and fair hearing rights.
- Resolve questions or issues about WTW.
- If no resolution is possible, seek assistance from the Unit Supervisor and/or from a Client Advocate.

If none of these methods achieve resolution, follow steps for noncompliance beginning with the Compliance Protocol. (Handbook Section 76)

E. Review and complete the Participant Background Form (7000 CW)

The Participant Background Form (7000CW) is an interview tool. If the participant has not completed the form during Orientation, use the initial interview to review the form together and fill in the blanks. Emphasize the importance of having complete, accurate information. The form follows the participant to the JRA activity.

F. Complete the Discussion Survey (7001 CW)

The Discussion Survey (7001 CW) reviews the more sensitive areas in a participant's life to identify potential barriers to succeeding in an employment plan, securing and maintaining stable employment. It offers a systematized approach to identifying barriers to employment.

Completion of the Discussion Survey (7001 CW) may require more than one interview. Acknowledge all the questions may not apply to the participant's life situation. Ask her/him to answer the questions as honestly as possible. Take time to ask all the questions.

How to use the Discussion Survey?

1. Introduce the Discussion Survey as suggested on the form.

2. Ask each question, and follow up with the shaded questions as appropriate.
3. Record the participant's responses in the "Interpretation" column on the right, i.e., yes, once in awhile, no, never, etc. Make other notes on the form as needed to be helpful.
4. Make referrals as suggested in the shaded areas as appropriate using the suggested resources on the list provided with the form.
 - Note special instructions for how to respond to question H. #2 about suicide.
5. Use the entries in the "Interpretation" column to note areas for follow up.

G. Referrals from appraisal

In the appraisal interview(s) determine job search and assessment needs. Refer participant to next step, as appropriate.

1. Refer most new recipients to Job Readiness Appraisal (JRA).

For referral procedures see WDD Program Bulletin #05-03.

2. Refer new recipients with high market connections, as appropriate, to Up Front Job Search. Job Readiness Training (JRT) is the Workforce Development program that meets up front job search requirements.

See Handbook Section 73-15B for policy and procedure about when to refer to Up Front Job Search.

3. Re-applicants with WTW history:

Refer re-applicants who never had a TVA or WTW Employment Plan (WTW 2A) to Job Readiness Appraisal (JRA).

Refer re-applicants with WTW Plan (WTW 2A) and participation history to job readiness training (JRT) or Job Club (JCL) (see WDD Bulletin #04-01). If no job is found, follow up with reappraisal.

A re-applicant may qualify as a SIP who during a break in aid has enrolled in school or training, if otherwise eligible.

4. Other as appropriate to case situation, for example:
 - Exempt volunteer - may attend JRA, but if unable to participate in the full time schedule, must complete the required assessment activities in individual appointments.

- Part time employment -- if work schedule conflicts with available JRA sessions, complete required assessment activities in individual appointments.

IX. Process - Job Readiness Appraisal (JRA)

Job Readiness Appraisal (JRA) is facilitated by Workforce Development Division (WDD) and governed by WDD Program Bulletins as well as CalWORKs appraisal and assessment requirements.

A. Referral to JRA

For referral procedures see WDD Program Bulletin #05-03.

B. Assessment Requirements provided during JRA

Most participants will be required to complete JRA and in doing so will benefit from the activities outlined below.

In the event a participant is not required to complete JRA, the four listed activities must be completed prior to an Employment Plan - Activity Assignment (WTW 2) being developed.

Make referrals for individual appointments as appropriate to assure a complete appraisal/assessment prior to developing the Plan.

Required assessment activities include:

1. Learning Needs Screening (Form 7001A CW)

In order to identify participants who may need further assessment of possible learning disabilities/learning needs, complete the Learning Needs Screening form (7001A CW) for all participants who attended elementary and/or high school in the U.S.

If the individual is a re-applicant, complete the 7001A CW if it was not done during previous participation.

Learning needs screening policy and procedure are outlined in Handbook Section 72-2.2 for all participants.

2. Criminal record check

Give the flyer Background Checks and Employment (7042CW) to everyone. The individual may or may not wish to disclose such personal information. By giving the flyer to everyone, every participant is informed about how WTW can assist with this barrier. The individual with a criminal record may seek legal assistance on his/her own, or reveal the record and ask for direction.

See Handbook Section 72-2.3 for how to proceed with the employment plan when a participant has a criminal record.

3. CASAS Test

The CASAS test helps determine reading, math and English-as-a-Second-Language (ESL) levels. Results are used to determine:

- Which TVA tool to administer and
- Need for ESL or the VESL Immersion Program (VIP), and
- Appropriate WTW activity.

4. Targeted Vocational Assessment (TVA)

Handbook Section 72-2.1 presents full information on kinds of TVA's, and how to use the results of the TVA. Included are procedures to schedule individual TVA appointments, separate from JRA.

5. Other assessment activities included in JRA

During JRA, participants engage in additional assessment and job readiness activities as appropriate to determine the individual's skills, abilities, barriers, goals etc. Following is a list of additional activities currently included in JRA:

Additional activities included in Job Readiness Appraisal (JRA)		
Master Application	Job Search Schedule Worksheet	Oral interview practice
JIST Card	Phone Script	Career Research
Resume	Intro to P.C.	Barriers to Employment Screen
(3) References	Internet Job Search Experience	Career Counseling - individual with VA; minimum two (2) meetings
Sample Cover Letter	Email address	

Although everyone may benefit from these additional activities, they are not required assessment activities for individuals not referred to JRA. As appropriate, the VA may suggest a participant complete one or more of these additional activities through individual appointments.

X. Process - Assessment Outcome

A. Assessment Outcome - JRA

When assessment is completed by participation in the many steps in the JRA process, the VA and participant in consultation with the ES, draft the Employment Plan - Activity Assignment (WTW 2), see Handbook Section 72-3.

When a participant does not complete the JRA, WDD staff will inform ES in a timely manner.

Next steps by the ES will be determined on a case by case basis. Initiation of the noncompliance process may be required by program policy. See WTW PIM #05-01.

See WDD Bulletin #05-03 for requirements for second and subsequent referrals to JRA.

B. Assessment Outcome - Individual Assessment

Participants who are not required to attend JRA to complete assessment may meet the requirements listed above by individual appointments.

After TVA and Career Counseling appointment the VA will share outcomes by completing the Activity Summary and Recommendations.

ES writes the WTW Employment Plan - Activity Assignment (WTW2) with the participant based on the recommendations and obtains required signatures.

C. No Agreement on Employment Plan?

If the participant and the VA/ES cannot agree on the Plan, an independent third-party assessment may be necessary. See Handbook Section 72-2.9. Client Advocate may also assist in resolving differences.

XI. Re-Appraisal

A. Re-applicant and reappraisal

Completion of a Reappraisal for re-applicants who previously participated in WTW may be more appropriate than referral to JRA, unless the individual never had a TVA and/or WTW Employment Plan (WTW 2A).

However, anyone can benefit from the varied activities provided in JRA.

B. Reappraisal during participation

As a participant engages in WTW activities any of the following may require review and changes to the Plan:

- Changes in her/his life,
- Identification of barriers,
- Failure to make satisfactory progress or
- Completion of all activities in the Employment Plan (WTW 2A).

This process is called REAPPRAISAL and is discussed in Handbook Section 76-5.

XII. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

XIII. Forms

Form #	Form Name	Purpose	Language
WTW1	Employment Plan – Rights and Responsibilities	This CDSS required form describes the rights and responsibilities of Welfare to Work Participants. It is signed by the client and an Employment Specialist at the Orientation and Appraisal Workshop, or in a later interview.	
WTW2	Employment Plan - Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7000CW	Participant Background Form	A form completed by the participant, with assistance from the Employment Specialist. It captures participant background information relating to securing employment, e.g., work and education history.	
7001CW	Discussion Survey	A required form used as an interview tool with the participant in appraisal. It offers a systematized approach to identifying barriers to participation and employment.	
7001A (aka WTW 18) Part 1	Learning Needs Screening	A two-part questionnaire administered during assessment to determine if a participant would benefit from a learning disability evaluation. Both parts should be completed.	
7001A (aka WTW 19) (Part 2)	Learning Needs Screening (Client Copy)		
7002CW	Reappraisal for New Employment Plan	A form required prior to completing a second or subsequent WTW Employment Plan (WTW 2). The reappraisal process and outcomes are documented on the form.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be

available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 7/13/12

72-2.1: Targeted Vocational Assessments (TVAs)

I. Introduction

HSA Employment Services Division offers several types of Targeted Vocational Assessments (TVAs) through its Vocational Assessment Unit.

Assessment includes evaluation of an individual’s: Basic Skills, Vocational Aptitudes, Interests and Abilities.

Administration of the CASAS Employability Competency System and the academic achievement portion of the TVA Test Only System test evaluate basic skills. Results are reported as reading competency standard scores and/or approximate reading and math grade equivalents.

Vocational Aptitude, Interest and Ability evaluations are accomplished by administration of one of several standardized instruments selected to match certain client characteristics. Broadly speaking, this type of evaluation is an assessment of client characteristics that may include vocational interests, abilities, academic skills and temperaments. The assessment results in a list of jobs or vocational areas for which the individual is best suited. The particular assessment tool used is chosen to match the needs and skills of the client; delivery options include personal computer, paper and pencil tests, pictorial inventories.

All clients are offered the opportunity to make a Career Counseling follow-up appointment to meet individually and preferably with the Case Manager, and a counselor to discuss results and vocational options.

HSA has the TVA Test Only to make Targeted Vocational Assessments (TVA’s) of interests, aptitudes; work temperaments and academic achievement available to all CalWORKs WTWparticipants with a CASAS reading level of 221 or above and possess the necessary computer skills.

Assessments are available for non-readers and ESL clients. Reading-Free/Language ("Mod D") services continue to be available. A Reading Free/English (Mod.D) has been added to TVA services. All methods used are normed and standardized.

A. TVA Test Only Assessment

TVA Test Only is a comprehensive, strength-based vocational assessment tool. A PC-based assessment system, TVA Test Only greatly increases HSA capacity to provide vocational assessments. TVA Test Only will allow HSA to assess WTWparticipants as they enter the

CalWORKs program, as they move from one activity to another, or as they engage in career advancement activities.

TVA Test Only Assessment can provide information on:

- Vocational interest clusters for all participants, which will help to identify the most appropriate WTW services
- Academic levels of all participants, to identify the educational needs of participants in the program
- Vocational strengths of all participants, to direct job development efforts
- Candidates' skills, to screen the most appropriate candidates for specific job openings

CASAS reading level above 220 is required for TVA Test Only.

B. System contents

The TVA Test Only contains a core assessment package that evaluates many characteristics. The first list below includes all the characteristics addressed in the HSA Standard Battery; the second list includes characteristics that may be addressed by special arrangement with a Vocational Assessor.

The JOB*SKILLS list measures workplace competency and proficiency for the world of work.

Standard HSA Battery of TVA Test Only Assessments	
<ul style="list-style-type: none"> • Reasoning, math and language • General aptitude • Verbal • Numerical • Clerical 	<ul style="list-style-type: none"> • Form perception • Spatial • Color discrimination • Vocational interest • Job temperaments
Additional TVA Test Only Assessments Available Upon Request	
<ul style="list-style-type: none"> • Motor coordination • Finger dexterity • Manual dexterity 	<ul style="list-style-type: none"> • Eye-hand-foot coordination • Work attitudes • Work ethics

Job*Skills TVA Test Only Assessments Available Upon Request
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JOB*SKILLS measures workplace competency and proficiency for the world of work. The 53 computerized tests include the following. For a complete list, consult a Vocational Assessor.	
<ul style="list-style-type: none">• Access• Bookkeeping• Data Entry 10-key• Excel	<ul style="list-style-type: none">• Lotus Notes• Microsoft Office• Microsoft Word• Typing Speed

C. Reading Free (Mod. D) assessments

The Reading Free assessment, also known as Mod D, is appropriate for English or non-English speaking individuals whose reading levels are below CASAS 221.

II. Policy

A. Targeted Vocational Assessment is required for CalWORKs participants and career advancement clients

All CalWORKs participants will be assigned to a Targeted Vocational Assessment (TVA) as they enter the program and as they move from one activity to another or engage in career advancement services.

1. CalWORKs Orientation

The TVA will be introduced during the CalWORKs Orientation sessions. Recipients will be scheduled for the appropriate TVA tool based on the CASAS scores in conjunction with self-reported personal computer competency. CASAS testing is done at the Orientations; a Computer Literacy Questionnaire is completed at the Orientations.

2. Reappraisal

If a participant has not completed a TVA, a referral for the appropriate TVA tool shall be made during reappraisal.

3. Post-aid retention and career advancement

Clients receiving post aid services shall be referred to TVA as appropriate, if a TVA was not completed while on aid.

4. By request

A participant may request a TVA at any time. The appropriate tool shall be utilized.

5. Additional TVA Test Only Assessments

The additional assessments listed above may be accessed by request from a Vocational Assessor at Reappraisal or post-aid. The assessment might be for finger dexterity or motor coordination. Such additional information may help with deciding on an appropriate training program.

6. Screen and certify hard skills

The TVA Test Only assessment includes Job*Skills, which measures work-place competency, and proficiency for the world of work. During job search, the participant may be assessed in specific skills and referred to specific job openings.

B. Special needs participants

1. Computer challenged participants/Options

A "pen and paper" TVA Test Only assessment will be available by special appointment arranged by the Case Manager and Vocational Assessor.

2. Limited English Proficient (LEP) participants and TVA Test Only

- Spanish versions of TVA Test Only are available. Spanish TVA Test Only are scheduled at 3120 Mission St, Career Link and 170 Otis St.
- Russian and Vietnamese versions of TVA Test Only are available at most sites.
- Until the other translations arrive, LEP participants should take the Reading Free (Mod D) pictorial assessment offered at Career Link.

Note: Those requesting TVA Test Only in a language other than English must still meet the basic criteria of CASAS level of 221 or above, and possession of personal computer (PC) skills.

C. Results of the TVA

The written summary of results from the TVA Test Only will be reviewed with the participant in a group interpretation and career research session. The participant will get a copy of the report, which includes a list of jobs that match the participant's abilities and interests. All TVA reports (TVA Test Only and Reading Free) are available in a shared database on the "0" drive.

In addition to the assessment report, each participant leaves with a Career Research Worksheet filled out at the final session. Participants are also informed of the availability of the self-service One Stop (Career Link, 3120 Mission) and Employment Centers at various locations (EIC, 170 Otis; Computer Lab at 1235 Mission, SECC at 1800 Oakdale), where they may drop in to continue the career re-search begun during the assessment sessions.

The participant will be advised to meet with the Case Manager and to share the results of their own career research when discussing the TVA results.

The results of the TVA must be considered in the ultimate development of an Employment Plan. There are two ways for the Case Manager to access consultation about how to apply the results.

1. Career Counseling

Vocational Assessors are available for individual Career Counseling appointments concerning career planning and assessment results. If at the case conference it is determined an individual Career Counseling appointment is advised, make an appointment at one of the Career Centers for a three way meeting to include the Vocational Assessor, participant and Case Manager.

Career Counseling is individual, 50-minute meetings scheduled with a Vocational Assessment Counselor. Counselors are available at all HSA sites at various times. The site Counselor will review assessment results, discuss career planning and Employment Plan development, and assist with service referrals as necessary.

The Assessment Unit publishes a schedule of Career Counseling locations, hours and phone numbers

D. How TVA Results will be used

The TVA results will:

1. Be used as guides in the development of employment plans and the selection of appropriate WTW activities;
2. Provide objective information to participants and Case Managers to augment the subjective identification of career interests;
3. Identify gaps in hard job skills and identify individual training needs;
4. Assist in providing direction to a participant's job search
5. Screen and "certify" job seekers' hard skills for potential employers.
6. Additionally, the results may be used as a pre/post-testing tool to judge effectiveness of vocational job skill training programs.

E. Compliance policy

A no show to any of the initial TVA appointments will not be considered an instance of non-compliance.

1. Start the appraisal process

If an individual has missed the TVA appointment, meet to begin the appraisal process without the completed assessment package. During the appraisal interview, positively engage the participant, explaining the purpose and benefits of a TVA. After this discussion, re-schedule the participant to the TVA session not completed.

2. Reschedule limit

If the recipient/participant fails or refuses without good cause to complete the TVA process two times, take the steps outlined below.

3. Failure or refusal to complete a TVA

A participant who fails twice, without good cause, to complete the assessment will be treated as if the participant has "refused" to take it.

- a. Schedule an appointment with the individual and proceed with referral to Up Front Job Search or development of an Employment Plan. Follow the guideline in the next paragraph for allowable WTW activities.
- b. Participants who refuse to complete the TVA will not be allowed to participate in any education or training activity as part of the Employment Plan.
- c. The only activities, which may be approved, are Job Readiness, Supervised Job Search, Work Experience, or OJT.
- d. Failure to complete the TVA does not result in non-compliance action.
- e. However, if the individual refuses to accept the limited WTW activity options, i.e., Job Readiness/Search, Work Experience or OJT, proceed with the compliance protocol. The reason for noncooperation is "failure or refusal to sign a WTW plan". See Handbook Section 76, beginning with the Compliance Protocol.

III. Process

The procedure for scheduling the TVA at Orientation may be found in Handbook Section 72-1, Orientation.

A. How to schedule a TVA

The Case Manager may refer participants who have not completed the TVA.

1. CASAS scores are required to determine the type of TVA appropriate for the participant. Schedule CASAS testing during the CalWORKs Orientation.
2. Alternatively, the requirement may be satisfied by pre-existing CASAS scores from any source, or other documentation of a reading level at the 6th grade equivalent or better.
3. If the reading level is above CASAS 220, determine the individual's personal computer (PC) experience by asking them to complete the brief PC Literacy Questionnaire

4. If PC-literate assign to TVA Test Only, the READING FREE may also be assigned as appropriate. Consult the chart in part IV. Vocational Assessment Services which describes this process including the schedule.
5. Send/give the individual the TVA Appointment Letter to confirm the schedule and location of appointment. Use the appointment letter specific to the type of TVA assignment: TVA Test Only or READING FREE. The specific letters are listed on the chart in Part IV. In addition, in Forms, Part VI. of this handbook section. Fill in the correct address and dates of the TVA into the letter.
6. Emphasize the importance for the participant to show up as scheduled. Failure to show up may result in a lengthy delay in re-scheduling and in creation of an Employment Plan.

B. TVA Appointment Reschedule

The Case Manger will be notified in two ways about no shows to TVA appointments.

1. Email

The Case Manager will also receive an email notification by the end of TVA sessions as to which participant is assigned. Stating whether they completed. No reports will be generated unless the participant completes all sessions of the TVA.

2. To reschedule an individual for a TVA or one of the appointments:

- If the TVA followed Orientation, meet with the individual before re-scheduling. Explain the TVA and its relevance to WTW
- If the TVA is assigned later in the WTW participation, you should reschedule according to current procedures. Follow the policy for limitations on reschedules outlined in this handbook section, Part II. Policy
- Send/give the individual the appropriate Appointment Letter to con-firm the schedule and location of the TVA, (see Part IV or VI below for a listing of the notice/letter numbers)

IV. Summary: HSA Vocational Assessment Services

TVA – Type	Client Characteristics	Comp: TVA	Location/Site	Frequency
TVA Test Only/ <i>JOBS Aptitudes, Interests, Academics, Temperaments</i>	CASAS Reading >220, and PC experience	Provider: TVA Test Only1 Comp: TVA Letter 7227 CW	170 Otis	Tuesday AM/PM
			SFCL - 3120 Mission	W, Th, Fri 2 x /mo (AMs)
			SE - 1800 Oakdale	T, W, Th 1 x / mo (AMs)
READING FREE General	CASAS <221	Provider: RDFREE	SFCL - 3120 Mission	Wed - 2 x /mo (PMs)

ability, Interests English or Language (Russian, Spanish, Cantonese., Vietnamese.)		Comp: TVA Letter 7229 CW		or Fri - 2 x / mo (AMs)
CASAS Basic reading competencies; English and Language	ALL (the CASAS test is automatically given at all CW Orientations)	Provider: HSA001 Comp: ASM	170 Otis Room #2	See CalWORKs Orientation Schedule (Provider: HSA002; Comp: ORE)
		Provider: SECC Comp: CASAS	1800 Oakdale/SE	

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
7227CW (7/12)	TVA Test Only Appt Ltr	Invitation to 2-3 days TVA Test Only	
7229CW (12/08)	TVA SFCL 00 Appt Ltr Reading Free	Invitation to ½ day TVA Career Link Reading Free	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/1/12

72-2.2: Learning Needs Screening

I. Introduction

Learning disabilities may affect up to 40 percent of the adult welfare population according to the U.S. Department of Health and Human Services, Office for Civil Rights (OCR). It is critical that all participants are screened for learning disabilities so the program may address individual needs appropriately.

Learning Needs Screening (LNS) is used to identify potential; LD. LNS has been operational in San Francisco since May 1999 for all initial appraisals. LNS was mandated during Reappraisal in January 2001.

The State Department of Social Services (SDSS) has issued policy and procedure for the CalWORKs Program to present information about the availability of a screening for learning disabilities at the first WTW contact (i.e. orientation) and to provide mandatory LD screening, evaluation, diagnosis, accommodations and other services to all Welfare-to-Work (WTW) participants as well as a formal waiver of the right to screening and evaluation. The overall goal is to examine alternatives and attempt to remove barriers that prevent participants with LDs from participating to the fullest extent possible in the CalWORKs WTW program.

The LD policy mandated by SDSS is being phased into WTW Handbook Sections. With the issuance of this Handbook Section update, the Learning Needs Assessment (LNA) referral to the Vocational Assessor is eliminated.

When the screening indicates potential LD, the individual must be referred directly to a formal evaluation by a licensed professional.

II. References

A. All County Letters

ACLs 01-42, 01-70, 02-35, 02-64

B. Cross-references to Other Sections of This Handbook

Section 72-1: Orientation and Appraisal

Section 75-5: Reappraisal

Section 76-1: Compliance Protocol and Outreach to Prevent Sanction

III. Policy

A. State Policy

1. Definition: Learning disabilities (LD)

A LD is a heterogeneous group of disorders manifested by significant difficulties in the acquisition and use of listening, speaking, reading, writing, reasoning or mathematical abilities. LDs are intrinsic to the individual and presumed to be due to central nervous system dysfunction. Even though an LD may occur with other handicapping conditions, it is not the direct result of those conditions or influences. The LD disorders interfere with the participant's ability to obtain or retain employment or enter and participate in the CalWORKs program.

2. LD Screening Information at Orientation

The county is required to present information about the availability of a screening for learning disabilities at the first WTW contact (i.e. CalWORKs Orientation).

3. The Learning Needs Screening Form (7001A CW aka WTW 18/19)

Screening is the first step towards identifying individuals with suspected LDs. Screening begins when the Learning Needs Screening form (7001A CW) is administered by the Case Manager (Case Manager). Form 7001A CW (aka WTW 18/19) is a two part form. All individuals who receive a score on the screening tool that indicates a possible LD must be referred for further evaluation. Individual judgment should not be substituted.

Since no screening tool is 100 percent accurate, the Case Manager should observe the participant for other indications of potential LDs, particularly if the results of the screening tool do not indicate the presence of a potential LD.

4. Criteria for Screening Participants

All new CalWORKs WTW enrollees must be screened for potential learning disabilities at appraisal. All existing participants must be offered a screening. This includes employed and sanctioned participants.

5. Screen for potential learning disabilities at the earliest point when any of the following occurs:

- Individuals request a screening, self-identify as having a suspected LD (e.g., were previously in special education in K-12 school), or seem to have auditory or visual difficulty processing information
- Individuals are in the good cause determination, compliance, or sanction processes
- Individuals fail to maintain satisfactory progress in the WTW activities, including employment, or fail to progress in assigned activities

- The Case Manager or Community-Based Organization (CBO) suspects an individual may have a LD
- The individuals fail to progress in their post-cash aid employment
- There are situations when individuals appear to have suspected learning disabilities.
- Participants with Limited English Proficiency (LEP)

The Case Manager must provide access to comparable LD screening and evaluation services for the Limited English Proficiency (LEP) CalWORKs WTW population when it is suspected that an LD exists. Accordingly, the Case Manager must use alternative processes, such as referring a LEP participant to a qualified, bilingual professional for an LD evaluation.

6. When Participants Decline the LD Screening and Evaluation

Participants may decline the learning disabilities screening/evaluation. The Case Manager must not sanction a participant solely based on the participant's refusal to be screened and evaluated for LD. Instead, when a participant is hesitant to be screened/evaluated or declines a screening/evaluation, the Case Manager must offer an explanation that includes the following:

- The participant's right to have or decline an LD screening/evaluation
- The benefits of a LD evaluation, e.g., their right to ask for reasonable accommodations if a LD is verified

Should the participant decline the LD screening and/or evaluation, the Case Manager must inform the participant that:

- The participant's Employment Plan activities will not reflect any accommodations for a LD
- The participant may ask for a learning disabilities screening and/or evaluation later. If a LD is identified then, the Employment Plan will be modified to provide appropriate services and accommodations associated with the LD on a prospective basis only. There will be no restoration of time limits

The Case Manager must provide the Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation form (WTW 17) to the participant if the participant declines the screening and/or evaluation.

7. Attention Deficit/Hyperactivity Disorder (AD/HD)

Attention Deficit/Hyperactivity Disorder (AD/HD) and learning disabilities can be co-existing disorders. In such cases, it is difficult to address the individual's LD without addressing the individual's AD/HD. If the participant responds positively to the AD/HD question on the Learning Needs Screening form (7001A CW aka WTW 18/19) explore this issue further (i.e., determine whether treatment is being received for the AD/HD and, if needed, make a referral to the individual's physician or mental health professional).

8. LD Evaluation Referral

The Case Manager must refer those CalWORKs participants who have a suspected LD for learning disabilities evaluation by a licensed professional. This includes, but is not limited to, those individuals who:

1. Have a positive rating for potential learning disabilities based on the Learning Needs Screening form (7001A CW) OR,
2. Were previously identified as having learning problems (e.g., K-12 Special Education) or
3. Are suspected of having a LD even though the results from the LD screening did not indicate this.

B. Local Policy

1. Case Review

The CalWORKs case load must be offered/administered the screening/waiver as required in this handbook section, including employed and sanctioned individuals.

IV. Process

A. Share information about LD and CalWORKs Support

A participant may be apprehensive about the screening and/or evaluation process. To help put the participant at ease, the Case Manager should share information about learning disabilities and how CalWORKs can provide support.

Learning Needs Screening Information

Many people have a learning need or learning disability but don't know it.

You can find out if you may have a learning need by answering some questions. This is called a "screening."

Did you know?

1. Up to two out of five adults on welfare have learning needs.
2. Most people with learning needs are intelligent and many are gifted.
3. This includes many famous people like Whoopi Goldberg, Cher, and President John F. Kennedy!

Why get screened?

1. You can learn your strengths and find ways to make it easier for you to learn and help you be more successful at school and on the job.
2. You can get help from your Case Manager to get into the right kind of welfare-to-work activity, such as training.

If you have a learning need, it may be hard for you to:

- read
- do math
- listen
- organize things
- understand directions
- get along with others
- write
- say your ideas out loud
- Spell
- pay attention

Examples:

- Do you have a hard time filling out forms? Following directions? Getting people to understand what you are trying to say?
- Have you ever been in special education or got extra help in school as a child?

People with learning needs can have a lot of problems with some of these things, but do great with others.

What is the screening like?

The screening is very simple. It only takes about 15 to 30 minutes. It is just a few questions about your learning experiences and your health.

The screening is confidential, and it is your choice if you want to do it.

B. Administer the Screening

After this conversation, proceed to administer the Learning Needs Screening form (7001A CW), if the individual is ready to continue. (See B. and C. below)

Remember, use the LD Screening form only for those participants who attended elementary and/or high school in the U.S. and English is the first language. The screening form is not valid for any other population.

OR

If the individual is still reluctant to be “screened” complete the Waiver of CalWORKs Learning Disabilities Screening and Evaluation form (WTW 17). (See D. below)

C. Completing the Learning Needs Screening Form, 7001A CW (WTW 18/19)

The Case Manager completes the Learning Needs Screening form (7001A CW) with the participant. This form is two parts and Part 2 (WTW 19) Client Copy) includes with questions that must be answered and completed by the participant. The Case Manager must read the form aloud to the participant and should not allow the participant to complete the form alone. Do not complete the form on the telephone.

1. Provide the Client Copy to the participant to read along during the LD screening process
2. Ask the participant each question in sections I, II, III, and IV and page 4.
3. Record the participant’s responses by checking the Yes or No box.
4. Count the number of Yes answers in each section.
5. Multiply the number of Yes responses in each section by the number shown in the section subtotal. For example, multiple the number of Yes answers obtained in Section III by three.
6. Record the number obtained for each section after the “=” sign in the section subtotal.
7. To obtain a Total, add the subtotals from sections II, III, IV, and I. If the Total from sections I, II, III, and IV is 12 or more, refer for further assessment.

NOTE: Use the Additional Questions Which May Be Asked on page 4 to gather more complete medical and health-based background information. This information is very important for the overall screening and LD evaluation process.

1. Attention Deficit/Hyperactivity Disorder (AD/HD)

The form asks: “Have you ever been told that you have Attention Deficit Disorder with or without hyperactivity?” If the answer to this question is “yes” consult with a VA about how to proceed to evaluate this information.

D. Completing the Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation Form, WTW 17

If the participant declines the screening after the Case Manager has shared information about the benefits and encouraged participation, give the Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation form (WTW 17) to the participant. Direct the individual to read along silently while the Case Manager reads it aloud to the participant.

If after the information on the form is explained, the participant still declines the LD screening and/or evaluation, the Case Manager will ask the participant to sign the form. Give the participant a copy and place the original in the case file.

Proceed with the appraisal and/or development of the Employment Plan (WTW 2). Do not sanction a participant solely based on the participant's refusal to be screened and/or evaluated for LD.

E. Referral to Evaluation

Refer individuals who may have special learning needs directly to evaluation based on a score of 12 or greater on the 13-question Learning Needs Screening form (7001A-CW aka WTW18/19). To discuss the evaluation with the participant, the following information will be helpful.

What happens after the Learning Needs Screening?

The screening will help you decide if you want a referral to a licensed professional for an evaluation to find out if you need assistance learning new tasks.

The evaluation can help find both the barriers and the strengths in your learning style. With the evaluation CalWORKs can help you get the services you need to succeed in your employment goal.

The evaluation will include your aptitudes or natural abilities, your learning styles, achievement (e.g. reading, math writing etc.), vocational interests and career goals.

The evaluation may involve 1 to 3 appointments.

If it is found you have a learning disability, CalWORKs can provide support.

We can give you services to help you understand your learning disability.

We can help you learn how to ask for information in a way that is best for you to understand.

- For example, you may learn to ask for more time to take a test or complete an application form for an employer or for school.
- OR, you may need a tape recorder to record instructions in addition to having written instruction on the job or in school.

We may even be able to give you additional months of WTW services.

1. Conference special circumstances

If the results of administering the screening form are ambiguous or otherwise questionable, talk to a VA to determine the appropriateness of proceeding with an evaluation referral. If the individual answered “yes” to the AD/HD question, talk to the VA about how to proceed with further evaluation.

2. Choose evaluation resource

The VA will determine the appropriate evaluation resource. See the Handbook Section 72-2.5, Evaluation, for the procedures (part IV. C.)

F. Case Review and Screening

All participants must complete a Learning Needs Screening (LNS)

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
WTW 17 (Rev. 9/13)	Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation	A form for the Case Manager to explain to and have an individual sign who does not want to be screened or evaluated for learning disabilities at that time.	Chinese Russian Spanish Vietnamese
7000 CW (Rev. 9/02)	Participant Background	A form completed by the Participant, with assistance from the Case Manager. It captures Participant background information relating to securing employment, e.g., work and education history.	
7001A CW Part 1 (aka WTW 18) 7001A CW Part 2	Learning Needs Screening	A questionnaire for the Case Manager to administer during appraisal or other specific times in WTW participation to determine if a participant should be referred to evaluation.	

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(WTW 19) Client Copy			
7208 CW (9/02)	Learning Needs Screening Information	A flyer to inform recipients and participants about learning disability screening and evaluation opportunities with CalWORKs	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 1/2/02

72-2.3: Criminal Records & Background Checks

I. Introduction

All applicants for licensure and employment in a community care facility and other applicable fields of employment must submit fingerprints to the Department of Justice (DOJ) and pass the:

- California background check
- Federal Bureau of Investigation (FBI) national background check, and
- Child Abuse Central Index Check.

NOTE: License-exempt child care providers must also clear a criminal record background check through the Trustline Registry system managed by the Children’s Council and meet basic health and safety requirements in order to receive payment of subsidized child care services.

If clearance is denied, an exemption to the denied clearance may be allowed if an individual has a conviction that meets specific exemption criteria and the individual does not pose a threat to clients in care.

When informing individuals about licensing requirements and background checks, it is important for the Employment Specialist and the Employment Services (ES) staff to emphasize that the Department will work with the individual to address barriers and to develop an acceptable Employment Plan regardless of what information is disclosed.

II. References

A. All County Information Notice (ACIN) No. 1-68-99, Impact of Background Checks on WTW Plans

B. Other

CalWORKs Memo I, Resources for Criminal and Traffic Records

WTW Program Information Memo (PIM) #00-03, 3-13-00, (superceded by this handbook section).

III Policy

A. State Policy

Community Care Licensing (CCL) licensure and employment requirements must be considered for recipients who are seeking future employment as:

- CCL facility caregiver or employee
- Family child care provider
- Child care center employee
- Early Childhood Educator
- Certified Nursing Assistant
- Home Health Aide
- Seeking employment in fields for which a background clearance is required, i.e., security, government jobs, etc.

It is important that recipients are made aware of these background check requirements for licensure and/or employment before they enter into a WTW employment plan to prevent any potential problems that could result from the individual's failure to pass the required background check process.

B. Local Policy

At the appraisal and whenever a participant is considering an applicable field, including those listed above:

1. Inform all participants about the requirements for criminal background checks for certain occupations.
2. Discuss the flyer Background Checks and Employment (7042CW) with the individual.
3. If a crime has been committed by the individual that is listed on Form 7042CW, **do not proceed** with a WTW Employment Plan that prepares for an occupation or employment in the field requiring a background check. An alternative plan that is within the individual's ability to achieve must be explored and developed.

IV. Description of Background Checks

A. What Crimes Require an Exemption?

An exemption may be required for any crime other than minor traffic violations:

- Regardless of whether it was a felony or
- Regardless of whether it was a misdemeanor, and
- Even if it happened a long time ago.

Some crimes are non-exemptible. Refer the individual to legal services for advice and assistance for these crimes. A list of non-exemptible crimes is included on Form 7042CW, Background Checks and Employment.

B. How a Background Check is Requested

The health care or child care training provider will request the background check as part of the enrollment into their program and application for license. The employer will facilitate the background check for the applicant.

C. The Criminal Record Check and Health Caregivers

When a community care facility or an applicant for license sends a fingerprint card or a livescan transmittal to the State Department of Justice (DOJ), DOJ will conduct a criminal record check. If an individual has a criminal history, DOJ will forward a report to the state Department of Social Services, Caregiver Background Check Bureau (CBCB). The report will include all felony or misdemeanor convictions and arrests. CBCG will review the report and advise the applicant of what action is required.

The background check can take several months; the exemption process can take as long as a year. These time frames are due to the volume of requests for background checks to DOJ. Usually, as long as individuals are cooperating with the process, they may complete training and begin employment in the field for which the exemption is being requested.

D. What Happens during the Exemption Process

Depending on the nature of the criminal record, an exemption may be required for an individual to be licensed. During the exemption process, CBCB and/or DOJ will determine if the individual is suitable to work in a community care facility or be approved for a license. The individual may be asked to provide some or all of the following:

- Letters of character
- Letters of reference
- An honest account of all offenses
- What has been done to prevent offenses from occurring again, and
- Certificates or other documentation of training, education, or rehabilitation.

CBCB/DOJ will review this information along with police reports and official court documents and make a final determination. Full cooperation with the exemption process will usually have positive results.

V. Process

A. Informing about Background Checks

A flyer has been developed to assist you and ES staff to inform participants about the requirement for background checks. This flyer, Background Checks and Employment (Form

7042CW), should be given to participants by Employment Specialists or Job Placement Specialists.

Read the form carefully. Side one gives general information about background checks and resources for legal assistance with criminal records. Side two lists the non-exemptible crimes mentioned above. As you see, these crimes are very serious and disqualify an individual from being licensed in health care or child care. Crimes not listed may require a request for an exemption but may not disqualify the individual from licensure.

CalWORKs offers several training programs in the health care and child care fields. This handbook section focuses on informing prior to approval of one of these training programs as a WTW Activity. Background checks are required for a variety of jobs by many employers. The flyer gives general information about these requirements as well.

B. Evaluating Background

1. Self-Declared Criminal History

When the individual self declares a criminal history that may interfere with pursuit of the training and/or employment goal, you must respect the individual's right to privacy. You do not need to know any of the details of the criminal history and must not inquire beyond the basic facts. You must evaluate with the participant if the criminal history will:

- Result in a denial of a clearance and exemption from CCL standards - refer to the list on the back of Background Checks and Employment Form (7042CW)
- Possibly qualify for an exemption request.

2. Alternative Plan Required

If the crime is listed on Form 7042CW, do not proceed with a WTW Employment Plan that prepares for an occupation or employment in the field requiring a background check. An alternative plan that is within the individual's ability to achieve must be explored and developed.

At the same time, refer the individual to the following legal services:

- The Bay Area Legal Aid can advise and assist them.
- Another resource is the District Attorney's office that can assist them in exploring the possibility of clearing or expunging the record.

Referral details for both resources are found on Form 7042CW. Document the discussion and legal referral in the case narrative.

3. Proceed with Employment Plan

If the crime is not listed on the form Background Checks and Employment (7042CW), the individual may sign an Employment Plan (WTW2/2A) that includes the training activity requiring background checks.

The case narrative and case file must include the following:

- Employment Plan (WTW2A). Write in the "comments" section on the plan, "Form 7042CW given to [name] and background check requirements discussed on [date]."
- Authorization to Release Information (8014). Complete both sections of the release, for DHS and the training provider. Note the information to be shared is "attendance, progress, AND disclosure of a criminal record, progress with the background check and request for exemption process as needed".
- Narrative (8002). Document verbal and written (7042 CW) information about the background check requirement, participant disclosure and agreements with the participant and/or the training provider.

4. No Criminal History

When the participant states he or she has no criminal history, document in the case narrative the steps you have taken to inform the individual about the need for background checks. It is up to participants to disclose or not to disclose their records. However, this documentation is very important as it verifies that DHS fulfilled our obligation to inform.

If the plan is for a training that requires background checks, write in the "comments" section on the Employment Plan (WTW2), "Form 7042 given to [name] and background check requirements discussed on [date]".

VI. Cheat Sheet (Background Checks and Employment Plans for Training in Health Care and Childcare Fields)

At an appraisal and whenever a participant is considering one of these fields:

1. Discuss the flyer, Background Checks and Employment (7042CW) and give it to the participant.
2. Respect the individual's right to privacy when they disclose a criminal record. Do not ask for details.
3. If the crime is listed on the 7042CW, make an Employment Plan that does not require a background check. Refer the participant to legal services.

4. If there is no criminal record, or the crime is not listed on the 7042CW, include a written comment on the Employment Plan (WTW2A) to confirm the giving of the flyer and discussion of background check requirements per instructions.
5. If the crime is not listed on the 7042CW, complete the Authorization to Release Information (8014) including release of information about the background check process.
6. Include in the case narrative the information shared, disclosures if any, and agreements.

VII. Forms

Form #	Form Name	Purpose	Language
7042CW (3/00)	Background Checks and Employment	An information flyer about licensing and employment and criminal record background checks. Required for childcare and health care training informing.(This flyer is available on workstation shelves)	
8014	Authorization to Release Information	Standard DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	
WTW2	Employment Plan - Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW2A	WTW Employment Plan	The WTW 2A is the County’s WTW Employment Plan, required for every Participant. It documents the Participant’s vocational goal and the activities assigned to support the goal. The activities may be concurrent and/or sequential. Potential employment barriers are identified along with supportive services to be provided to assist the Participant to become employed.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 7/2/12

ATTENTION ALL STAFF:

Effective, Monday, July 2, 2012, the following changes will be instituted for Assessment Services in CalWIN which renders this section of the WTW HB obsolete.

"TVA-Test Only" replaces "PESCO": TVA-Test Only will be the new name for the testing activity which includes CASAS Reading and Math testing and CareerScope Assessment, followed by a single Career Counseling appointment. This activity is for participants who are working part-time or are unable to participate in the ACE activity for CalWORKs. This activity was formerly called "PESCO." **The "PESCO" testing system is no longer in use. Please refer to PIM 12-24 for more information.**

Note that "READ FREE": will still be the name for the testing activity which is for monolingual, low reading, and PC-challenged participants.

72-2.4: PESCO - Job Skills Assessment

I. Introduction

One of the assessment systems used for CalWORKs Targeted Vocational Assessment (TVA) is the PESCO assessment system. PESCO contains a core package that provides evaluation of client characteristics including vocational interests, aptitudes, academic, achievement and workplace temperaments. The PESCO system is discussed in detail in the Appraisal and Assessment, TVA, Handbook Section 72-2.1.

Job*Skills is an additional PESCO assessment process that measures workplace competency and proficiency for the world of work. The **Job*Skills** is also referenced in the TVA Handbook Section 72-2.1. In this Handbook Section the **Job*Skills** system is described in detail, including the referral and reporting procedures.

II. Job*Skills Description

A. What skills does Job*Skills test?

Job*Skills is a software-based program that integrates a comprehensive range of automated tests that verify and measure a job seeker's specific computer and office skills. Customized tests are administered to measure an individual's proficiency in specific areas. The standard battery (Core Module / Basic PC Skills) offers the following computerized tests:

Job*Skills: Core Module / Basic PC Skills

Microsoft Word 97
Netscape Navigator 4.0
Microsoft Excel 97
Typing test (5 minutes)

The entire **JOB*SKILLS** program offers a battery of 53 computerized tests including the following:

Additional Job*Skills tests include;

Lotus Notes
Access
Power Point
Bookkeeping
Medical Terminology/Spelling
QuickBooks
Office Grammar/Spelling
Legal Staff Skills
Data Entry 10-key
And more

For a list of all the tests see the **Job*Skills** Referral Form (7230 CW). For questions, consult with the Job*Skills Administrator or a Vocational Assessor.

B. Administration of the PESCO - Job*Skills Assessment

Administrator: Employment Information Center (EIC) staff.

Time & Dates: Mondays@ 10AM - 12:00PM & 2:00PM - 4:00 PM, Wednesdays@ 2:00PM - 4:00PM

Location: Employment Information Center (EIC), 170 Otis, 1st floor.

Main number: 557-5636

Contact person: Florence Hays, EIC Coordinator, Telephone number: 557-5635

Administration at the EIC will begin at 10am and 2pm exactly. Late arrivals and canceled participants will be referred back to the referring worker.

Plans to expand Job*Skills assessment to other One Stop sites are pending. Always refer to the most recent e-mailed notices about schedules and locations and the Sessions posted in GIS.

III. Policy

PESCO - **Job*Skills** is a supplement to the PESCO TVA tool. Use this tool with participants and clients as discussed below.

A. When to use Job*Skills?

Job Placement Specialists

- Supervised Job Search – to verify and measure current general office skills and potential performance of job candidates for successful job placements and job matching.

Career Advancement Specialists / Retention Specialists (ADVANCE!)

- To measure skills obtained after completion of a training program.
- To assess appropriate training programs for career advancement referrals.

Individual Referral Coordinator (IR)

- As an assessment tool to evaluate current clerical / computer skills.
- To measure participant's knowledge and skills after completion of training.

Community Service Coordinator

- To determine appropriate community service placement in the Community Jobs Program (CJP) according to the test results.

Employment Specialists

- To verify and measure participant's current skills level to determine appropriate referral.

IV. Process

A. Aided and post-aid participants:

Session Schedule at the EIC:

Monday: (2) two sessions: **AM** 10:00AM – 12:00PM **PM** 2:00PM – 4:00PM

Wednesday: (1) one session: PM 2:00PM - 4:00PM

Standby Status

Capacity per session is (5) five.

Two (2) additional slots are available for standby in each session. Inform a standby participant s/he will be taken on a first come first serve basis.

B. Job*Skills Referral Form (7230 CW)

Complete the **Job*Skills** Referral Form (7230 CW) indicating the specific modules being requested.

There is a limit of four (4) modules per session. The Core Module consists of 4 (four) modules. If more than four (4) modules are needed, schedule the participant for a second session so s/he can complete all the requested modules.

The results will be available on the "0" Drive. However, if hard copies of results are preferred, indicate under comment section on the form: "Comprehensive printout is requested".

1. Make three copies for distribution: one copy to EIC, one to the participant, and one for the file.
2. Send or Fax the referral form to EIC.

The EIC must receive the referral form 2 days prior to the assessment date.

**Employment Information Center (EIC),
170 Otis 1st floor.
Fax number: 557-5640**

3. Referral forms (7230CW) are available at the EIC and on the supply shelves.

C. Results

The printout of the results will be given to the participant at the end of the assessment.

A text version of the results will be posted on the "0" drive within 3 days of the assessment date.

The attendance and results will be available as shown in the following example:

- Assessment date: Monday, 1/7/02.
- Attendance report will be available on same day of test.
- Participant receives a copy of the results the day of the testing.
- Results available on "0" drive: 1-10-02 (3 days after test).

Hard copies of the results are also available upon request. Use the referral form to request hard copies in the Comments section.

D. Non-aided participants:

Career Advancement Specialists and other Employment Services staff may serve persons who are not recipients of CalWORKs or eligible for post-aid services. To schedule these individuals:

1. Check session availability.
2. Call EIC at 557-5636 to register participant.
3. Complete the Job*Skills Referral Form (7230 CW). See the detailed instructions in Part B. above.

Make three copies for distribution: one copy to EIC, one to participant, and one for file.

4. Send or Fax the referral form to EIC.

The EIC must receive the referral form 2 days prior to the assessment date.

**Employment Information Center (EIC),
170 Otis 1st floor.
Fax number: 557-5640**

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
7230CW 2/02	Job*Skills Assessment Referral	The form to refer a participant or client for additional assessment of office skills.	NA

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Job*Skills Assessment Referral - Cheat Sheet

STEPS	INITIATOR	PROCESS
<p>1. Job*Skills Assessment Referral</p>	<ul style="list-style-type: none"> • Job Placement Specialist • Career Advancement Specialist • Retention Specialist • Individual Referral Coordinator • Community Service Coordinator • Employment Specialist 	<p>Aided participants: Active on GIS</p> <p>a) Complete referral form #7230 CW. b) Make 3 copies: 1-participant, 1-file, 1-EIC.</p> <p>Non-Aided participants:</p> <p>a) Complete referral form # 7230 CW. b) Contact EIC @ 557-5636 to enroll. c) Send or fax all referral forms to: EIC – 170 Otis 1st floor. FAX #557-5640. (Form must be received 2 days prior to test date).</p> <p>NOTE: If 5 slots filled, indicate "r; Standby 6 or Standby 7" next to participant's name.</p>
<p>2. GIS Entry (this is obsolete, refer to CalWIN process)</p>	<ul style="list-style-type: none"> • Job Placement Specialist • Career Advancement Specialist • Retention Specialist • Individual Referral Coordinator • Community Service Coordinator • Employment Specialist 	<p>Sessions on GIS: COMP JOBSKL, JSK</p> <p>-</p> <p>Registration:</p> <p>In COMP screen: Enter T under requested session. Change Function to U. If session number is available type: SESS JOBSKL, JSK, 001 or 002 Provider Code: JOBSKL Provider Name: JobSkills-EIC Component: JSK</p> <p>Deleting Registration: Under appropriate session, enter DEL(space) on STAT code</p> <p>Non-Aided participants cannot be registered through GIS.</p> <p>Capacity per session is (5) five. (2) two slots are available for standby.</p>
<p>3. Attendance Report</p>	<ul style="list-style-type: none"> • Job*Skills Administrator 	<p>a) Job*Skills administrator will post attendance on the same day of test date. b) Check GIS TRAK screen for attendance. c) All late, no-shows and cancelled appointments will be referred back to worker</p>

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<p>4. Results</p>	<ul style="list-style-type: none"> • Job*Skills Administrator 	<p>a) Give copies of results to participants at end of assessment. b) Text version of results will be posted on "O" drive within 3 days of assessment date. c) Hard copies are also available upon request. Request is made through the referral form under comment section</p>
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Reference: WtW Handbook Section 72-2.4, Appraisal and Assessment: PESCO - Job*Skills Assessment, effective 3-15-02

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/21/18

72-2.5: Evaluation

I. Introduction

CalWORKs regulations require EVALUATION when a participant’s past record or lack of satisfactory progress in an activity or failure to participate in WTW may be linked to a disability. The purpose of the evaluation is to determine an appropriate case plan. The evaluation is to be conducted by a licensed clinician approved by the Department who is qualified to administer and interpret a variety of psychological tests.

This Handbook Section has been revised to include changes in state and local policy and procedures for evaluation. The SDSS Learning Disabilities requirements for evaluation and accommodation have increased the demand for evaluation. The CalWORKs Special Needs Process requires evaluation resources as well.

Effective with this Handbook issuance, the policy and procedures are updated to reflect recent changes.

Changes are highlighted but in parts with many changes the header only is highlighted.

II. References

A. References from the Law and Regulations

1. CalWORKs Regulations: 42-711.311; 42-711.56, .57, .58; 42-713,
2. All County Letters: 01-42, 01-70, 02-35; 02-88

B. References from San Francisco’s Welfare to Work

Operations Plan: Section IV. C. 3 and. E. 3

C. Cross-references to Other Sections of This Handbook

- Section 71-4: Exemption
- Section 72-2: Appraisal and Assessment
- Section 72-2.2: Learning Needs Screening (LNS)
- Section 72-2.6: CalWORKs Special Needs
- Section 72-2.7: Learning Disabilities
- Section 72-3: Employment Plan

Section 74:2: Mental Health and Substance Abuse Services
Section 75-6: Reappraisal and Extensions

D. Program Information Memos (PIM)

CalWORKs PIM #02-8, Addendum A,

III. Policy

A. State Policy

1. Conditions that lead to the need for Evaluation include:

a) Suspected learning or medical problem

A participant with a suspected learning or medical problem, as determined by information received during appraisal or assessment (including the results of the Learning Needs Screen [7001 A]) or by lack of satisfactory progress in an assigned activity, shall be referred to an evaluation to be performed by a qualified professional. The purpose of this evaluation is to determine whether an individual has learning disabilities and/or other co-existing disorders and whether the participant is unable to successfully complete or benefit from a current or proposed activity assignment or requires accommodations.

b) Suspected mental disability

If there is a concern that a mental disability exists that will impair the ability of a recipient to obtain employment, he or she shall be referred to the county's mental health contractor, RAMS CalWORKs Counseling Service. The evaluation shall include (1) the extent to which the individual is capable of employment at the present time and under what working and treatment conditions the individual is capable of employment; (2) prior diagnoses, assessments, or evaluations that the recipient provides.

c) Suspected substance abuse problem

If there is a concern that a substance abuse problem exists that will impair the ability of a recipient to obtain or retain employment, he or she shall be referred to the county's alcohol and drug contract program RAMS CalWORKs Counseling Service for an evaluation and determination of any treatment necessary for the participant's transition from welfare to work. See Handbook Section 74-2.

d) Evaluation required to excuse a non-Cal-Learn 19-year-old custodial parent from high school or GED program

A non-Cal-Learn 19-year-old custodial parent who has no high school diploma or equivalent and is not participating in Cal-Learn is required to participate in Adult Basic Education as her/his WTW activity to earn a high school diploma or GED. This is important as this may be the last chance the individual has to engage in basic education alone, without combining it with another WTW activity.

If participation in this activity is thought to be inappropriate, an evaluation is required that indicates that, because of a learning disability, cognitive disorder or medical problem, the individual is unable to successfully complete or benefit from these educational activities.

2. The right to waive/refuse evaluation

The participant may decline the learning disability (or other) evaluation. If the individual chooses to NOT proceed with evaluation, inform the individual of the requirement to participate in WTW activity. Document the decision/discussion in writing and obtain the participant's signature. For Learning Disability use the Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation form (WTW 17).

3. Permission to release evaluation information

Medical records and written LD evaluations are confidential documents. The ES must use the Permission to Release Learning Disabilities Information (WTW 20), to obtain the participant's written consent to receive and/or to share this information with all individuals outside the Department. A separate form must be completed each time the information is to be shared with a new individual outside HSA. Complete the form in full before the participant signs it.

The form includes a statement that disclosure of a disability by the participant is voluntary and accommodations for a disability will be provided only upon request from the participant.

4. What to do with the evaluation report?

Review the evaluation report for determination of disability and recommendations for participation and/or services and accommodations. Are learning disabilities established? Should time be added back if LD is determined? Are any other disabilities established? Is exemption indicated? Is referral for further evaluation recommended? Are there accommodation or service recommendations that must be included in the new Employment Plan?

1. Review the evaluation with the participant.
2. If the evaluation does not document need for exemption, the participant must participate in WTW Activity, begin/resume the activities specified in her/his Employment Plan.
3. Based on the results of the evaluation, the participant may be referred to:

- Any WTW activities described in the Employment Plan, including referrals to the previous activity(ies); Existing special program(s) that meet specific needs of the participant.
- Job Search;
- Assessment or Reappraisal by the Employment Specialist
- Referral for further assessment in the area(s) indicated.
- Vocational Rehabilitation services including training.
- Accommodations for learning disabilities in education or training activity or employment.

B. Local Policy

1. Local policy about evaluation

a) Take the time to thoroughly discuss the recommendation for evaluation with the participant. Obtain her/his agreement to keep the evaluation appointments. Once the participant agrees to be evaluated, provide support as needed to help the individual keep the appointments with the provider. Utilize RAMS CalWORKs Counseling Services Peer Counselors or the CalWORKs Social Work Unit for support.

b) LD evaluation providers are approved by CalWORKs administration.

c) The Vocational Assessor will determine the appropriate evaluation resource for the individual participant and sign the referral form.

2. Waive or refuse evaluation - county form

State DSS requires the Waiver Form (WTW 17) for LD evaluation, discussed above. The county has created a similar form to be used as a case management tool for waiver of other types of evaluation, the Waiver of Evaluation for CalWORKs (WTW 17).

IV. Process

A. Indicators that there may be a problem

- The Learning Needs Screening Score (12+). (See 72-2.2 Learning Needs Assessment.)
- The participant tells you that s/he is having problems related to physical demands or disabilities, or learning disabilities (e.g., can't understand what the teacher is saying, can't understand what s/he reads).
- The provider at the education or training program or job search activity or the employer reports that the student/participant is not handling the work adequately due to a suspected problem related to learning or other disabilities.
- The participant is not attending the activity.

- The participant tells you of a history of learning problems, special education, or prior history of disability.
- Observations by the worker of suspected learning needs or other disabling condition.

B. Unit Case Conference

Utilize the Unit Case Conference to discuss cases with any of the indicators listed above. The case conference may assist with the development of recommendation for evaluation and other case planning decisions.

In order to maximize the value of the Case Conference, prepare the case summary and track the recommendations following the instruction in CalWORKs PIM #02-8, Addendum A. Note: a copy of the recommendations (7051 A) is sent to the Section Manager.

C. Screen for Evaluation

1. Confirm the need and interest in evaluation with the participant

When evaluation is indicated, meet with the participant and discuss the recommendation and the reasons to proceed. Explain the potential impacts on her/his WTW participation requirements if a disability is verified. Determine if the individual is interested in / willing to cooperate with the evaluation process and will agree to keep several appointments with the evaluation provider. If the individual wishes to continue with an evaluation referral, determine the answers to the following questions to assist you and the Vocational Assessor (VA) to make the best referral.

Ask yourself, does the participant?

1. Have trouble finding and keeping a job because of a disability?
2. Have multiple barriers over and above the apparent disability, i.e., housing, acting out children, etc?
3. Have the capacity to follow through with several appointments? Does the individual keep appointments with you and others?
4. Seem interested in moving towards the goal of employment?
5. Have a history of engagement with RAMS CalWORKs Counseling?
6. Express willingness to ask the Department of Rehabilitation for services?
7. Express willingness to set a date for an assessment with DR?
8. Attend City College of San Francisco?

After reviewing the questions, confer with the VA about the appropriate evaluation provider referral for the individual.

2. The right to waive/refuse evaluation

The participant may decline the evaluation but must be fully informed of the reasons for utilizing this service. If a participant is reluctant to proceed with a recommended referral for evaluation, discuss the reason(s) for the evaluation thoroughly.

Explain the WTW participation requirements and the options available to her/him with documentation of a disability. Examples of options include: retrospective adjustment of the 18-24 month clock as well as other accommodations if LD is determined, possible approval of an exemption from WTW participation, or referral for appropriate services/treatment.

After this discussion if the individual chooses NOT to proceed with the referral, document the waiver/refusal in writing.

a) Waiver of LD Evaluation

For LD evaluation obtain the individual's signature on the required form, Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation (WTW 17).

b) Waiver of other evaluations

The newly created Waiver of CalWORKs Evaluation form (WTW17) may be used as a case management tool with participants who have failed to follow through with recommended counseling or evaluation.

Upon discussion of the Waiver with the participant and receipt of her/his signature, you will have some closure. Move on with the Employment Plan and WTW Activity participation. Of course, you may need to revisit the issue via reappraisal if the individual has participation problems. (See Section 75-6, Reappraisal.)

D. Confer with a Vocational Assessor

When an individual agrees to proceed with evaluation, confer with the VA who will determine the appropriate referral based on the suspected disability and the information from the screening review outlined in "C" above.

The VA will be informed of the current CalWORKs evaluation providers and will have updated information about the referral process for any new evaluator not listed below. Obtain the VA's signature on the referral packet.

E. Confidentiality - Obtain signed release

The Employment Specialist must obtain a signed Permission to Release Learning Disabilities Information (WTW 20) that allows a written report of the evaluation findings to be shared with HSA. The signed release is part of the referral packet of information to each evaluator.

F. Resources for LD evaluation

The three approved providers of evaluation for LD are listed below with referral procedures and other information.

1. City College Disabled Student Programs and Services (DSPS)

Evaluation for learning disabilities, speech and language difficulties and hearing is available for students at City College through Disabled Student Programs and Services (DSPS). The learning disability evaluation is not available to limited English students with DSPS.

a) The student may self-refer

Students who are currently enrolled at City College in an academic program or if not, plan to begin taking academic classes and are having learning difficulties, are eligible for DSPS at the Phelan Campus, 542-5481. Students enrolled in non-credit classes are eligible for DSPS at the John Adams Campus, 561-1001.

b) Release of Information required

Complete the Permission to Release Learning Disabilities Information (WTW 20), authorizing the results to be sent to HSA. It may be helpful to complete a 7006 CW referral to introduce the client to DSPS as a CalWORKs participant. Obtain the participant's signature on both forms.

You may send them with the student who is self-referring, or mail them to the DSPS office with a cover letter.

c) The evaluation process

These services generally involve five contacts, together taking seven to eight hours during a period of one to two months.

- An extensive screening and intake interview conducted by a DSPS counselor (one hour);
- Three two-hour appointments for testing (administered by CCSF staff);
- One appointment to review the results with the student including a Learning Specialist and a Counselor.
- Services are available during the academic year with the exception of summer school.

d) Report and recommendations

During the final meeting with the student, the report is discussed and a paper copy is given to the student. With the student-participant's consent, the VA or ES may be present at this review meeting. With the student's signed Permission to Release Learning Disabilities Information form (WTW 20), the written report will be sent to HSA.

e) DSPS serves ALL City College students with disabilities

DSPS provides many services to disabled students in addition to LD evaluation including equipment loans, counseling, High Tech Center, early registration, and classes that address the needs of students with various disabilities. These services are available at both Phelan and John Adams Campuses. Many of these services are also available to limited English students. Brochures are provided by DSPS in Spanish and Cantonese. See the web site for more information: www.ccsf.edu/Services/DSPS

2. State Department of Rehabilitation

The State Department of Rehabilitation (DR) has an agreement with HSA to provide vocational assessment, evaluation, and other employment services to CalWORKs participants who want to work but may have a physical, mental health, learning, or sensory disability that has gotten in the way of finding and keeping a job and the participant is willing to ask DR for services.

Evaluation for learning disabilities is available from DR for participants who want to work. DR will also provide evaluation for any participant with limited English.

a) To refer to DR

- Use the DR "Green Sheet" Information form (7057 CW) cosigned by the VA. Include your phone # and email address. (A copy of the 7057 CW is attached to this Section.)
- Obtain the participant's signature on the Permission to Release Learning Disabilities Information form (WTW 20), so HSA can receive a copy of the reports.
- Attach the Learning Needs Screening Form (7001A CW) and TVA results.
- Give the packet to the DR Counselor assigned to the Unit and make an appointment for ES and participant to meet with the DR Counselor for an Intake.

OR

- If the assigned DR Counselor does not meet the language needs of the participant, contact DR (to find out the appropriate language services representative) and forward the packet to DR as follows:

Department of Rehabilitation SF District Office

455 Golden Gate Street, Suite 7727

SF 94102 Phone # : 904-7100

Attention: Name of Contact Representative (Spanish, Vietnamese, etc.)

- DR prefers the ES attend the initial intake appointment with the participant whenever possible to facilitate client attendance and communication.

- The ES is encouraged to call the participant the day before the DR appointments to help ensure the completion of the evaluation.

b) The DR assessment may include the following:

- An extensive intake appointment by a vocational rehabilitation counselor, that may include more than one session
- Obtaining current medical diagnostic information.
- Testing to diagnose learning and other cognitive disabilities
- Simulated work sample evaluation - According to DR regulations counselors have 60 days to determine eligibility and 90 days to rate the severity of the disability and write a work plan. The number of appointments it takes to complete this work varies but may require a number of visits with the counselor.

c) Communication between DR and ES

The ES will be informed by the DR counselor of the appointment details and other information about the progress of the referral upon request. Discuss your need for progress reports with the counselor at DR intake. Determine how you will communicate - by phone, email or in person. Request an update periodically - do not wait for DR to provide it.

d) Report and recommendations

The written evaluation report will be forwarded to the ES. The DR Counselor will review the findings with the participant as well as with the ES and/or VA as requested.

3. RAMS CalWORKs Counseling Services

RAMS CalWORKs Counseling Services accepts referrals for evaluations for Learning Disabilities, mental health, or substance abuse. The evaluation will be conducted at the RAMS/CalWORKs offices at 1663 Mission, 3rd floor. The procedures to refer for LD evaluation, schedule appointments and receive reports follows:

a) To refer to RAMS CalWORKs Counseling Services for LD Evaluation:

- Complete a RAMS referral form (7008ACW) co-signed by the Unit Supervisor and the VA. The form has been revised to include space for these signatures, for LD evaluation referral only.
- Complete a Permission to Release Learning Disabilities Information form (WTW 20)
- Attach the Learning Needs Screen results, TVA Summary and CASAS Scores

If available:

- Attach records of related evaluations (e.g. previous LD evaluation, special education, medical conditions)
- Attach the Employment Services Client Summary Report "green sheet".

Send the packet to RAMS CalWORKs Counseling, 1663 Mission, through interoffice mail.

b) The LD evaluation may be in two parts.

Phase I evaluation service generally involves three face-to-face clinician-client contacts. The third appointment with the clinician is to review and discuss the findings with the participant.

When the Phase I testing indicates need for specialized LD evaluations the clinician will discuss the need for more testing (Phase II) with the participant. The clinician will obtain the client's written permission to share the Phase I report with the Phase II evaluator.

Phase II evaluation will take place at the RAMS 1663 Mission offices. A PhD Evaluator has been contracted by the Department to provide this additional evaluation. Phase II will involve two to three additional appointments, depending on the tests to be administered. These visits include an appointment for the Phase II evaluator to review and discuss the findings with the participant.

c) Scheduling is handled by RAMS

Phase I:

Upon receipt of the referral packet, RAMS will schedule appointments for Phase I directly with the participant and inform the ES and Supervisor by email. RAMS will automatically provide Peer Counselor support to assist the participant to keep appointments when necessary.

RAMS will attempt to engage the participant throughout the evaluation using a general rule of making two attempts to schedule or reschedule appointments before sending back to the ES for follow-up. The RAMS clinician will contact the ES by e-mail or telephone.

Phase II:

When RAMS recommends a Phase II Evaluation, RAMS shall refer the individual to the Contract Evaluator who will make the appointment directly with the participant and email the referring ES. The ES is encouraged to call the participant the day before the appointments in Phase I and II to help ensure the completion of the evaluation.

The written reports will be forwarded by both RAMS and the Contract Evaluator to the CalWORKs Supervisor and the VA Supervisor. The Supervisors will, in turn, review, distribute and follow-up with the respective referring ES/VA. If LD is confirmed, the Phase II Evaluator will provide a copy to the participant as required by regulation.

4. Other evaluation resources

As additional providers are approved by CalWORKs, the VA will be informed and will direct referrals as appropriate.

G. Track the referral information

Enter the referral or waiver information on the Caseload Manager.

H. Incomplete evaluation

When you have referred the individual for evaluation and s/he has agreed to cooperate with the multiple appointments, but then does not follow through and fails to complete the evaluation, proceed with the outreach procedures issued in the Section 76-1, Compliance Protocol and Outreach to Prevent Sanction.

Refer to the "Outreach Cheat Sheet", printed on page 16 of 76-1. The Peer Counselor or Social Worker may assist the participant in keeping evaluation appointments, as appropriate.

Or, if the client chooses at this point to decline evaluation, proceed with the appropriate Waiver form (WTW 17 or 17A). If the client signs a waiver, proceed to develop an Employment Plan. Do not initiate the Compliance process for non-participation in the evaluation process, meet with her/him to develop the Employment Plan.

I. Evaluation interrupted

When conducting a case review or reappraisal it may come to your attention that the participant has been referred to evaluation some time ago but never followed through to completion. Meet with the individual to review and discuss the reasons for the initial evaluation referral and ask about the prior lack of follow through. If the individual agrees to proceed with evaluation now, confer with the VA about choosing the appropriate evaluation provider. If not, explain the right to waive evaluation and obtain her/his signature on the appropriate Waiver form (WTW 17).

J. Follow up after the Evaluation

Review the evaluation report(s) with the Supervisor and VA. The evaluation report(s) should include the summary of diagnostic findings and recommendations. If a learning disability has been confirmed the report should include the recommendations for reasonable accommodations. Other disability may also require accommodations.

K. LD Accommodations

When a Learning Disability has been confirmed by the evaluation, the VA will develop an accommodations plan and work with the participant and ES to apply the accommodations to

the activity(ies) included in the WTW Employment Plan - Activity Agreement (WTW2). The VA will prepare an addendum to the plan listing the accommodations needed for the specific activity. (See Section 72-2.7 Learning Disabilities, VI. Process.) If another disability requiring accommodations is diagnosed, follow the same procedures to implement.

L. Determine an appropriate case plan

Based on the results of the evaluation, complete the assessment or reappraisal process and as appropriate revise the WTW Employment Plan (WTW2) or proceed with referral for Special Needs services and/or exemption and/or SSI Advocacy. These options are discussed below.

1. Employment Plan

Based on the results of the evaluation, complete a revised Employment Plan (WTW 2) with the participant, if indicated. (See Section 72-2.7, Learning Disabilities, for information about participation requirements etc.)

- Allowable activities following evaluation include the following:
- Any WTW activity, including her/his previous activity, or
- Existing special program(s) that will meet the participant's needs and accommodate the disability, if any, or
- Job Search services, if it is determined that the participant has the skills to obtain a job in the local labor market.

2. Further assessment and services

- a) CalWORKs Special Needs Process (See Section 72-2.6)
- b) Vocational Rehabilitation assessment and subsequent training through the Department of Rehabilitation (e.g., Goodwill, San Francisco Vocational Services, PAES2WORK, ARC)

3. Exemption

If the evaluation determines that the participant has a disability that precludes further participation in WTW, proceed to exempt the individual. (See Section 71-4: Exemptions.) Please see Section 72-2.7, Learning Disabilities, for information about LD and exemption.

4. Referral for SSI Advocacy

If the condition/exemption documented in the evaluation is permanent, i.e., expected to last more than one year, application for SSI may be the appropriate next step. If the participant is reluctant, emphasize the advantage of increased income SSI could provide. Offer SSI Advocacy Services.

The referral process for SSI Advocacy depends on the case status.

- Special Needs: If the case is already in the Special Needs process, follow the instruction found in the CalWORKs Special Needs Handbook Section 72-2.6, IV., D.
- Mental health related disability: Refer to RAMS.
- Mental health related disability for a participant with Low English Proficiency: Refer to RAMS.
- See Section 74-2, Mental Health and Substance Abuse Services, IV. J., to refer to RAMS or RAMS for SSI Advocacy Services. Contact the RAMS Site Supervisor to initiate either referral.

Before sending the file to the Exempt Unit, make a follow up contact with the "advocate" and the client to assess the status of the SSI application and encourage follow through by the participant with the referral to SSI Advocacy.

M. Grievance

At all points of decision, the Employment Specialist should remind participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77.

Employment Specialists should view the Client Advocate as an ally in resolving participant complaints and grievances. Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77: Grievances) If participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the participant must exhaust that grievance procedure.

If dissatisfied with the results, the participant shall report this to the Employment Specialist and the Grievance Coordinator.

V. Monitoring Outcomes

Since CDSS requires tracking of learning needs screening outcomes, CalWORKs has designated a LD Report Monitor to maintain a record of the outcomes for all participants with the screening score of above 11.

A. Persons identified as needing evaluation

The participants with a score of above 11 are listed on each workers report, and on a master list. The Unit Supervisor shall report the outcomes of the referral for evaluation to the LD Monitor for these cases.

B. Caseload Manager

Record the information about screening and referral for LD evaluation for each case on the Caseload Manager.

C. LD Report Monitor

Supervisors, email the LD Report Monitor updated information for all cases for the unit, when it comes to your attention and upon request. The Unit Supervisor may use the Case Conference Recommendations (7051A) to report outcomes to the LD Report Monitor.

The LD Report Monitor will request updates periodically from the Supervisor.

VI. Forms

Form #	Form Name	Purpose	Language
WTW2	Employment Plan - Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW17	Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation	A form for the Employment Specialist to explain to and have an individual sign who does not want to be screened or evaluated for learning disabilities at that time.	Chinese Russian Spanish
WTW 20	Permission to Release Learning Disabilities Information	A form for the Employment Specialist to explain to and have an individual sign to permit information pertaining to learning disabilities to be released from and to the Department.	
7001A CW (aka WTW 18 rev. 10/02) 7001B CW (aka WTW 19 rev. 10/02) Part 2 Client Copy	Learning Needs Screening Form	A two-part form for the Employment Specialist to administer to client during appraisal or other specific times in WTW participation to determine if a participant should be referred to evaluation for learning disabilities.	
7006 CW	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WTW status and eligibility for DOL-funded training (7004 CW). Use to refer to DSPS and if directed to other evaluators.	
7008CW	CalWORKs Client Request	The ES completes this form	

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	for Counseling Services Referral Form (RAMS)	when referring a participant for mental health or substance abuse services, through RAMS CalWORKs Counseling. The Unit Supervisor and VA signatures are required for LD evaluation only.	
7057 CW	DR Information Work Sheet; ("Green Sheet")	Department of Rehabilitation Referral form for evaluation.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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72-2.6: Special Needs

I. Introduction

The CalWORKs Special Needs process provides participants who demonstrate a pattern of lack of success and severe barriers to meeting Welfare to Work (WTW) work requirements with multi-disciplinary and inter-agency case planning. This includes specialized assessments and support, linkages to supportive work, Supplemental Security Income (SSI) advocacy, Administrative Exemption from mandatory work requirements, and other family support resources.

II. References

A. References from CalWORKs Regulations

Eligibility and Assistance Standards Regulations (EAS): 42-302.114, 42-302.3

B. Cross-references to Other Sections of This Handbook

Section 71-4: Exemption

Section 72-2: Assessment

Section 74-2: Mental Health and Substance Abuse Services

III. Policy

A. State Policy

An exception to the 48-month time limit requirement shall be granted when the individual is not able to maintain employment or to participate in WTW activities based on the assessment of the individual and the county's finding that the individual has a history of participation and full cooperation in WTW activities.

B. Local Policy

1. Service Description

Some CalWORKs participants may be so disadvantaged by severe barriers that they may be unable to comply with WTW requirements or need specialized assistance to do so. Effective service delivery for these participants will be enhanced through the provision of the following services:

- Multi-disciplinary team or inter-departmental approach to assessment and case planning, e.g., with the Department of Public Health (DPH) or the Department of Rehabilitation (DR) through contractual agreement with Richmond Area Multi-Services (RAMS).
- Intensive, personalized services which may include conducting assessment at the client's home or during a routine appointment with the Employment Specialist (ES), providing for the accompaniment of the client to appointments, assisting the client to apply for specialized assessment(s), PAES 2WORK, DR, Supplemental Security Income (SSI), other services
- Supported work opportunities, transitional work experience, and/or workplace accommodation
- Administrative exemption from mandatory CalWORKs work requirements with linkage to needed services
- SSI Advocacy
- Follow-through support to assist clients to obtain services for themselves and/or their dependent(s) with impairments.

2. Criteria for Referral for Special Needs Team Assessment

The participant's WTW history must demonstrate a pattern of lack of success and may include one or more of the following:

- Multiple barriers to employment
- Poor employment retention
- Self-disclosure of barriers such as frequent depression and trouble concentrating, learning disability, and/or substance abuse
- Inability to successfully engage, i.e., the client indicates a desire, but cannot follow through
- Corroborating information from Crossover MDT, Child Welfare, or other service providers.

3. Multi-Disciplinary Team (MDT)

The Multi Disciplinary Team (MDT) conducts case conferences with the ES and ES Supervisor in mandatory attendance. Standing members of the MDT include:

- Clinical Psychologist from RAMS CalWORKs Counseling Services
- Special Needs Coordinator/Clinician
- CalWORKs Social Work Supervisor
- Vocational Assessor
- Disability Evaluation Assistance Program (D.E.A.P.)
- CAAP Triage Case Manager
- DPH nurse
- DR Vocational Rehabilitation Counselor
- Family & Children's Services
- Others as needed, e.g., the family's child welfare worker, etc.

4. MDT Results

The MDT results in a personalized case plan which may include:

1. Recommendation for permanent Administrative Exemption
2. Specialized assessment(s), e.g., psychological, medical, learning needs assessment, etc.
3. Referral to PAES2WORK including the DR situational work assessment, intensive case management, group work experience, and placement services
4. Referral to DR
5. SSI advocacy and supportive services
6. Referral to Family Resource Center for parenting support, linkage to family services, etc.
7. Referral to CalWORKs Social Worker
8. Concurrent health treatment
9. Follow-through support.

Following the MDT, the ES/EW remains the primary case manager and meets with the participant to discuss the MDT recommendations with reference to the participant's WTW history.

The ES/EW may request a Peer Outreach Counselor from RAMS CalWORKs Counseling Services or a CalWORKs Social Worker to accompany the participant to appointments, assessments, etc.

5. Administrative Exemption

An administrative exemption can be sought through the special needs assessment referral process when the individual:

- is not able to maintain employment or

- is not able to participate in WTW activities based on the assessment of the individual and the county's finding that the individual has a history of participation and full cooperation in WTW activities.

IV. Process

A. Referral for Special Needs Assessment

In order to support the recommendation for a Special Needs Assessment referral, the ES must:

- Administer the Learning Needs Screening. Refer to Handbook Section 72-2: Assessment.
- Conduct a thorough case review and discuss the participant's WTW history with the ES Supervisor.
- Request and participate in a Unit Case Conference. Refer to CalWORKs PIM #02-8, Addendum A.
- Where appropriate, attempt to secure a CalWORKs Medical Report (CW 61) in order to exempt the participant from the time clocks prior to the actual referral for a Special Needs Assessment.
- When possible, secure a Release of Information for Special Needs MDT Meeting (7051E CW). This form permits all MDT members to discuss the participant and their situation. Without this signed release form, no identifying information will be discussed or shared at the MDT meeting.

The ES applies the referral criteria and makes the referral using the CalWORKs Special Needs Assessment Referral (7051B CW), the CalWORKs Case Conference Presentation Form (7051 CW) and the Release of Information for Special Needs MDT Meeting (7051E CW).

These forms are sent to the RAMS CalWORKs Special Needs Coordinator.

B. Assessment Process

The Special Needs Coordinator reviews available case information and determines the appropriateness of the referral. The Special Needs Coordinator indicates acceptance or rejection of the referral on the CalWORKs Special Needs Assessment Referral Form (7051B CW) and returns a copy of the form to the ES.

The Special Needs Coordinator schedules the MDT meeting and informs all parties who are to attend. Special Needs MDT meetings are held twice monthly.

The Special Needs Coordinator records MDT results and recommendations on the CalWORKs–Special Needs MDT Outcomes (7051C CW).

C. Follow-up

The ES/EW meets with the participant to discuss the MDT recommendations. A plan is developed using MDT Follow-up Plan (7051D CW), which defines activities to be completed by the ES/EW and the participant. The ES/EW and the participant sign the MDT Follow-up Plan indicating agreement with the plan.

The ES/EW obtains releases for referrals and schedules appointments for the participant, if needed, ensuring effective plan implementation and linkage with existing services.

The ES/EW may request a Peer Outreach Counselor from RAMS to accompany the participant to appointments, assessments, etc. When recommended by the MDT, these services can be extended to dependent(s) with impairments. A Peer Outreach Counselor can be requested through the Special Needs Coordinator using the accompanying referral and release(s): Consent for Release of Information (7007 CW) and Counseling Services Referral (7008 CW).

The ES/EW monitors the plan and participant's follow-through, offers reminders, answers questions and supports the participant throughout the process. For example, the ES/EW should assist in working out childcare and transportation, phoning the day before an appointment as a reminder to the participant.

D. SSI Advocacy

The ES/EW should strongly encourage special needs clients to apply for SSI benefits. These are clients who have been determined to be potential SSI candidates through up-front assessment or the multi-disciplinary assessment process. The ES/EW should emphasize the benefit of increased income which SSI could provide and offer the SSI Advocacy Services.

SSI application, advocacy, and appeals assistance is available from two sources: D.E.A.P (Disability Evaluation Assistance Program) and RAMS Mental Health Services. The Special Needs Coordinator determines where to best refer for the SSI advocacy. The Special Needs Coordinator should also be consulted to determine where to refer participants who could be SSI eligible but who do not go through the Special Needs MDT process.

The Special Needs Coordinator provides pertinent medical evidence and other information obtained through the MDT process to support the SSI application.

The ES/EW assists the participant via follow-through support once SSI is obtained as it is critical that the other MDT recommendations for resources and services be implemented. Assistance can also be requested from the CW Social Work Unit using the CalWORKs Social Work Referral (7045 CW).

E. Administrative Exemption

When recommended by the MDT, CalWORKs Administrative Exemption should be sought by the ES/EW in the following situations:

- Clients determined through assessment to be severely impaired and potentially eligible for SSI who will not apply for SSI or appeal initial SSI denial even with assistance
- Clients determined through special needs assessment to be severely impaired as a result of substance abuse who may be ineligible for SSI
- Clients determined through special needs assessment to be severely impaired and unable to work as a result of unknown factors who may be ineligible for SSI.

The ES/EW forwards the recommendation for exemption made by the MDT to the CalWORKs Program Manager for approval using the CalWORKs Request for Administrative Exemption (7052 CW). The approved CalWORKs Request for Administrative Exemption form is placed on the top of WTW Section 3 of the case folder.

F. DOR Referral Procedures

DOR Referral Process

1. CalWORKs (CW) Employment Specialist (ES) has client fill out the Green DOR Information sheet (Form 7057CW).
2. ES also has client sign an HSA form 8014 Client Authorization to release Information between HSA and DOR
3. CW ES faxes the two forms to Linda Rosel, DOR, Supervisor FAX (415) 904 -5996. She will assign to a DOR Counselor who will contact the participant directly to set up the initial appointment.
4. The ES shall advise the Manager (C600) Martha Singleton via email the date that the referral was faxed so that management can track the DOR referrals.

Also refer to PAES Handbook Section 142-5.7 DOR HSA Contracted Services and PIM 12-47

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
CW 61	Medical Report	Main form for documentation of Incapacity deprivation for cash aid or disability related exemption from welfare-to-work activities.	

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		<p>On side 2 are translations of the Client Authorization Section in the checked languages.</p> <p>The translated versions of the form are for the limited English client's information. The English version must be sent to the medical provider. Contact CX4B, x75197 for translated copy.</p>	
CW 61	Cover Sheet for Medical Report Packet	Coversheet for the 4-page packet addressed to the health care provider to explain the purpose of information requested in the CW 61, CW 61A or B.	
CW 61A	Physical Capacities	<p>This form elicits information on the patient's physical condition to use in making decisions concerning WTW participation</p> <p>The translated versions of the form are for the limited English client's information. The English version must be sent to the medical provider. Contact CX4B, x75197 for translated copy.</p>	
CW 61B	Mental Capacities	<p>This form elicits information on the patient's physical condition to use in making decisions concerning WTW participation.</p> <p>The translated versions of the form are for the limited English client's information. The English version must be sent to the medical provider. Contact CX4B, x75197 for translated copy.</p>	
7007CW	RAMS Counseling Services Assessment Summary	This form is to assess for Mental Health and Substance Abuse Services, through the RAMS.	
7008CW	CalWORKs Client Request for Counseling Services Referral Form (RAMS)	The ES completes this form when referring a participant for mental health or substance abuse services, through RAMS on-site counselors at DHS.	
7045CW	CalWORKs Social Work Services Referral	Form for ES or EW to request intervention from CalWORKs Social Workers.	
7051CW	Cal WORKs Case Conference Presentation Form	A form to use to summarize a case in preparation for a Unit case conference and/or Special Needs MDT.	
7051B CW	CalWORKs Special Needs Assessment Referral	Cover memo for referral of a client for CalWORKs Special Needs Assessment. The packet is forwarded to the Special Needs Coordinator.	
7051C CW	CalWORKs Special Needs MDT Outcomes	A form to summarize the outcomes of the Special Needs MDT.	
7051D CW	CalWORKs Special Needs MDT Follow-up Plan	A form to record the activities to be completed by the ES/EW and the participant based on the recommendations from the Special Needs MDT.	
7051E CW	Release of Information for	A form to release information for Special Needs MDT meetings which permits all MDT members to discuss the	

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	Special Needs MDT Meeting	participant's situation.	
7052CW	CalWORKs Request for Administrative Exemption	A form used by the ES to obtain administrative approval/denial of an exemption recommended by the Special Needs MDT.	
7057CW	DOR Information Sheet (Green)	ES provides to client to complete information for referral to DOR.	
8014/15	Authorization to Release Information	Authorization for client to release information between HSA and contracted services and participating agencies.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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72-2.7: Learning Disabilities

I. Introduction

The CalWORKs Program is mandated to examine alternatives and remove barriers that prevent participants with learning disabilities (LDs) from participating to the fullest extent possible in the Welfare-to-Work (WTW) Program.

CalWORKs addresses LDs by providing screening, evaluation, diagnosis, accommodations and other services to all Welfare-to-Work (WTW) participants. Screening and evaluation are described in the following handbook sections:

- 72-2.2 Learning Needs Screening (LNS)
- 72-2.5 Evaluation

This handbook section describes policy and procedure for individuals identified as learning disabled. It includes: how to address accommodations, participation in WTW activities, adjustments for sanctioned individuals determined to have LD, inter-county transfers, and exemptions for LD.

II. References

A. References from the All County Letter

All County Letter No. 01-42, 01-70, 02-35, 02-64

B. Cross-references to Other Sections of This Handbook

Section 71-4: Exemptions

Section 75-3: Confidentiality and Code of Ethics

Section 75-5: Reappraisal

III. Definitions of a Learning Disability

A. State Department of Social Services Working Definition

The following is based on a definition from the National Joint Committee on Learning Disabilities and was adopted by the California Department of Social Services (CDSS) Advisory Workgroup on LD.

"Learning disabilities (LD) are a heterogeneous group of disorders manifested by significant difficulties in the acquisition and use of listening, speaking, reading, writing, reasoning and/or mathematical abilities. LDs are intrinsic to the individual and presumed to be due to central nervous system dysfunction.

Even though an LD may occur with other handicapping conditions (e.g. sensory or mental impairment) or environmental retardation, social and/or emotional disturbance influences (e.g., cultural differences, insufficient/inappropriate instruction, psychogenic factors); it is not the direct result of those conditions or influences. The LDs interfere with the participant's ability to obtain or retain employment or enter and participate in the CalWORKs Program."

B. Additions to the CDSS Definition

According to the Title V Regulations which govern the California Community Colleges, to be categorized as learning disabled, "**...student must exhibit average to above average intellectual ability, severe processing deficits, severe aptitude-achievement discrepancy and measured achievement in an instructional or employment setting.**"

According to the APA's Diagnostic & Statistical Manual of Mental Disorders, Fourth Edition, "**...in some cases of Mild Mental Retardation, the level of achievement is reading, mathematics, or written expression is significantly below expected levels given the person's schooling**"...In these cases..."the additional diagnosis of the appropriate Learning Disorder should be made."

IV. State Policy

A. Participant Disclosure of a Disability and Self-Advocacy

The program put forth by the CWD shall empower participants with LD to be their own advocates. To self-advocate successfully, individuals need to know:

- Their rights under the law
- Facts about their disability
- Essential and marginal job functions of jobs they are interested in
- Potential accommodations that would allow performance of the essential job functions
- Ways to approach employers that will encourage positive results
- Free resources that can assist an employee and/or the employer in developing a reasonable accommodation, e.g., the Job Accommodation Network or the Pacific Disability and Business Technical Assistance Center.

(Websites: <http://janweb.icdi.wvu.edu> and <http://www.adapacific.org/>)

If the individual wishes to inform the employer or other provider about her/his LD, the ES must provide the participant with written documentation from the evaluation report that s/he can

present to employer(s), schools, etc. as verification of the LD and need for reasonable accommodations and/or services.

Formal documentation of the LD is required for GED and employer accommodation.

B. Accommodations

Reasonable accommodations are modifications and adjustments that make it possible for a qualified individual with a disability to apply for or perform the essential functions of a job or to participate in assigned WTW activities.

The CWD and any service providers contracted by the CWD with CalWORKs monies must make reasonable modifications of their services to accommodate CalWORKs participants who have a LD or any other disabilities. The accommodations should be specific to an individual's needs and must be provided free of cost to the recipient by the CWD and any service providers contracted directly or indirectly by the CWD.

The CWD must provide a participant who has a LD with an opportunity to participate in WTW activities through the provision of services that are comparable to those provided to a non-disabled participant. The CWD cannot deny access to an activity because of a participant's disability.

1. Fewer Hours of Participation in WTW Activities

A written LD evaluation may include a recommendation that an individual with a verified LD be temporarily assigned to fewer hours of participation as a reasonable accommodation. This is done when good cause exists based on the determination that a condition or other circumstance temporarily prevents, or significantly impairs, an individual's ability to be regularly employed or participate in WTW activities.

This recommendation shall be addressed in the development of the Employment Plan.

2. Employer Rights and Responsibilities

Under the Americans with Disabilities Act (ADA), an employer does not have to provide a reasonable accommodation to an individual with a disability if it would impose an undue hardship on the operation of the business. Undue hardship is defined as an action that requires significant difficulty or expense in relation to the size of the employer, the resources available, and the nature of the operation. Similarly, CWDs and their contractors must provide reasonable accommodations to individuals with disabilities to access their services, unless doing so would fundamentally change the nature of the service.

C. Appropriateness of Job Search as Participant's First Activity

CalWORKs WTW program regulations specify that job search is generally the first activity assigned.

However, the following exceptions apply:

1. Exceptions to Up Front Job Search and LD

- a. The Learning Needs Screening must be administered at appraisal, i.e., the initial meeting with the ES. If the screening indicates that an individual has a potential learning disability, the county must refer the individual for a learning disabilities evaluation as soon as administratively feasible.
- b. Recipients with verified LD should not be required to participate in job search as their first CalWORKs activity, i.e., Up Front Job Search. In determining whether job search is beneficial for an individual with a verified LD, the ES must consider, at a minimum, all of the following factors on a case-by-case basis:
 - The employability skills of the individual.
 - Whether available jobs in demand occupations in the local area are suitable to the individual's level of skills.
 - The individual's employment history and the effect that learning disabilities may have had on the individual's work history, e.g., numerous short-term, low-wage jobs
 - Whether the individual is aware of the types of jobs and job-settings in which s/he can likely obtain and retain employment.

When the ES determines that job search will not be beneficial for an individual with a verified LD, the ES should advise the individual of the reasons for this determination and promptly proceed with assessment and learning disabilities evaluation, if not already initiated.

If the ES determines that job search may be an appropriate first activity, the participant with verified LDs should be informed orally and in writing that the job search period may be shortened if it does not prove to be beneficial, and the process for shortening the job search period. This should be done prior to, or at the start of, job search.

2. Placement in Up Front Job Search

Individuals may always choose to participate in job search, even if the ES has determined that job search is not likely to be beneficial. Once an individual is placed in job search either as a volunteer or as required, s/he will be subject to the same requirements and have the same rights as other job search participants.

D. LD in relation to Good Cause and Curing a Sanction

CDSS provides for:

1. LD and Good Cause during the Non-Compliance Process

If the LD is confirmed during an individual's good cause or compliance process and the disability is determined to have contributed to the participant's failure to participate, the participant shall be considered to have good cause and shall not be sanctioned.

2. LD and Curing a Sanction

If the LD is confirmed for an individual who is attempting to cure his/her sanction and it is determined the LD was a contributing factor to the participant's noncompliance rescind the sanction and issue any benefits to which the individual is eligible.

E. Confidentiality of Participant Records

Medical records and written LD evaluations must be treated as confidential documents. A participant's written consent is required to share this information with all individuals outside of the CWD. This information should only be shared with CWDs, other LD evaluators, outside agencies, and WTW partner agencies on a "need-to-know" basis.

F. Inter-County Transfers

When a WTW participant with an identified LD moves from one county to another, obtain the participant's written permission and forward to the receiving county a copy of the written LD evaluation. Upon receipt of the written evaluation, the receiving county will develop an Employment Plan or amend the existing Employment Plan and determine appropriate activities, services, and accommodations using information from the written LD evaluation and information obtained through discussions with the participant.

G. LD Qualifying as an Exemption

Individuals with LDs are generally able to meet WTW participation requirements when the LDs are identified by a licensed professional evaluator and necessary accommodations and/or assistive technologies are provided.

However, there are some individuals who have LDs (alone or in combination with other disabilities) that are so severe that they significantly impair the individual's ability to be regularly employed or participate in WTW activities. In such instances, the individuals would be exempted from participating on a case-by-case basis with verification of the impairment(s) provided by a licensed health care professional approved by the program.

V. Local Policy

The following local policy has been established.

A. The Vocational Assessor shall apply the Accommodations

When an individual is found to have a LD, the Vocational Assessor (VA) in collaboration with the ES, shall apply the accommodations recommended in the evaluation to the participant's Employment Plan in writing.

B. Special Needs Referral for Multiple-barriers

The CalWORKs Program has developed the Special Needs process to assess the needs of individuals with multiple barriers. An individual with LD and/or other barriers may be an appropriate referral to this program.

VI. Process

A. Accommodations and the Employment Plan

Upon receipt of an evaluation identifying LD, the VA, ES and participant shall confer with the evaluator. The written evaluation shall include a range of reasonable accommodations for the individual. The ES shall request the assistance of the VA to prepare the Employment Plan and determine the reasonable accommodations.

1. The Vocational Assessor and Accommodations

The VA will review the written LD evaluation, meet with the participant and discuss the types of jobs or other WTW activities that might best match the individual's skills while working around his/her limitations

In determining appropriate activities for a participant, the VA must integrate the results from the participant's individualized assessment, including the Targeted Vocational Assessment, as well as the LD evaluation.

The individual's abilities and limitations must be considered relative to the specific requirements of the job or WTW activity. It may also be helpful to and/or in other work settings that could be applied to new activities. In order for the plan to be successful, the VA and ES shall collaborate in the final accommodations plan development.

a) Fewer hours of participation

The evaluation may recommend fewer hours of participation for the participant.

In determining the accommodation the VA should first explore with the individual any options that would allow fewer hours of participation in the individual's primary activity, supplemented with hours in other allowable activities, that will enable the individual to meet his/her work participation requirements.

Any supplemental activities must support the participant's employment goals and must be consistent with his/her learning disabilities evaluation and Employment Plan. These activities may include, but are not limited to, remedial training, literacy tutoring, and study time for participants who are not in self-initiated educational programs. If the participant cannot meet the full 32/35 hours of participation, this requirement can be waived for "good cause".

b) Modify the WTW Employment Plan - Activity Agreement (WTW 2)

Document the accommodations that apply to the assigned activities in writing and obtain the ES, VA, participant and Unit Supervisor's signatures. Staple the written agreement to the Activity Agreement, (WTW 2). Give a copy to the participant.

Note: a WTW Employment Plan Supplement for Accommodations form is in development.

B. Self-Advocacy

The choice of whether to disclose a disability is up to the individual, and the individual is not required to disclose it unless s/he wants to request an accommodation. For many people, this level of self-advocacy may be uncomfortable and could be problematic when it comes to looking for a job or handling difficulties on the job. Provide support as needed to assist the individual with LD to gain confidence in her/his ability to advocate for accommodations.

When the individual needs formal documentation of the LD in order to get accommodation for GED or an employer, the ES, in collaboration with the VA, must provide the individual with the required documentation from the evaluation.

C. Up Front Job Search and LD

The policy for addressing UFJS for LD follows the same process as that for Low English Proficient (LEP) and other clients who have identified barriers. See Handbook Section 73-15B. Use the CalWORKs Up Front Job Search Notice (7205 CW) to inform the participant about their rights and responsibilities.

D. LD in relation to Good Cause and Curing a Sanction

Policy requires that all participants be screened for LD. Therefore, if a good cause or compliance is in process or if an individual has been sanctioned, determine whether or not the Learning Needs Screening Form (7001 A CW) has been offered and administered or if a Waiver (WTW 17) has been signed.

1. Offer the Screening (7001 A CW)

If the screening has not been offered, do so following the procedures outlined in Handbook Section 72-2. 2, Learning Needs Screening. If the screening score, or other observations, indicate an evaluation referral is appropriate follow the procedures outlined in Handbook Section 72-2.5, Evaluation.

If the individual declines the screening or evaluation, review the Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation (WTW 17) and obtain her/his signature of appropriate.

2. Waiver on File? Offer the Screening Again

If the individual previously signed the Waiver (WTW 17), review the importance of screening and evaluation again. Offer the individual an opportunity to proceed with this process. Use the Learning Needs Screening Information flyer (7208 CW) when discussing the screening.

3. Good Cause

When LD is confirmed by the evaluation, consult with the VA and the LD evaluator to determine if the disability contributed to the failure to comply. If the LD is confirmed to be "good cause" for non-participation, modify the Employment Plan as required by the information in the evaluation, following the policy in this Handbook Section, page 5, part D.

4. Sanction Review

When LD is confirmed by the evaluation, consult with the VA and the LD evaluator to determine whether the LD was a contributing factor to the participant's non-compliance. If so rescind the sanction and issue any benefits to which the individual is eligible. Remember s/he may be eligible to all benefits since the sanction was imposed.

5. Modify the Employment Plan

Request the assistance of the VA to review the Employment Plan and modify it as appropriate, adding accommodations.

E. Release of LD Information

Medical records and written LD evaluations are confidential documents. The ES must use the Permission to Release Learning Disabilities Information form (WTW 20), to obtain the participant's written consent to share this information with all individuals outside of the CWD. A separate form must be completed each time the information is to be shared with a new individual outside DHS. The form must be completed in full before the participant signs it.

F. ICT

Whether San Francisco is the sending or receiving county, the written LD evaluation report should follow the participant.

1. Participant is moving to another county

When a WTW participant in San Francisco who has an identified LD moves to another county, obtain the participant's written permission and forward to the receiving county a copy of the written LD evaluation. It is important to send the information to the new county. Use the Permission to Release Learning Disabilities Information (WTW 20) when obtaining the participant's consent.

2. Participant moves to San Francisco

At appraisal with a person moving to San Francisco from another county, discuss with the participant whether they were screened or evaluated in the other county.

a) Screening

When a participant has been screened for Learning Needs (7001 A CW) in another county, try to get the screening score information. Obtain the participant's signature on the Authorization to Release Information (8014), contact the other county and fax the release. Alternatively, if the other county does not send the information in a timely manner, ask the client to screen again or sign a waiver.

b) LD Evaluation Information

When a participant has been evaluated by a licensed professional for LD in another county, the ES must obtain the evaluation from the sending county in order to complete an Employment Plan. The information should be part of the ICT documentation in the intake case file. If not, inquire if the participant has a copy.

If the information is not available, but the participant informs you of the LD evaluation in the other county, obtain the participant's signature on the Permission to Release Learning Disabilities Information (WTW 20), contact the other county and fax the release. If the sending county does not respond, request assistance from the Unit Supervisor and Section Manager as necessary.

G. Exemption and LD

Approve an exemption in the event verification of the LD impairment (alone or in combination with other disabilities) and recommendation for exemption is provided by a licensed health care professional who has been approved by the program. (See Handbook Section 71-4, Exemptions.) Alternately, approve an exemption when recommended by the Special Needs MDT process.

VII. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VIII. Forms

Following is a listing of all the LD specific forms for reference.

Form #	Form Name	Purpose	Language
7001A CW (Part 1 aka WTW 18) 7001A CW Part 2 (Client) (aka WTW 19)	Learning Needs Screening	A two part questionnaire for the Employment Specialist to administer during appraisal if requested and no later than assessment for new participants. Part 2 is completed by the client..	
7208 CW (9-02)	Learning Needs Screening Information	A flyer to inform recipients and participants about learning disability screening and evaluation opportunities with CalWORKs	
WTW 17 (8/02)	Waiver of CalWORKs Learning Disabilities Screening and/or Evaluation	A form for the Employment Specialist to explain to and have an individual sign who does not want to be screened or evaluated for learning disabilities at that time.	
WTW 20 (9/02)	Permission to Release Learning Disabilities Information	A form for the Employment Specialist to explain to and have a participant sign to permit information pertaining to learning disabilities to be released from and to the Department.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 12/31/18

72-2.8: Core & Non-Core Activities

I. Introduction

ATTENTION STAFF:

The passage of Senate Bill 1041 on June 27, 2012 resulted in some significant changes to the CalWORKS Welfare-to-Work Program. Effective January 1, 2013, a new CalWORKs WTW 24-month time limit (clock) regarding hourly participation in WTW activities was established; participation hours were aligned with federal hourly requirements and core/non-core hours for participation in CalWORKs WTW activities were eliminated. The changes increases flexibility for WTW activities which are consistent with clients' assessments and promotes more opportunities for self-sufficiency. This section is in the process of being reviewed for revision and/or removal from this handbook.

Effective with SB1104, as of December 1, 2004 Welfare-to-Work (WTW) activities are designated:

- Core activities, all work related activities or
- Non-core activities, supportive services, education/skill related activities or "other".

Participation in at least twenty (20) hours of core activity is required. Under certain circumstances, some non-core activities can be converted to core activities. Documentation is required. Core activity requirements do not apply to Self-Initiated Programs (SIP) or Volunteers.

II. References

A. References from the Law and Regulations

1. All County Letter #04-41/04-41 Errata, #08-50/08-50 Errata (7/6/10)
2. Welfare and Institutions Code 11322.8, 11325.21 and 11454

B. Cross-references to other sections of this handbook

Section 72-2: Appraisal and Assessment
 Section 72-2.7: Learning Disabilities
 Section 72-3: Employment Plan
 Section 73: WTW Activities

Section 73-18: Study Time

C. Other cross-reference

WTW Program Information Memo #05-02

Workforce Development Division Program Bulletin #04-01 & #05-03

III. Core/Non-Core Welfare-to-Work Activities

Core and non-core activities are listed and identified. For more information on each activity see Handbook Section 73.

A. Core Activities

- Unsubsidized employment
- Subsidized private sector employment
- Subsidized public sector employment
- On-the-job training
- Self-employment
- Supported work
- Transitional employment
- Work experience
- Vocational Education & Training - i.e., certificate programs at City College or CBO -- limited to a cumulative 12 months as core activity.
- Job readiness assistance (JRT) i.e., job readiness "JIST" workshops
- Job search: (JCL) - Supervised job search/Job Clubs, (NJS) - Unsupervised One Stop job search
- Grant-based-on-the-job training (i.e., CJP-paid)
- Community Service (i.e., CJP- Unpaid)
- Work-study
- Study time; i.e., for school/class credit only. (Not to be confused with "Carnegie hours". No such credit study time is currently available. City College may develop credit study time at some future date.)

B. Non-Core Activities

- Adult Basic Education
- GED i.e., study for GED or secondary school (high school)
- Mental Health Services
- Substance Abuse Services
- Domestic Violence Services
- Vocational Education and Training i.e., after first 12 months, VTR becomes a non-core activity and cannot be converted to core
- Education directly related to employment (i.e., Degree Program – AA or BA)

- Job skills training directly related to employment (i.e., job specific training -- advanced computer class, internship)
- Study Time (i.e., non-credit study hours). "Carnegie Hours". Compute up to maximum of non-core 12- or 15-hour participation requirements. Cannot be converted to core activity.
- Other: (i.e., activities necessary to assist individual obtain unsubsidized employment; may include Family and Children's Services Crossover services).

IV. Participation Requirements

A. Mandatory WTW participants

Mandatory WTW participants must engage in at least:

- 20 hours of core activity a week
- 12 or 15 hours of non-core activity a week (one or two-parent AU requirements)

Exceptions to core and non-core activity requirements allow for "conversion" of some non-core activities to core activities under certain conditions.

B. Two parent requirements

Parents may split the 20-hour core activity participation requirements in a two-parent AU. However, one parent must participate in core and/or non-core activities for a minimum 20 hours per week.

C. Core and non-core activities not applicable

The following participants may participate in any allowable activity and are not subject to core activity requirements. See Handbook Section 72-2, Appraisal and Assessment ('05 update).

- Self-Initiated Programs (SIPs) or
- Exempt volunteers

V. Training and Education

Core hourly participation requirements emphasize work activities. Many participants wish to engage in vocational training and post secondary education. Application of core and non-core requirements to students is discussed below.

A. Determining total education and training hours

When developing an Employment Plan - Activity Agreement (WTW 2) for a student, count all hours participant is required to be in school. Review Education Plan, class schedule, and syllabus.

1. Add up all hours in:

- Classroom
- Lab
- Internship
- For credit study time (only if offered by the school)

2. Count credit and non-credit activities separately to help apply the core and non-core requirements.

B. Vocational education and training

Vocational education and training activity; i.e., certificate programs at City College or CBO, may only be considered core hours for maximum of 12-months during an individual's 48-months on aid.

- The first Employment Plan-Activity Agreement (WTW 2) signed after 12-1-04 may include 12 months of core vocational education and training (VTR), if the program leads to a certificate – whether classes are credit or non-credit.
- Note: Time spent in vocational training and education (VTR) prior to the first modification of Employment Plan-Activity Agreement (WTW 2) after 12-1-04 does not count toward 12-month limit.
- Twelve (12) month core vocational education and training (VTR) period begins on first day of month following month Employment Plan – Activity Agreement (WTW 2) is signed or amended (WTW 3) after 12-1-04.

For example: When WTW 2 is signed February 18th, the 12-month VTR period begins March 1st.

C. Supporting school beyond first 12 months of vocational education and training.

After completing the first 12 months of vocational education and training (VTR), participants may attend college part-time or full time up to 60 months as a non-core activity. All participants, including students, must engage in at least 20 hours of core WTW activities.

To help participants plan ahead, alert them to coming changes in core and non-core activity requirements while monitoring progress in vocational education and training.

1. How to support Continued Education

- Upon completion of the allowed 12 months in vocational education and training as a core activity, rename credit classes, lab and internship hours non-core "education leading to employment" (PSE) or "job skills leading to employment" (JSK) as appropriate.
- Count non-credit classes, lab and internship hours as non-core vocational education and training (VTR). Or if internship is the only non-credit "class", call it JSK.
- Work-study is an on-campus core activity. Encourage participation in work-study. The student also is paid for work-study!

2. Exception Policy and Non-Core Activities

The exception policy allows conversion of specified non-core supportive services and/or education hours to core activity (see Part VI. below).

D. Learning disability accommodations:

A student with a diagnosed learning disability must have an *Accommodations Plan* based on the provider's evaluation. Accommodations must be allowed for a student who is unable to participate at the level expected by WTW requirements.

On a case by case basis when an accommodation recommends study time, include study time in core activity hours. Include core, work related activities, in the *Employment Plan* for as many hours as possible.

VI. Exception of Conversion for Non-Core Activity

Time spent in non-core activities in excess of 12/15 hours may be converted to core hours if the activities meet exception conditions. Exception policy allows for flexibility in certain circumstances.

Non-core activity can only be moved to core status when the total non-core activity hours are in excess of 12/15-hour participation requirements.

After the initial 12 months of vocational education and training (VTR) is used up, hours in the activity become non-core and cannot be converted to core.

Non-core, study time hours (non-credit, unsupervised, "Carnegie Hours") CANNOT be counted when any allowable non-core activity is converted to core.

A. Approval process

Use *Exceptions to Core Hourly Requirements: Approval (7065 CW)* to document exceptions before completing *Employment Plan – Activity Agreement (WTW 2)*.

Exceptions: Approval (7056CW) must be signed by:

- Unit Supervisor and
- VA who also signs WTW Plan Activity Assignment (WTW 2)

Submit copy of signed form to Section Manager.

B. Exceptions allowed for specified activities

The following non-core activities may be converted to core as an exception.

Treatment activities:

- Mental health services
- Substance abuse services, and/or
- Domestic violence services

And/or education/training activities:

- Adult basic education (includes ESL and GED)
- Education directly related to employment (AA/BA degree)
- Job skills training directly related to employment

C. How to Approve Activity Exception

1. Treatment activity exception

Case Managers must determine participation in these supportive services is necessary for the individual's success in WTW.

2. Education exception

Case Managers must determine if:

- Program leads to a self-supporting job and
- Individual is making satisfactory progress in activity.

3. Core Conversion

Balance in excess of 12/15 hours can be converted to core activities. The excess hours of participation in the specified treatment and education/training activities can be counted as core hours only when all of the individual's non-core hours are comprised solely of participation in these treatment and/or education activities.

D. Exceptions and non-core study time

Non-core study time can never be converted to core activity. If non-core study time is included in the Plan, no non-core activity can be converted to core.

Example of Vocational Training and Non-core Study Time Allowed

The only time study time can be approved for vocational education and training activity is when the first Employment Plan - Activity Agreement (WTW 2) signed after 12-1-04 includes vocational training (VTR) as a core activity. In this instance only, the Plan may include 12/15 non-core study time hours. Apply "Carnegie Hours" formula to time spent in classroom, laboratory etc. up to non-core hourly participation requirement.

E. Examples of Converting Non-core Activities to Core Hours

The following examples are for a one parent AU.

- 1. Example:** Ms. A has 14 hours in substance abuse activity. Convert two hours in excess of required non-core 12 hours to core. (All in one category.)
- 2. Example:** Ms. B has 14 credit hours of classroom and internship in an AA program: education leading to employment (PSE). Convert two (2) hours in excess of required non-core 12 hours to core. (All in one category.)
- 3. Example:** Ms. C has 10 hours ESL and 6 hours job skills leading to employment, 16 non-core hours. Convert four (4) hours in excess of required non-core 12 hours to core. (Both in same category.)
- 4. Example:** Ms. D has 6 hours of ESL and 8 hours of mental health services, 14 hours total non-core activities. Convert two hours in excess of required non-core 12 hours to core. (All in allowable categories for exception: supportive services and education.)
- 5. Example:** Ms. E. has 4 hours non-credit vocational training left the certificate program. (She already had 12 months of vocational training since 12-1-04). She also has 12 hours education leading to employment (credit classes and internship). Total non-core hours 16. Remember, vocational training beyond 12 months cannot be converted to core activity.

However, you may re-name the participant's 4 hours non-credit vocational training, calling it "job skills leading to employment". Now convert 4 hours of the total 16 non-core to core. (Both in same category.)

F. Exceptions and crossover services

When non-core "other" activities consist solely of services required by the Family and Children's Services plan for a "crossover" case, hours in excess of the required 12/15 hours may be converted to core hours.

VII. Employment Plans with Core and Non-Core Activities

Following are several examples designed to illustrate core and non-core requirements. These are only examples and not meant to be inclusive of all the combinations of activities or exceptions possible in WTW.

A. Maximum non-credit study time and PSA

Megan, single parent AU 9 hours education leading to employment (credit classes for BA at SF State) 18 "Carnegie Hours" study time	
<u>Core activity hours</u> 0 <hr style="width: 20%; margin: 0 auto;"/> 0 20 hours needed	<u>Non-core activity hours</u> 9 Education <u>3 Study Time</u> ("Carnegie Hours" - maximum allowed) 12 hours - OK

Megan's Employment Assignment Activity Plan (WTW 2) may include 3 hours of non-core study time for a total of 12 non-core hours. Megan must add 20 hours of a core activity to her Plan.

Note: Technically Megan could qualify for 18 "Carnegie Hours" (9 credits x 2 hours per credit = 18 hours)

However, the participant's non-core activity requirement is 12 hours. Non-credit study time CANNOT be part of an exception so none of these hours can be converted to core. Therefore, Megan's Employment Plan includes only 3 hours of non-core study time.

Megan's Plan must include 32 total hours of activity making the participant eligible for full time childcare with one provider. As a result, the participant may have some flexibility in the schedule for additional study time beyond the 3 hours in the participant's Plan.

Childcare authorizations for students must be made on a case-by-case basis, following guidelines in Handbook Section 73-18, Study Time.

B. Full-time post secondary education

<p>Joyce, a single parent AU, has: 12 credits at SF State (education leading to employment - PSA) 15 hours of federal work study 5 hours of job search at the One Stop</p>	
<p><u>Core activity hours</u></p>	<p><u>Non-core activity hours</u></p>
<p>15 Work Study</p> <p>5 Job Search</p> <hr/> <p>20 hours - OK</p>	<p>12 Education leading to employment (PSA)</p> <hr/> <p>12 hours - OK</p>

Joyce’s Employment Plan will include 20 core hours and 12 non-core hours, meeting the 32 hour requirements.

C. Exception: Combination of class and laboratory

<p>Martin and Isabel, two parent AU Martin: 10 hours of classroom and laboratory activities in a GED Program. 10 hours of substance abuse services Isabel: 18 hours of unsubsidized employment (WUS)</p>	
<p><u>Core activity hours</u></p>	<p><u>Non-core activity hours</u></p>
<p>Martin:</p> <p>5 GED moved to core</p> <p>Isabel:</p>	<p>(total 20 hours GED & substance abuse services)</p> <p><----- 5 GED (<i>Exception</i>)</p>

18 WUS	<i>Approval 7065CW)</i>
23 hours - OK	10 Substance Abuse services
	15 hours - OK = 32 hours

- Martin’s non-core hourly requirement is 15 hours; combined GED and substance abuse services equal 20 hours. Convert 5 hours of GED to core hours. Complete "Exceptions Approval" (7065CW) for Supervisor’s signature before Martin signs the Employment Plan - Activity Agreement (WTW 2).
- Isabel is working 18 hours a week.
- The couple meets the participation requirement for a two (2)-parent family: total 35+ - hours per week and Martin participates 20 hours in combined core and non-core activity.

D. Vocational education and training (VTR)

First (1st) Plan after 12-1-04

Claudette, single parent AU 20 hours combination classroom and laboratory hours, including some credit classes. Goal: program certificate (VTR)	
<u>Core activity hours</u>	<u>Non-core activity hours</u>
20 VTR	12 non-credit study time (maximum allowable)
20 hours - OK	12 hours - OK

Claudette’s school may be counted as 20 hours of core vocational training (VTR). Count 12 hours of non-credit study time as non-core hours to meet her 32 hour requirement.

Second (2nd) Plan one year later

<p>Claudette, single parent AU Certificate Program to be completed in 6 more months. 6 credit-classes and 10 hours internship, 16 credit hours total</p>	
<p><u>Core activity hours</u></p>	<p><u>Non-core activity hours</u></p>
<p>4 PSE ----- 4 hours <----- ----- 16 more core hours needed</p>	<p>(total 16 hours needed education leading to employment) (PSE) ---12 hours PSE (Exception Approval 7065CW) ----- 12 hours - OK</p>

Claudette’s non-core activity hours total 16 credit hours. Re-name the participant’s activity "education leading to employment" (PSE). Convert 4 hours of education leading to employment to core. *Complete Exceptions Approval (7065 CW) for Supervisor’s signature.*

Claudette must participate for 16 hours in core WTW activities to fulfill the 32-hour requirement. Work-study is a good choice, if available; or a part-time job related to the participant’s program in the last six months of school.

VIII. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

IX. Forms

Form#	Form Name	Purpose	Language
7065CW	Exceptions to Core Hourly Requirements: Approval	Complete form whenever a non-core activity is being converted to core activity in a pending Employment Plan. Obtain approval signatures before signing the Plan.	
WTW 2 (12/12)	Employment Plan - Activity Assignment	This SDSS-required form specifies up to two welfare to work activities the	Chinese Russian

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		Participant is committing to engage in.	Spanish Vietnamese
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/20/12

72-2.9: Third Party Assessment

I. Introduction

A third party assessment is conducted by an impartial third party. If the participant disagrees with results of assessment completed by the Employment Specialist and the Job Readiness Appraisal process, a referral for an independent assessment must be made. The results of this assessment are final. The results are to be used to develop the WTW plan.

II. Policy

If the participant disagrees with results of assessment, Employment Specialist must refer for an independent assessment by an impartial third party. The results of this assessment are final. The results are to be used to develop the WTW plan.

The participant cannot file a grievance to appeal the assessment but can request a state hearing to appeal the WTW Employment Plan - Activity Assignment (WTW 2).

No state hearing shall be granted regarding an assessment used to develop a WTW plan until an independent third-party assessment has been performed.

III. Process

A. Disagreement: Third Party Assessment

If the participant and the Employment Specialist/Department cannot agree on the employment plan, an independent third-party assessment may be necessary. The Client Advocate may also assist with resolution.

B. First steps to resolving disagreement

If based on your own assessment in addition to any evaluations that may have been carried out, you and participant cannot reach agreement on the Employment Plan - Activity Assignment (WTW 2) either at the conclusion of the JRA, or at any other time:

- Consult with Supervisor.
- Consult with Vocational Assessor.
- Present the case in Case Conference.
- Consider compromise alternatives for the Plan. There is seldom just one path or activity or provider. Take time to identify what the real disagreement is and seek resolution.

- Encourage participant to provide information that supports their plan.
- Encourage participant to call on a Client Advocate or bring an advocate of choice to an interview and attempt to resolve the issue.

Document all steps taken to resolve the disagreement in CalWIN case narrative.

If you and the participant still cannot reach agreement on the Employment Plan - Activity Assignment (WTW 2) an independent Third Party Assessment is required.

C. Process for a Third Party Assessment

While the Third Party Vocational Assessment is rarely needed, the availability of the opportunity for a Third Party Vocational Assessment is mandated by the San Francisco WTW County Plan and outlined in the WTW CalWORKs Grievance Process (Handbook Section 77-1) and the PAES Grievance Process (146-2).

HSA has a reciprocal agreement with San Mateo County Human Services Agency to provide an impartial Third Party Vocational Assessment to WTW participants who disagree with the results of their vocational assessment.

If the participant disagrees with the results of his/her Vocational Assessment completed by the Employment Specialist and the Vocational Assessment Counselor (VAC) during the ACE appraisal process or TVA Standalone or Reappraisal processes, a referral for an independent third party assessment must be made by the Employment Specialist,.

All requests for a Third Party Assessment should be reviewed by the ES Supervisor before being sent to the Vocational Assessment Unit Supervisor for review and forwarding to the third party assessment provider.

To initiate a Third Party Assessment, PAES ES's shall:

1. Fill out, sign, and have the participant sign the WTW 10 Request for Welfare to Work Third Party Assessment within seven working days of the participant's request for a third party review.
2. Fill out and have the participant sign Form 8014 identifying that the information can be shared with the San Mateo County Human Services Agency
3. Provide the WTW 10 and 8014 packet to the WTW Unit Supervisor for review and approval
4. Upon approval, send the packet to the VAC Unit Supervisor 8E30
5. Authorize transportation to the San Mateo appointment at participant's request.

6. Share the results within seven working days with the participant when the third party assessment is completed.

The VAC Unit Supervisor will review the packet within two working days, and, if appropriate, forward the packet to the San Mateo County Human Services Agency. If the request or packet is incomplete, the VAC Unit Supervisor will return the packet to the ES and ES Supervisor.

The San Mateo County Human Services Agency shall:

1. contact the participant directly to schedule and conduct the third party assessment
2. notify the VAC Unit supervisor if the participant does or does not attend the assessment
3. Send the results of the third party assessment to the VAC Unit Supervisor.

The VAC Unit Supervisor shall:

1. Receive the results
2. Share them with the ES and the WTW Unit Supervisor within two business days of the receipt of the third party assessment.

On receiving the results of the Third Party Assessment, the ES shall develop an employment plan based on these results with the participant.

The Third Party Assessment is final and cannot be challenged by either the participant or the Department.

This means the participant may not file a grievance to appeal the results of this assessment; however, if they are not satisfied with the resulting WTW Employment Plan - Activity Assignment (WTW 2), s/he may request a State Hearing to appeal the Plan.

The participant also has the right to consult with a client advocate.

Further refusal by the participant to sign the Employment Plan (revised, if that is the case), will trigger noncompliance procedures (see Handbook Section 76, starting with the Compliance Protocol).

- Prior to initiating a noncompliance notice, encourage the participant to meet with a Client Advocate to attempt to resolve the issue(s).

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- The results of this assessment are final. If dissatisfied with the assessment, the participant cannot file a grievance;
- The results of the Third Party Assessment are to be used to develop the WTW plan.
- A Targeted Vocational Assessment (TVA) is required prior to referral for Third Party Assessment.

V. Forms

Form #	Form Name	Purpose	Language
WTW2 (12/12)	Employment Plan - Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
4538PS/WTW 10 (7/99)	Request for Welfare to Work Third Party Assessment	When the participant does not agree to an employment plan, this form is used to formally request a party not on staff at DHS to complete an assessment and make a recommendation.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 8/15/19

72-3: Welfare-to-Work Plan

I. Introduction

All mandatory Welfare-to-Work (WTW) Participants must enter into a written WTW Plan following completion of assessment. The State WTW 2 (revised 12/12) Welfare-to-Work Plan Activity Assignment identifies the Participant's employment and self-sufficiency activities.

After the initial appraisal and assessment, the Participant is expected to complete activities listed on the Welfare-to-Work Plan (WTW 2). The WTW Plan Activity Assignment (WTW 2, revised 12/12) is required. The WTW 2 documents the assigned activities and WTW plan for meeting the new 24-Month Time Clock and federally mandated work activity participation hours.

The Guidelines for Reviewing the WTW Plan (Form 7029 CW) assists the Case Manager and the Unit Supervisor to design the WTW Plan (WTW 2). The 7029 CW form is designed to assure a well-developed plan for each Participant.

The WTW 2 Plan is active when all the signatures of the cited parties are complete and when the WTW2 is entered by the Case Manager into CalWIN.

NOTE: Effective 1/1/13,

- The new version of the WTW 2 (12/12) WTW Plan Activity Assignment is to be used for all new WTW Plans
- The WTW 2A (SF County version of the WTW 2) is obsolete and should no longer be used
- The WTW 3 (Activity Assignment change Form) is obsolete and should no longer be used
- A new WTW Plan must be signed each time there is a change in the Participant's WTW activity(ies)
- The 7029 CW (Guidelines for Reviewing the WTW Plan, rev.2/13) must be used for development of the WTW Plan and for review by the Unit Supervisor
- A new WTW 24-Month Time Clock (within the CalWORKs 48-Month Time Clock) has been implemented under SB 1041

II. References

A. References From The Law And Regulations

Welfare to Work Handbook

California Senate Bill 1041

All County Letter (ACL): 97-72: III (B) (7), 98-41, 08-50 and 08-50E (Errata 7/6/10), 12-52, 12-52E, 12-67, 12-69, 12-72, 13-01, 13-02, 13-12

All County Information Notice (ACIN 1-08-13)

Eligibility and Assistance Standards Regulations (EAS): 42-700

Welfare and Institutions Codes (WIC): §11322.6, §11322.7

MPP 42-711.5 and 42-711.6

B. References From San Francisco's Welfare to Work Operations Plan

Section IV (E)

C. Cross-references To Other Sections Of This Handbook (some sections pending revision)

Section 71-3: Participation Requirements

Section 71-4: Exemptions

Section 72-1 Orientation and Appraisal

Section 72-2 Assessment

Section 72-2.8: Core and Non-Core Activities

Section 73: Welfare to Work Activities

Section 74: Supportive Services

Section 75-2: Referral Procedures

Section 75-4: Progress Monitoring

Section 75-5: Evaluation

Section 75-6: Reappraisal

Section 77: Grievance

III. Policy

A. State Policy

1. The Welfare-to-Work Plan

- After assessment, any recipient of aid who is required or who volunteers to participate in Welfare-to-Work (WTW) activities shall enter into a written WTW Plan (WTW 2) with the county as soon as administratively feasible, but no longer than 90 days from the date that cash aid is approved. The WTW Plan shall include the activities and services that will move the Participant into employment and toward self-sufficiency

- Each WTW Plan shall specify the Participant's WTW activities, a description of needed supportive services to be provided, and specific requirements for successful completion of assigned activities including required hours of participation
- A new WTW Plan (WTW 2) must be developed and signed for all WTW activities, except for Orientation, Appraisal, and Assessment
- To be active and effective, the WTW Plan (WTW 2) must be entered in CalWIN and Supportive Services must be authorized
- All signature fields on the 7029 form and the WTW 2 form must be completed on the WTW Plan
- Participation in activities assigned under the WTW Plan may be sequential or concurrent
- The Participant shall maintain satisfactory progress in the assigned activities. The county shall provide the necessary supportive services as set forth in the plan

2. Changes In Terms Of the Plan - Three Working Days Allowed

- Once the Case Manager and the Participant sign the WTW Plan, the county must allow the Participant three (3) working days in which to evaluate, and request changes to, the terms of the plan
- Changes in the "terms" of the WTW Plan can mean any change written in the plan

Examples include:

- The WTW activities included in the plan
- Activity start dates
- How the activities are proposed and monitored

3. Changes in Education or Training Activity Assignments - Within 30 Days (One Time Only)

- Participants have 30 days from the beginning of the assignment to an education or training WTW activity in which to request a change or reassignment to another activity
- The county must grant the Participant's request for reassignment if another assignment is available that is consistent with the WTW Plan and the county determines the other activity will lead to employment
- The 30-day grace period is allowed for each Participant **only** for the first WTW Plan

4. When Activities in the WTW Plan Are Not Immediately Available - Interim Participant Plan

If there is a delay of more than 30 days in starting a WTW activity, the Participant must be assigned to interim short-term activities until the planned activity is available. The Participant and the Case Manager should identify the most appropriate activity.

5. Third-Party Assessment

If the Participant and the Case Manager cannot reach agreement on the WTW Plan, based on the assessment or TVA, the procedure for resolving disagreement and referral to a Third Party Assessment must be followed (see handbook Section 72-2 Assessment).

B. Local Policy

The Case Manager and the Participant shall together develop a WTW Plan (WTW 2) as each activity assignment begins. In addition to the WTW 2, the Case Manager shall fill out the Form 7029, Guidelines for Reviewing the WTW Plan (revised 2/13).

1. The WTW Plan (WTW 2) and the 7029 CW Guidelines for Reviewing the WTW Plan

The WTW Plan (WTW 2) must:

- Accurately state the WTW activity duration for the Participant
- Include activities that directly support the employment goal
- Show activity assignments and supportive services
- Indicate whether the activities DO or DO NOT meet federal participation requirements, which determine whether the WTW 24-Month Time Clock is ticking or not
- Document agreement between the Participant and the Case Manager as to how the Participant meets the WTW requirements and how the participation is monitored
- Be signed by all cited parties (Case Manager and Participant) to become active. The signatures signify agreement and approval. In the event of disagreement, consult with the Section Manager
- Supportive Services must be authorized
- Be entered in CalWIN to become effective

Form 7029 CW Guidelines for Reviewing the WTW Plan

Guidelines have been developed to assist the Case Manager and the Unit Supervisor to evaluate the WTW Plan (WTW 2) Guidelines for Reviewing the WTW Plan (7029 CW) must be completed and signed by the Unit Supervisor prior to signing the Plan (WTW 2).

- State employment and vocational goals
- Identify if the employment and vocational goals can be realistically attained within the available period
- Identify whether the activity assignments and supportive services address the Participant's barriers
- Identify whether the activity assignments are consistent with the employment/vocational goal
- The 7029 must be signed by the Unit Supervisor

WTW Plan Changes - Reappraisal Required

Subsequent WTW Plans (WTW 2) must be developed based on a reappraisal. Reappraisal policy, procedure, and the form Reappraisal for Employment Plan Change (7002 CW) are discussed in the Handbook Section 75-6: Reappraisal.

IV. Process

A. Develop The WTW Plan

The WTW Plan (WTW 2) usually requires several meetings between the Case Manager and participant. It is important to the momentum of the participant's engagement in this process, to maintain a high level of involvement and focus together on developing the Employment Plan.

Per SB1041, for participants who were on aid as of 12/31/12, the Case Manager must conduct a Comprehensive Discussion (CD) with the participants as part of the engagement or reengagement processes in the development of the Employment Plan.

1. Engagement Sequence:

- a. By 3/31/13, Case Manager's are responsible to contact and conduct a Comprehensive Discussion with all currently sanctioned participants. Case Manager's shall send to all their sanctioned participants Form 7223-S, WTW Informing Sanction letter to invite participants to contact the Case Manager to discuss their options and/or to arrange an appointment. Form 7223-S must identify the number of months remaining on the participant's CW 48-Month Clock.

- b. By 6/30/13, Case Manager's are responsible to contact all their registered, mandatory participants by sending Form 7223 (WTW Informing 2013) to invite participants to contact the Case Manager to discuss participation options and/or to arrange an appointment to conduct a Comprehensive Discussion. Form 7223 must identify the number of months remaining on the participant's CW 48-Month Clock. Case Manager's must contact all registered mandatory participants according to the following priority timeline:

1st Priority: Participants who have 24 months or less remaining on their CW 48-Month Clock

2nd Priority: Students enrolled in Spring 2013 activities

3rd Priority: Remaining participants at next regular contact

2. Reengagement Sequence: San Francisco WTW had implemented the following sequencing schedule for reengagement of WTW participants who were still eligible for the “Temporary Young Child Exemption” on 12/31/12:

Group 1: Formerly exempt participants whose current activity has ended or who are not engaged.

Group 2: Formerly exempt participants who are partially engaged

Group 3: Formerly exempt participants who are fully engaged

Group 4: Two-parent households, one parent is fully engaged.

Priority	Participation Description	1st Notice CW 2206 Sent by CalWIN	2nd Notice (RE Packet including a return envelope) sent by Case Manager	3rd Contact Made by phone/mail by Case Manager 2 wks before appt date	Appt Date (Indicated in the Notice Form)
Group 1	Current Activity Ended/ Non-Engaged	04/15/13	RE Packet sent on 05/15/13: <ul style="list-style-type: none"> • CW 2206 • 4200-1 CW • CW 2186A 	05/30/13-06/15/13	06/15/13-7/15/13
Group 2	Partially Engaged	09/15/13	RE Packet send on 10/15/13: <ul style="list-style-type: none"> • CW 2206 • 4200-2 CW • CW 2186A 	10/30/13-11/30/13	11/15/13-12/15/13
Group 3	Fully Engaged	02/15/14	RE Packet send on 03/15/14: <ul style="list-style-type: none"> • CW 2206 • 4200-3 CW • CW 2186A 	03/30/14-04/30/14	04/15/14-05/15/14
Group 4	2-Parent, One Fully-Engaged	07/15/14	RE Packet send on 08/15/14: <ul style="list-style-type: none"> • CW 2206 • 4200-4 CW • CW 2186A 	08/30/14 (Two weeks after 2nd Notice is sent)	No appointment needed unless volunteer participation

3. The Comprehensive Discussion (CD):

HSA developed the WTW 24-Month Comprehensive Discussion Checklist (Form 7068) as a tool to guide the Case Manager while conducting the Comprehensive Discussion.

The CD shall cover:

1. The participation flexibility during the WTW 24-Month Time Clock period, including the elimination of the current core and non-core hourly requirements during the 24-Month Time Clock period and the scope of activities that participants may participate in;

2. The change in the number of hours participants are required to participate in WTW (when applicable);
3. Participant's ability to change his or her participation in WTW in accordance with the new rules (hours or activities, or both);
4. The criteria for all WTW exemptions, including the one time only 0 to 23 months child exemption.
5. The conditions that allow a month not to count toward the WTW 24-Month Time Clock (see section IV above); and
6. The post WTW 24-Month Time Clock participation requirements

NOTE: The automated tracking and noticing systems for the WTW 24-Month Time Clock are still in development in CalWIN. HSA has developed Form 7067 24-Month WTW Activities Worksheet that Case Manager's will use to manually track the 24-Month Clock.

The first WTW Plan is based on the initial appraisal and assessment. Any change in the WTW Plan requires a reappraisal and is based on the outcomes of the reappraisal.

The Case Manager is responsible for ensuring that the WTW activities and supportive services identified in the WTW Plan are available and scheduled for the participant and entered in CalWIN.

4. The WTW Plan Forms

The required WTW Plan forms include:

- a. Welfare to Work Employment Plan - Rights and Responsibilities (WTW 1) (given to applicants during intake process)
- b. Guidelines for Reviewing the WTW Plan (7029 CW),
- c. Welfare-to-Work Plan Activity Assignment (WTW 2 revised 12/12),
- d. Reappraisal for Employment Plan Change (7002 CW)

The CDSS form WTW 2 shall be completed for WTW activities. Detailed instructions for filling out forms are outlined below.

Additional Instructions for completing Form WTW 1 are found in Handbook Section 72-1.

Additional Instructions for completing Form 7002 CW are found in Handbook Section 75-6. (under revision)

B. Instructions For Filling Out The WTW Plan (WTW 2)

The Welfare-to-Work Plan (WTW 2) has been revised effective 12/12. The new WTW Plan (WTW 2) identifies all the activities and supportive services the participant is expected to complete in order to achieve the overall goals of employment and self-sufficiency.

The WTW 2 consists of four pages:

- Activity Assignment (participant's initials and date required)
- Assignment and Services
- Supportive Services
- Participant's Certification (The Participant's and Case Manager's signature required after Unit Supervisor has approved the EP by signing the 7029)

Since the signature of the Unit Supervisor on the 7029 is required before the WTW Plan is effective, the Case Manager must consult with all parties and inform the participant of this program requirement while developing the plan. The Case Manager should review a draft of the WTW 2 with the participant and negotiate her/his agreement. The WTW Plan should be approved and signed by all appropriate program staff before the participant signs the form.

C. Instructions for Filling Out The Guidelines For Reviewing The WTW Plan (7029 CW)

1. The Guidelines for Reviewing the WTW Plan (7029 CW) form must be completed and signed by the Unit Supervisor prior to the Participant prior to approving the WTW 2.
2. The 7029 CW form assists the Case Manager and the Unit Supervisor design a well-developed plan for the Participant.
3. Review each question on the 7029 form to match the completed WTW 2.
4. A "no" that is not resolved by further comments on the form requires action by the Case Manager.
5. Attach the signed 7029 CW to the WTW 2.
6. The 7029 CW is filled out by the Case Manager and signed by the Unit Supervisor. The reappraisal process serves to document and justify the changes to a Plan.

D. Instructions For Filling Out The New WTW WTW Plan - Activity Assignment

Effective January 1, 2013 there are new rules that give single adult families receiving cash aid more WTW activity options and require fewer participation hours during the WTW 24-Month Time Clock period. The new rules do not change the 48-Month time limit for receiving cash aid. However, there is a new WTW 24-Month time clock (within the 48-Month time limit).

In the context of the new rules regarding participation hours, the Welfare-to-Work Plan Activity Assignment (WTW 2) has been revised by the State. Under the new rules, core and non-core hour requirements have been eliminated during the WTW 24-Month time period and weekly participation hours have been aligned with federal work activity requirements. After the 24-Month time period, the participant must meet the federal activity guidelines.

The new WTW Plan Activity Assignment (WTW 2, revised 12/12) is now a four-page form that addresses the WTW 24-Month Time Clock hourly activity requirement and hourly federal work activities, assignment and services, supportive services and certification.

This is a required CDSS form and includes important information outlining the participant's rights and responsibilities.

NOTE: For Rapid Response and Fast Track participants, the WDD COR staff shall be filling out the entire WTW 2, (left side on page 1). However, the WDD COR staff shall leave blank the boxes on page 1 which indicates the participant's status (mandatory/volunteer).

WTW 2 Participant Status - Page 1

A. Check the appropriate box in the first part of page 1 that identifies the Participant:

- Mandatory Participant - these are Participants who **MUST** participate in WTW, meet the hourly requirements and do the activities outlined in the WTW2 or their cash aid may be lowered or stopped. The average 20, 30 or 35-hours per week requirement rules apply, and failing to meet these requirements could result in sanction and/or termination from the WTW Program
- Volunteer - Participants who volunteer to participate and agree to do and finish WTW activities. The cash aid for Participants who volunteer cannot be lowered or stopped. The average 20, 30, 35 hours per week requirement rule does not apply
- Self-Initiated Program (SIP) - these Participants' primary activity is an education or training program. If the Participant is a "mandatory Participant" the number of hours the Participant is required to participate is an average 20 - 30 per week

"ACTIVITIES" - Page 1

1. The Case Manager shall fill out one side of the WTW 2.

2. Welfare-to-Work activities listed in this section of the WTW2:

- Complete the **LEFT** side of the form if the expectation is that the activity(ies) on the EP **DO NOT MEET** the federal participation requirements. In this case, the WTW 24-Month Time Clock may be ticking.
- Use the list of activities on the left side of the WTW 2, check the appropriate activity box and enter the hours for WTW 24-Month Time Clock activity(ies) that apply.
- Complete the **RIGHT** side of the form if the expectation is the activity(ies) on the EP **DO MEET** the federal participation requirements. In this case, the WTW 24-Month Time Clock would **NOT** be ticking.

- Use the list of activities on the right side of the WTW2, check the appropriate activity box and enter the hours for Federal Work Activities that apply. (Please note that federal work requirements have not changed and core and non-core hour activities must be identified in this section of the WTW2.)

NOTE: Use the RIGHT side of the WTW 2 for timed out (Safety Net) participants.

3. After checking the appropriate boxes and hours that apply, the Case Manager shall:

- Finish completing page 1, "Total Hourly Requirements" by checking the appropriate box(es) that apply for the side of the form,
- Have the participant initial and date the form.

Assignment and Services - Page 2

- Complete #1 through #4 with appropriate activities information.
- List the dates the activity will begin and end. These dates should correspond with the activity start and expected end dates.
- List the location of the activity, if known (the name of the provider or employer, and the address).
- Complete the schedule or reference an attachment.
- Complete hours of participation.

If the location and schedule are not known, check the appropriate box(es) to indicate how the information will be obtained by the participant and fill in the corresponding blanks.

- The Case Manager must send the information for the specified activity within five working days. OR,
- The participant will go to a provider by a specific date and get the information within five working days. OR,
- The participant will bring a copy of the schedule within five working days.

Supportive Services - Page 3

- Complete this page by checking the appropriate boxes and entering information that may apply, indicating Participant's need for any supportive services and accommodations (i.e., childcare, Bus pass, ancillary services or materials, etc.)

- Review each section with the Participant to make sure that every box is answered, initialed, and signed by the Participant.

If a Participant indicates that, the Participant does not need child care, transportation, or ancillary services:

- Make sure the Participant checks the box, initials, and dates each section on the WTW 2
- Narrate in Case Comments the Participant's refusal of services, with the date that the Participant initialed the section
- The accommodation box signifies the Participant's need for an accommodation. ADA cases ends with the letter "A," indicating that an accommodation is needed. Review the most recent OCR 2 in i-Files (index Code 1302) to determine what accommodations are needed
- Case Managers must inquire if Participants require an accommodation to successfully complete any assigned activities

When Participants decline or state they DO NOT need an accommodation:

- Have the Participant initial and date the section
- Enter in Case Comments that the Participant stated no accommodation is needed, has initialed, and dated the section

If the Participant states an accommodation is needed, the Case Manager must:

- Follow the steps outlined in PIM 13-04 and 13-04C Processes for OCR 2 (HSA ADA Form) for WTW and PAES Participants

OR

- Fills out the OCR 2 with the Participant
- Provides the accommodation
- Arranges for the OCR 2 to be indexed and scanned
- Consults with the Unit Supervisor regarding changing the Participant's caseload number to end in an "A" rather than an "N"

Participant's Certification - Page 4

1. Complete this page by checking ALL appropriate boxes that outline Participant's understanding and agreement with the Participant's WTW Plan Activity Assignment (WTW2).
2. Enter the Bay Area Legal Aid telephone Number (415-557-5907) on the WTW2.
3. After completing the WTW Plan Activity Assignment (WTW 2), review this section carefully with the Participant, and have the Participant sign where indicated.
4. The Case Manager should also sign and date.

5. Fill in the date (Box #8). Participants must be notified that they will have three working days from the date of signing the WTW Plan to change their WTW Plan.
6. Review the WTW 2 with the Participant. By signing the WTW Plan, the Participant is agreeing that if the Participant does not make satisfactory progress, the Participant may need to go to a different activity or be subject to sanction. The Participant is also agreeing that the Participant or provider will submit proof of satisfactory progress.
7. Inform the Participant up to 30 days after the initial assignment starts to ask for a change in the training or education assignment only (see Box #7).
8. Explain to all Participants that they may use the 30-day grace period for their first WTW plan.
9. Give a copy of the completed, signed WTW Plan (WTW 2) to the Participant.
10. Enter the WTW Plan in CalWIN (or it will not be active/effective).
11. Scan and i-File the WTW 2 and Form 7029 (ic 4804).

How to Implement the Three-Day Grace Period

Participants may change the terms of the WTW Plan within three working days of signing it. The Case Manager shall review the assessment and confer with the Vocational Assessment Counselor and/or Unit Supervisor.

Reappraisal

If the Case Manager and/or the Participant find there is a need for a change in the approved WTW Plan (WTW 2), a reappraisal must be completed. See Handbook Section 75-6 for instructions on how to complete a formal reappraisal using the Reappraisal for Employment Plan Change form (7002 CW).

V. CalWIN Process

Please go to the How To link: "Update Activities Monitor and Enter Actual Hours" on the intranet the process for updating activity status and entering actual attendance hours.

VI. Forms

Form #	Form Name	Purpose	Language
WTW 0	The San Francisco CalWORKs Welfare-to-Work Guidebook	Summary of San Francisco's program for distribution to clients, advocates, and the general public.	
WTW 1	WTW Plan - Rights and Responsibilities	This CDSS required form describes the rights and responsibilities of Welfare to Work Participants. It is signed by the client and Case Manager at the Orientation and Appraisal Workshop, or in a later interview.	
WTW 2	WTW Plan - Activity	This CDSS required form specifies up to	Chinese

Section 72 - Entry to Welfare-to-Work

	Assignment	two welfare-to-work activities that the Participant is agreeing to engage in.	Russian Spanish Vietnamese
CW 2205 (not to be scanned)	NEW RULCase Manager FOR CalWORKs WELFARE-TO-WORK ACTIVITICase Manager	Sent by the project to all CW WTW participants to notify of changes under SB 1041	
CW 2206 (ic:4600)	YOUNG CHILD EXEMPTION ENDS DECEMBER 31, 2012 NEW RULCase Manager FOR CalWORKs WELFARE-TO-WORK ACTIVITICase Manager	Sent by project to participants as appropriate; must be sent by Case Manager if engagement is more than six months from the date that the project sent the 2206	
CW 2208 (ic: 3700)	YOUR WELFARE-TO-WORK (WTW) 24-MONTH TIME CLOCK	Notice to participants of time remaining on 24-Month clock Provided to participants by EW's at Intake and RRRs; Provided by Case Manager's to participants between 18th and 21st months of the WTW 24-Month Clock	
4200 -1 (ic: 4600)	Reengagement Notice Letter to Group 1	Sent by Case Manager to Group 1 to notice and schedule appointment	Chinese Russian Spanish Vietnamese
4200-2 (ic: 4600)	Reengagement Notice Letter to Group 2	Sent by Case Manager to Group 2 to notice and schedule appointment	Chinese Russian Spanish Vietnamese
4200-3 (ic: 4600)	Reengagement Notice Letter to Group 3	Sent by Case Manager to Group 3 to notice and schedule appointment	Chinese Russian Spanish Vietnamese
4200-4 (ic: 4600)	Reengagement Notice Letter to Group 4	Sent by Case Manager to Group 4 to notice with deadline to contact Case Manager if participant wishes to participate	Chinese Russian Spanish Vietnamese
7000 CW (3/98)	Participant Background	A form completed by the Participant, with assistance from the Case Manager. It captures Participant background information relating to securing employment, e.g., work and education history.	Chinese Russian Spanish Vietnamese
7001A CW aka WTW 18 Part 1 WTW 19 Part 2	Learning Needs Screening	A questionnaire for the Case Manager to administer during assessment to determine if a Participant would benefit from a Learning Styles Assessment. This is a two part form.	
7002 CW (12/00)	Reappraisal for WTW Plan Change	A form required prior to completing a second or subsequent WTW Plan (WTW 2A). The reappraisal process and outcomes are documented on the form.	
7223 (ic 4600)	WTW Informing 2013	Sent by Case Manager based on sequencing schedule	Chinese Russian

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			Spanish Vietnamese
7223-S (ic 4600)	WTW Informing – Sanction letter	Sent by Case Manager based on sequencing schedule	Chinese Russian Spanish Vietnamese
7029 CW (3/13)	Guidelines for Reviewing the WTW Plan	Guidelines to assist the Case Manager and Unit Supervisor in developing the EP. The 7029 must be signed by the Unit Supervisor in order for the EP to be finalized and signed by the Case Manager and the participant.	
7067 (ic 3700)	24-Month WTW Activities Tracking Worksheet	Case Manager’s will use to manually track the 24-Month Clock	
7068 (not to be scanned)	WTW 24-Month Comprehensive Discussion Checklist	A tool designed to assist Case Manager’s in conducting the Comprehensive Discussion	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 11/01/19

72-4: Self-Initiated Program

I. Introduction

Recipients already enrolled in an education or training program when they are enrolled in CalWORKs Welfare to Work are considered to be candidates for "Self-Initiated Programs" (SIPs).

II. References

A. References from the Law and Regulations

ACL 97-72: III.B (4); 98-41; 99-32; 99-38, 08-36
 WIC §11325.23 (a), §11325.23(b), 11325.23(a)(3)(C)], §11325.23 (c), §11325.23(f).
 CalWORKs Welfare to Work MPP: 42-716.111(a) through (j), 42-711, 42-711.421, 42-711.544,

B. References from San Francisco's Welfare to Work Operations Plan

Section IV (A)(I)(b)

C. Cross-references to other sections of this Handbook

Section 71-3: Participation Requirements
 Section 71-4: Exemptions
 Section 72-2: Assessment
 Section 72-2.5 Evaluation
 Section 72-3: Employment Plan
 Section 73-18: Study Time Section
 Section 75-4: Monitoring Progress

III. Policy

The State Department of Social Services (CDSS) Policy on SIPs is described in "A" below. The Local Policy overview follows in part "B."

A. State Policy

1. State approval criteria for SIP

An individual who upon entering Welfare to Work (WTW) is already enrolled in any undergraduate degree or certificate program that leads to employment may continue in that program if:

- a. The individual was enrolled on the date of the appraisal, or on the date the individual would have been appraised, if participant had not failed, without good cause, to attend the appraisal appointment. Enrolled means the individual has applied for and been accepted into a degree or certificate program, and continues to meet and fulfill all conditions imposed by the institution offering the program to maintain current enrollment status.
- b. The program leads to an undergraduate degree or certificate, or California regular teaching credential.
- c. The program is on the county's list of programs leading to employment or the individual establishes that even though it is not on the list, it will lead to self-supporting employment.
- d. He or she is making satisfactory progress in that program;

If the individual meets the criteria in items a and d, but the program does not meet the criteria in b or c, the county must allow him/her to finish the current term and transfer to an approvable SIP or participate in another welfare-to-work activity.

Additional SIP requirements:

- e. The individual in a SIP is required to participate in welfare-to-work activities for 32 hours per week.

Welfare to work activities may include:

- Classroom time, lab time, internship hours; (remedial classes and general education requirements must be counted if they count toward the degree or certificate, even if they do not count towards the major).
 - Hours spent in special classes or tutorials determined to be necessary by the educational institution to mitigate barriers to educational success for participants and following an evaluation (see Section 72-2.5, Evaluation) shall be counted towards the 32 hour requirement.
 - Work Study, Work Experience, or other activities that are agreed upon by the Participant and the Employment Specialist.
 - Study Time may **not**, be counted toward the 32 hours for a SIP.
- f. Full time student status is not required by SIP criteria, although the county may encourage students to attend full-time in light of the 32-hour requirement.

2. What is meant by "leading to self-supporting employment?"

A program will be determined to lead to employment if it is included in a locally determined list of approved WTW programs. Students attending programs not on this local list and attending programs offered by a private training provider can have their program approved only if the provider is accredited or exempted by the Bureau of Private Postsecondary and Vocational Education (BPPSVE) or by the Western Association of Schools and Colleges (WASC).

Additionally, the recipient must be given written information that specifies the procedure for approving these programs. The county must allow a reasonable time for the individual to provide documentation that the program will lead to employment.

3. SIP status limited for Participants pursuing baccalaureate degrees

Any individual who possesses a baccalaureate degree will not be eligible to participate in a SIP unless the individual is pursuing a California regular classroom teaching credential in a college or university with an approved teacher credential preparation program.

4. Programs that extend beyond the welfare to work time limits

A program that otherwise meets all the SIP criteria cannot be denied because it will not be completed within the time limits.

The individual must be informed of the following:

- Supportive services for the SIP activity will stop at the end of the time limits.
- Financial aid for the SIP activity will continue to be exempt income if the individual chooses to continue receiving cash aid for the child(ren) only.

5. SIPs exempt from Mandatory Job Search

SIP Participants are exempt from participation in up-front Job Search.

6. Disagreements resolved by Third Party Assessment

Although assessments are not required to develop an Employment Plan for Participants in a SIP, the county may require an assessment, when necessary to assign concurrent activities to the Participant to meet the minimum 32 hours of weekly participation.

If the assessment does not resolve the disagreement, refer the Participant to a Third Party Assessment following the procedures in Section 72-2, Assessment. Participants also have the right to file for a state hearing to resolve the dispute.

7. SIPs require Employment Plans

Participation in the Self-initiated Education or Vocational Training program must be reflected in the Participant's Employment Plan.

The Plan will provide that whenever an individual ceases to participate in, refuses to attend regularly, or does not maintain satisfactory progress in the SIP, without good cause according to Section 76-2 "Good Cause Determination", the individual must participate in WTW Activities.

8. Supportive Services for SIPs

Supportive services reimbursement shall be provided for any Participant in an approved Self-initiated Education or Vocational Training program if requested. The *Student Financial Aid Statement, Welfare to Work Supportive Services (WTW 8)* is to be completed by any Participant who is receiving financial aid. The form allows the student to use their financial aid or request WTW supportive services.

9. Written notice required for SIP denial

Recipients must be informed in writing of the denial of a SIP, the reasons for the denial and their appeal rights. Informing must be done with *Notice of Action (NOA) 7260, "Approval or Denial/Discontinuance of Self-Initiated Program"*.

10. The Case of Persons Already Enrolled and Participating in Non-approved Programs

If the program cannot be approved, the person may continue, until the beginning of the next educational semester or quarter, if the person:

- Is not exempt or excused from participation for good cause;
- Meets the enrollment and satisfactory progress criteria as stated in #1.a and d above.

At the end of the term, the individual is required to transfer to an approvable SIP, or participate in other WTW Activities.

11. If the SIP program is interrupted

Any person whose previously approved Self-initiated Education or Vocational Training program is interrupted for reasons that meet the good cause criteria specified in Section 76-2 may resume participation in the same program if:

- The Participant maintained good standing in the program while participating, and
- The self-initiated program continues to meet the approval criteria.

B. Local Policy

1. San Francisco CalWORKs supports self-initiated programs

The San Francisco CalWORKs Program generally supports individuals who, prior to being scheduled for a CalWORKs appraisal, have taken the initiative to engage in education or training programs. Workers should offer SIP applications at every appraisal where a recipient states that participant is a student and/or reports on the Participant Background Survey that they are a student.

The policy is to evaluate every self-initiated education or training program according to ALL CDSS approval criteria, including the 32 hour per week participation requirement.

If the education or training program (SIP) is approvable, but does not meet the 32 hour participation requirement, *the individual will be given a choice to:*

- Add activities to the SIP so that it meets the 32 hour requirement **OR**
- Follow the county option which is to continue with assessment in order to allow a regular employment plan that includes study time in addition to the education or training activity (and concurrent approvable activities).

The approval process is the same whether the education or training program is approved following the CDSS criteria or the county option.

The following section on process outlines the details of how San Francisco will implement CDSS SIP approval policy as well as how to implement the county option for continuing assessment if the individual chooses that route.

IV. Process

A. Evaluate the Self-Initiated Program

Self-Initiated Plan (SIP) Checklist

Please follow this checklist to determine the SIP participant's eligibility to have his participant's education approved as a SIP.

Please answer Yes or No to the following questions and following the next step:

1. Does the participant already have a degree?

- If Yes, the participant is not eligible, UNLESS they want to continue their education to get a teaching credential. If No, continue.
- If Yes, issue Notice of Action, Form 7260 to deny SIP

2. Was the participant already enrolled in school on the day of the appraisal, or on the date the individual would have been appraised, if participants had not failed, without good cause, to attend the appraisal appointment?

NOTE: “Enrolled” does NOT mean attending classes. It only means that the participant has applied for and been accepted into a program, and continues to meet and fulfill all conditions imposed by the institution to maintain current enrollment status.

- If No, the participant is not eligible. If Yes, continue.
- If No, issue Notice of Action, Form 7260 to deny SIP

3. Is the participant enrolled in a program of study that will lead to a certificate OR degree?

- If No, the participant is not eligible. If Yes, continue.
- If No, issue Notice of Action, Form 7260 to deny SIP

4. Will completion of the program of study lead to employment?

NOTE: This is determined by checking the county’s list of programs leading to employment.

- a. If program is on the list, continue to next step to determine satisfactory progress.
 - b. If the program is not on the list, DO NOT deny the SIP request. Provide written criteria to the participant of the county’s procedures to approve unlisted programs and give the participant 15 working days to submit necessary proof that the program will lead to employment. After the proof is submitted, continued to next step to determine satisfactory progress.
- If No, and no proof submitted after 15 days for approval of program, participants is not eligible, send written notice denying the SIP request, If yes, continue.
 - If No, issue Notice of Action, Form 7260 to deny SIP

5. If the participant is already attending classes, is participant making satisfactory progress, at least a 2.0 GPA, or other definition of satisfactory progress?

- If No, participant is not eligible. If yes, continue.
- If No, issue Notice of Action, Form 7260 to deny SIP

6. How many total hours are/will be spent each week in all of the activities required by the program (classes, labs, tutorials, internships, externships, remedial classes and general requirements if they count toward the degree or certificate even if they don't count towards the major, community service, work-study, Work Experience etc)

NOTE: Study Time may NOT, be counted toward the 32 hours for a SIP.

If less than 32 hours per week, the participant must do additional activities to fill the gap between their total hours and 32. These activities CANNOT conflict with any time spent in the educational program.

Does the participant agree to do 32 hours in total?

- If No, participant is not eligible. If yes, the participant is eligible.
- If No, issue Notice of Action, Form 7260 to deny SIP
- If Yes, issue Notice of Action, Form 7260 to approve SIP

****PLEASE NOTE:**

1. At the Appraisal, the Employment Specialist asks if the client is a student and informs participants of the opportunity to apply for SIP status. If they are already a student, they MUST be given an opportunity to apply for SIP status.
2. The participant DOES NOT have to be scheduled for Assessment (TVA) or meet with the assessor for their SIP application to be considered, but the county may require an assessment, when necessary, to assign concurrent activities to the participant to meet the minimum 32 hours of weekly participation. If the participant meets the hours and no other activity is required, the Employment Specialist can review the documentation with the assessor.
3. The application for SIP status MUST ALWAYS be approved or denied IN WRITING with a timely and adequate Notice of Action.
4. Being exempt does NOT prevent someone from being a SIP and a SIP may become exempt and continue their education. This just means they do not have to do 32 hours.
5. A SIP MAY take a leave or drop out of their education for Good Cause and then resume participant's education and maintain SIP status. The reason for the interruption should meet good cause criteria according to the WTW Handbook Section 76-2. If the participant meets the good cause criteria issue the Good Cause NOA 840A.

6. The Employment Specialist can bridge childcare and supportive services for up to 30 days while making the determination regarding SIP status.

Meet with the Participant after their CalWORKs Orientation

1. Review the documentation relating to the program the Participant is attending

The required documentation includes the following:

- a. Letter from the school's counseling or administrative office verifying enrollment in a specific degree or certificate program
- b. Current class schedule,
- c. Education Plan, or other official school document, that lists all the courses to be taken in order to complete the degree or certificate program,
- d. An official statement of the expected completion date for the Participant's program,
- e. A description of the occupation for which the program is preparing the Participant, and
- f. Transcript of grades or progress report, if already attending.

2. Requirements for Approval of CalWORKs WtW Self-Initiated Education or Training Program (Form 7003 CW)

If any of the documentation is missing, give the handout: *Requirements for Approval of CalWORKs WtW Self-Initiated Education or Training Program (Form 7003 CW)*.

Remind the Participant the additional information is due no later than 15 working days after the appointment with the Employment Specialist.

3. SF Criteria to determine the program "Leads to Employment"

a) Accredited program

An education or training program will be determined to lead to employment if it is included in the list of accredited or exempted Bay Area providers or schools which is found in the "Other" section of the *CalWORKs Employment Services Directory*. AND

b) SF list of "Approved WtW Programs"

Additionally, a program will be determined to lead to employment if it has been designated as an "Approved WtW Program" by the county. For the San Francisco list of approved WtW Programs, see:

- The "Approved City College of San Francisco (CCSF) Curriculum", under the "City College" section in the *CalWORKs Employment Services Directory*.

c) If the program is not on the approved list

Give the handout *Requirements for Approval of CalWORKs WtW Self-Initiated Education or Training Program (Form 7003 CW, revised 6/99)* to the Participant. This handout explains the documentation that is accepted by the county.

Documentation may come from the following sources:

- The San Francisco Occupational Outlook,
- The California Occupational Guide,
- The Eureka Program.

The Participant may obtain this information from the school counselor, the career center or with the assistance of the Employment Specialist.

The Employment Specialist may consult with the CalWORKs Job Developer or Vocational Assessor to access this information.

Additional documentation that may be used for substantiating likely employment outcomes of alternative education and training programs include:

- A statement from a school district, community college district, or an EDD office identifying the occupation as a demand occupation in the local labor market. .
- A signed statement that an employer will give the person a job in that occupation upon program completion.
- A list of three employers who have frequent openings in the occupation, at a skill level that can be achieved through skills training components offered by the program.

d) Documentation is due within 15 working days

The documentation is due within 15 working days of the appointment with the Employment Specialist. The self-initiated program cannot be approved without this documentation.

4. Consultation and Approval by the Vocational Assessor

Consult with the Vocational Assessor to review the education or training program in relation to CDSS self-initiated program approval criteria. Pay special attention to the following issues:

- Is the required documentation complete?
- Does the Participant meet the approval criteria as outlined in the State and Local Policy above? **Note:** if the participant is taking "prerequisites" for the education or training program, they **MUST** have been accepted by the program in order for it to be approved.
- Is the program on the San Francisco "Approved CCSF Curriculum" list of Programs?

- If not on the list, has documentation been submitted that shows the program leads to employment?
- If the program is otherwise approvable, but the individual is enrolled in graduate school, consult with the Section Manager.

5. Approval as a "SIP"

If the program meets all the CDSS criteria including the 32 hours per week participation requirement, request approval of the SIP. Please refer to the SIP Checklist above for approval criteria. (*Also see Notice of Action, Form 7260*)

B. Both Parents Participating in a SIP

The two-parent work participation requirement allowing parents to split the 35-hour per week requirement* does not apply in SIPs. Regulations specifically state that ***SIPs must be at least 32 hours per week or other work/allowable activities must be assigned.*** If both parents want to participate in a SIP, they both have a 32-hour per week participation requirement.

C. The program is approvable, but less than 32 hours

If the education or training program meets all the CDSS SIP approval criteria except for the 32 hours participation requirement, the individual shall be given the choice to:

- Increase the hours of participation to the required 32 hours, by enrolling in additional allowable activities so the program can be approved as a SIP, or
- Follow the county option to continue the assessment in order to allow including study time, in addition to the education or training activity (and other concurrent activities, if any) so the participant can meet their 32 hour participation requirement. *This means changing the SIP into a regular employment plan.*

Note: For CalWORKs participation purposes, rules for homework time have not changed. *SIP participants are not eligible to be assigned homework time in their WTW plan*, and non-SIP participants are subject to CDSS Manual of Policies and Procedures (MPP) Section 42-716.26.

Additionally, the CalWORKs County Plan must include homework time as an allowable activity.

1. Determine the Labor Market Connection

The county option to continue the assessment in order to approve the self-initiated education or training program requires determining the participant's Labor Market Connection.

The procedures for how to determine the Labor Market Connection are found in the Handbook Section 72-2, Assessment. Follow the assessment procedures with the Participant to determine the labor market connection.

Once the Labor Market Connection is determined, the following summary chart describes the steps to take in approving the individual's program.

LABOR MARKET CONNECTION	NEXT STEPS
HIGH	Approve the program as a Vocational Training or Education leading to Employment WtW Activity, add study time and complete the Employment Plan.
MEDIUM	Approve the program as a Vocational Training or Education leading to Employment WtW Activity, add study time and complete the Employment Plan.
LOW	<p>This is a potentially high-risk plan.</p> <ol style="list-style-type: none"> 1. Take time to look at how the person chose their program and job goal. Offer a TVA to help evaluate the job goal, but it is the individual's choice to have a TVA; a TVA is not required. 2. Pay attention to any barriers that have been identified. Offer referral and services. 3. After 1 & 2, approve the program as a Vocational Training or Education Leading to Employment Activity, add Study Time and complete the Employment Plan

D. Request for Approval of Self-Initiated Education or Training Program (Form 7017CW)

To obtain approval of the Participant's self-initiated program fill out the *CalWORKs Welfare to Work Request for Approval of Self-Initiated Education or Training Program (Form 7017CW)*.

1. Review and approval signature of the Vocational Assessor

If the Vocational Assessor determines that the program meets the approval criteria, the Vocational Assessor shall sign the county approval form: *CalWORKs Welfare to Work Request for Approval of Self-Initiated Education or Training Program (7017 CW)*.

If the program does NOT fully meet the approval criteria, the Vocational Assessor may consult with the Vocational Assessment Supervisor to further evaluate the program and determine its approval or denial. In this instance, if the program is approved, the Vocational Assessment Supervisor shall sign the 7017 CW approval form.

2. Review and approval signatures by the Unit Supervisor and the Section Manager

The Unit Supervisor shall review the program and sign the 7017 CW approval form. The Section Manager shall give final approval for all self-initiated programs by signing the 7017 CW approval form.

E. Complete the Employment Plan

Once the self-initiated education or training program is approved, develop the Employment Plan (see handbook Section 72-3).

The primary WtW Activity will be:

- Education Leading to Employment: a program leading to a degree **OR**
- Vocational Training: a program leading to a certificate.

There may be concurrent activities in addition to the primary activity, i.e. Work Study or Work Experience. Study Time is not an allowable activity for a SIP under CDSS regulations. The county option of continuing assessment must have been completed if study time is to be included.

F. Supportive Services Authorization

As with any WTW activity, review the Participant's needs for supportive services when developing the Employment Plan. Authorize supportive services following the procedures, in Section 74, with these conditions:

1. Student Financial Aid Statement, Welfare to Work Supportive Services (WTW 8)

Students receiving federal and/or state financial aid must complete the *Student Financial Aid Statement: Welfare to Work Supportive Services (WTW 8)*. If they request CalWORKs WTW supportive services, proceed accordingly. If not, advise them of the right to change their mind later.

The participant is expected to use financial aid for tuition or fees. If the participant requests ancillary payments for these expenses, consult with the Section Manager.

2. Effective date of supportive services

Supportive services are authorized only for approved activities. If the Participant has been attending the self-initiated program prior to enrollment in Welfare to Work and is requesting child care reimbursement, supportive services may be approved as follows:

- Once the self-initiated program is approved, the Employment Specialist may back date the approval of supportive services, to the date the Participant attended their WTW Orientation and Appraisal Workshop.

- The County must provide payment of all supportive services for a CalWORKs recipient in a SIP when the expenses were incurred before the SIP was approved. (See ACL 08-36, *Camacho v. Allenby, 2008*)

3. Who is eligible for reimbursement?

Reimbursement must occur when expenses meet all of the following conditions:

1. The expense was incurred after the beginning date of aid. Reimbursement should not be made for supportive services expenses that are incurred *prior* to the beginning date of aid, even if the expenses were actually paid for after the beginning date of aid.

Regardless of the period of time between the beginning date of aid and the day a recipient signs his or her WtW plan, the requirements of MPP Section 47-430.21(a) apply to child care reimbursement. A recipient in a approved SIP is eligible for retroactive payments of child care services for up to 30 days from the date the recipient requested child care services and services were provided. (See ACL 08-36 and WtW PIM 08-09 for further reference.)

2. The expense was necessary for participation during the academic period or term (semester or quarter) in which the SIP is approved;
3. The expense is determined eligible under CalWORKs regulations; and
4. The expense was an unreimbursed out-of-pocket cost. Counties are only obligated to pay for supportive service costs that were necessary for participation in the academic period or term (semester or quarter) in which the SIP is approved. **The county does not reimburse expenses where there are no out-of-pocket costs for the participant.**

Exceptions: For individuals who do not qualify for a SIP but are allowed to continue an educational program until the beginning of the next educational semester or quarter break, the county is not obligated to reimburse or pay for supportive services until the date a WTW plan is signed.

G. Disagreements resolved by Third Party Assessment

If there is a disagreement about assigning concurrent activities in order to meet the minimum 32 hours of weekly participation, a Third Party Assessment is the process required by CDSS regulation to resolve the dispute.

Before starting the Third Party Assessment process, determine the labor market connection. This process may help the participant to choose an appropriate concurrent activity.

If this does not resolve the disagreement, refer to the procedures in Handbook Section 72-2, Assessment, which outlines county policy for referrals to a Third Party Assessment. The procedure includes a number of steps designed to resolve disputes about employment plans.

Referral to a Targeted Vocational Assessment (TV A) is one of the county procedures required prior to making the request for a Third Party Assessment.

Participants also have the right to file for a state hearing to resolve the dispute. The ES should remind participants that they may consult a Client Advocate or an advocate of their choice. For more information on the grievance process, see Section 77-1 "Grievance Process".

H. Self-Initiated Program Denial

1. Notice of Action - Form 7260

The Employment Specialist informs the individual in writing, with the **Notice of Action, Form 7260**, if the program cannot be approved because it does not meet:

- the CDSS criteria for SIP **OR**
- the county requirements for SIP **OR**
- the county's option to determine labor market connection and add study time

2. If the program is denied the Participant may:

- a. Complete the semester or quarter according to CDSS policy and then transfer to an approvable SIP. In this case, complete the Employment Plan for the activity only to the end of the term. The Participant is eligible for supportive services. **OR**
- b. Stop participating in the program and agree to participate in an approved WTW Activity. In this case the Employment Plan will be completed for the agreed upon approved activity.
- c. The ES should remind participants that it's their right to consult a Client Advocate or an advocate of their choice. For more information on the grievance process, see Section 77-1, "Grievance Process".

I. Monitor Progress

1. Follow procedures described in Section 75-4.

2. If the self-initiated program is interrupted for good cause

- a. When the Participant is ready to resume study, re-review the self-initiated program; Does the program continue to meet the eligibility criteria for SIP? Is the student still eligible for financial aid, after the interruption?
- b. Can the program be resumed and completed within the Time on Aid limits?
- c. If the program cannot be completed, is the Participant prepared to continue the program with financial aid after the time limits end, or to begin activities that can be approved?

J. SIP and WPR

If a SIP is work-eligible individual, then the case will be included in the work participation rate calculation in the denominator. Since a SIP is not a federally-defined work activity, if the SIP activity otherwise fits the definition of a federally-allowable activity, then the participation and documentation requirements of that activity apply. If the activity is the same as any other federally-allowable activity and, if the participant is participating the appropriate number of hours, his or her hours will be counted in the work participation rate numerator.

In particular, if the individual is participating in a self-initiated vocational education activity, the hours can count toward the work participation rate provided the individual is meeting the federal hourly requirements and has not exceeded the 12-month lifetime on vocational education as a core activity. After the 12 months, vocational education may count as job skills training directly related to employment or education directly related to employment, which are non-core activities, if SIP meets the definition of these activities. (see ACL 09-07, "Questions about Implementation of TANF Work Verification Plan", pg 6; Question #15)

V. Forms

Form #	Form Name	Purpose	Language
7000CW	Participant Background	This captures participant background information relating to securing employment, e.g, work and education history	Chinese Russian Other
7002CW	Participant Overview	This is a tool for appraising a participant's strengths and barriers with regard to securing employment and becoming self-sufficient	
7003CW	Requirements for Approval of CalWORKs WtW SIP Handout	Handout for registrants outlining the requirements for approval of CalWORKs WrW SIP (2 pages)	
7017CW	SIP Approval Form: CalWORKs WtW Request for Approval of Self-Initiated Education or Training Program	CalWORKs form summarizing the SIP Program and requiring signatures of the Employment Specialist, Unit Supervisor, Vocational Assessor and Section Manager to approve the SIP	
NOA 7260 (9/09)	Approval or Denial/Discontinuance of Self-Initiated Program	Notice of Action form notifying Participant of Approval, Denial or Discontinuance of SIP	
8014	Authorization to Release Information	Standard HSA form for client signature – ES must have a client's authorization before communicating with any agency or party outside HSA about the client	
WTW 2 (12/12)	Employment Plan – Activity Assignment	This specifies up to two welfare to work activities that the participant is committing to engage in.	Chinese Russian Spanish Vietnamese

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WTW 8	Student Financial Aid	Statement To determine other financial resources available for supportive services	
WTW 10	Request for Welfare to Work Third Party Assessment	When the participant does not agree to an employment plan, this form is used to formally request a party not on staff at HSA to complete an assessment and make a recommendation	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 73 - Welfare to Work Activities

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/11/13

73-1: Unsubsidized Employment

I. Introduction

Unsubsidized Employment is the goal of all Welfare-to-Work (WTW) Participants. It means that the Participant is an employee of the employer and that the employer is paying all wages. Unsubsidized employment can be in the public (government) or private sector (includes both private businesses and nonprofit organizations).

II. Policy

A. Unsubsidized Employment is the Goal

Unsubsidized Employment is the goal for all Welfare-to-Work (WTW) Participants. Participants must be paid at least the minimum wage (\$7.25/hour as of July 24, 2009).

B. WTW Participation Requirements

If the Unsubsidized Employment does not meet the minimum number of participation hours, the Participant must engage in WTW activities in order to meet Participation Requirements.

If the Unsubsidized Employment meets the minimum number of work participation hours, the Participant may choose to not sign an Employment Plan and receive only those supportive services necessary to maintain the job.

C. Required acceptance and retention of employment

Participants must accept legitimate offers of employment (even temporary employment) as long as they do not violate labor laws and displacement rules. An individual may also have a qualified have a good reason not to accept a job.

For a discussion of good cause reasons, see Section 76-2: Good Cause Determination.

Please note on the WTW Plan Rights and Responsibilities form (WTW 1) the Participant responsibilities include:

You must:

- a. Accept a job if you get an offer unless you have a good reason not to.
- b. If working, keep the job and not lower your earnings.

If the Participant is already working in Unsubsidized Employment, they may not start another WTW activity that jeopardizes their continued employment. The exceptions are:

- They have good cause, or it is in their best interest to leave
- The Employment Plan already included an overall plan of work and eventual training

D. On-the-Job Grievance or Discrimination

If the Participant has a grievance with an employer, the Case Manager (in consultation with the Job Developer or placing CBO) shall direct the Participant to file a complaint with the employer. If this grievance process is unsatisfactory, refer the individual to the Employment Law Center or other appropriate agency, as outlined in section III. D: Avenues for Filing Various Employment-Related Complaints. This chart is also available as a handout (Form 7035 CW).

E. Non-displacement provisions

The Unsubsidized Employment must conform to the non-displacement provisions described in 76-2: Good Cause Determination. In general, a Participant's hire shall not displace a current worker or infringe on the opportunities for overtime of existing workers. This will generally be the concern of the placing program.

F. Compliance with workplace regulations

The Participant may not be denied protections provided other workers on the worksite under state and federal workplace health, safety, and representation laws. (See Section 76-2: Good Cause Determination.)

G. ADA Considerations

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities. Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Case Manager shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant must exhaust the program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Case Manager. In cases in which the Department has a contractual relationship with the program or employer-giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

1. The Case Manager must be informed of the problem

If there is an ADA-related problem, the Participant shall report it to the Case Manager so that the Case Manager will know there is a problem. If the problem precludes the Participant from working, the Case Manager will then know that the Participant has good cause to quit work.

2. Participant may contact the Employment Law Center

The Participant may contact the Employment Law Center (864-8208) for advice and/or to obtain assistance in filing a complaint. See Avenues for Filing Various Employment-Related Complaints. This information is also available as a handout (Form 7035 CW).

III. Process

A. Employment verification process for Unsubsidized Employment

A. Under 8E60, COR Staff Responsibilities:

1. Obtain the EV (Form 4506) from the employer or directly from the participant for unsubsidized employment.
2. Attach a paycheck stub, offer letter, or proof of employment to verify placement.
3. Submit the hard copy of the EV (Form 4506) and the paycheck stub, offer letter or proof of employment to the BAR Unit Supervisor for entry into the JN Database.
4. Notify the Case Managers via email that the employment verification form is posted on the O-Drive.

B. Tax credits available to employed CalWORKs Participants

There are several tax credits available to Participants who become employed. During job search and upon obtaining employment, as part of the Job Retention service, Participants will be informed about tax credits in "informational packets" and workshops. The CalWORKs Advanced Screeners are taking the lead in providing this information.

1. Earned Income Credit (EIC)

The EIC is a special tax benefit for working people who earn low or moderate incomes. It has several important purposes:

- To reduce the tax burden on these workers
- To supplement wages, and
- To make work more attractive than welfare.

Workers who qualify for the EIC and file a federal tax return can get back some or all of the federal income tax that was taken out of their pay during the year. Workers who are raising children can get part of this EIC in their paychecks throughout the year and part in a check from the IRS after they file their tax return. They may also get extra cash back from the IRS. Even workers whose earnings are too small to have paid taxes can get the EIC. The EIC also reduces any tax the worker may owe from previous tax years.

2. Child Tax Credit

For every tax payer raising dependent children, this credit is worth up to \$500 per dependent child under age 17 and it is claimed on the federal tax return. Claiming the Child Tax Credit does not reduce benefits from the Earned Income Credit.

3. Child and Dependent Care Credit

This is a tax benefit for families who need to pay for child care in order to work or look for work. This credit is also available to families that must pay for the care of a spouse or an adult dependent who is incapable of caring for him or herself.

Most participants are eligible for Stage II Child Care when they become employed. However, if their income rises above 75% of the State Median Income, they are ineligible for Stage II. The Child and Dependent Care Tax Credit will benefit this family. Families who earn too little to pay taxes are not eligible for this credit. (Unlike the EIC.)

More information about these federal tax credit programs may be obtained by:

- Calling 1-800-TAX-1040 (1-800-829-4059 for hearing- or speech-impaired persons who must use a TDD).
- Simple handouts are available from the CalWORKs Enhanced Screeners.
- A flyer, "CalWORKs and Tax Credits" (7040 CW) summarizes tax credit information for employed Participants.

C. Tax Credits are available to employers of CalWORKs Participants

Information on tax credits to employers is included here for information purposes. Tax credits have been provided for employers as an incentive to hire welfare recipients and other high-risk groups.

The Participant and others involved in making the job placement will inform the employer about tax credits; however, the responsibility for obtaining tax credits lies with the employer. The OEWD and EDD have staff to work with employers on this.

1. Types of tax credits available for employers

In some of the cases listed below, other household members who obtain work may also qualify for tax credits, whether or not the person receiving the aid obtains work.

a) Federal Welfare-to-Work Tax Credit

- The Participant has to have been on AFDC/TANF for at least 18 months, or have used up all allowable time on aid.
- If the person in the household receiving aid meets the qualification above, any member of the Participant's household who gets a job may also qualify for the Federal Welfare-to-Work Tax Credit, whether or not the person receiving the aid is working or placed on a job.

b) Eligibility for the Federal Work Opportunity Tax Credit (WOTC)

- Receiving TANF for nine of the last 18 months. This criterion also makes any other household member eligible for the WOTC tax credit.
- Economically disadvantaged youth, 16-17 years old, in Summer Youth Programs AND reside in an Enterprise Zone
- Any youth (age 18-24) who resides in an Enterprise Zone
- Anyone age 18-24 receiving Food Stamps. This criterion also makes any other household member eligible for the WOTC tax credit.
- Veterans who have received Food Stamps three out of the last 15 months. This criterion also makes any other household member eligible for the WOTC tax credit.
- Economically disadvantaged ex-felons. This criterion also makes any other household member eligible for the WOTC tax credit.
- SSI recipients

c) San Francisco Enterprise Zone Hiring Tax Credit

Businesses within a designated City Enterprise Zone, which hire certain "qualified individuals" for newly created jobs may receive a credit against taxes. This credit is at 100% in the first two years of employment and is reduced to 50% in years three and four, 25% in years five and six, 15% in years seven and eight, and 10% in years nine and ten.

d) State Enterprise Zone Tax Credits

Participants placed with employers located in an Enterprise Zone qualify that employer for up to an \$8,000 credit in the first year.

e) San Francisco's New Jobs Hiring Tax Credit

This is available to businesses that create new, permanent jobs in the city or relocate existing jobs to San Francisco.

2. Certification of tax credit eligibility for employers

a) For state tax credits

This will be carried out by the Office of Employment and Work Development (OEWD).

b) For federal tax credits

This will be carried out by the Employment Development Department (EDD).

3. Early notice and action are essential

- The employer must be aware of the availability of Tax Credits on or before the job is offered, AND
- The employer must apply for the Tax Credit within 21 days of hiring the Participant.

4. Amount of Tax Credit available to employers

There are significant savings available to employers, for federal tax credits, up to \$8,500 over two years; for state tax credits, up to \$27,000 over five years. To obtain information on the actual amounts available, consult:

- The Quick Guide to Tax Credits
- The Business Hot Line at 861-4002, or
- www.sftaxcredits.com (this has links to the WOTC screening form, IRS form 8850)

D. Avenues for Filing Various Employment-Related Complaints

This chart lists the various avenues for filing complaints related to discrimination on the job and in education and training programs, as well as complaints related to working conditions.

The Employment Law Center (first entry on the chart below) is the local agency to refer individuals for assistance in filing complaints. Other resources for filing complaints are listed on the chart. In addition to these, if a Participant is protected by a union on the job, the union is another possible avenue for filing a complaint.

AGENCY	KINDS OF COMPLAINTS HANDLED	PHONE/TDD NUMBERS
<p>State Labor Commissioner: Division of Labor</p> <p>LIMITATIONS: Employer must employ 5 or more employees</p>	<p>Standards Enforcement Pay, benefits, working conditions - unpaid wages, overtime, vacation, bonuses; minimum wage violations; improper deduction or withholding practices; child labor; unequal pay (based on gender), retaliation for reporting safety violation or filing workers' compensation or wage claims; other hours or conditions complaints</p>	<p>557-7878 No TDD number</p>
<p>U.S. Equal Employment Opportunity Commission</p> <p>LIMITATIONS: Employer must employ 15 or more employees</p>	<p>Discrimination complaints based on race, color, national origin, disability, gender, religion, pregnancy, marital status, age</p>	<p>(415) 356-5100 (415) 356-5098 TDD</p>
<p>U.S. Department of Labor</p> <p>LIMITATIONS: Work must involve "interstate commerce" or meet a "gross sales" test.</p>	<p>Wage and Hour Division Pay - minimum wage violations; unpaid wages or overtime; record keeping violations; retaliation for filing DOL claims; improper deductions, other hours or work conditions complaints, family and medical leave..</p>	<p>(415) 744-5590 No TDD number</p>
<p>San Francisco Human Rights Commission</p> <p>LIMITATIONS: For complaints against employers who have contracts with the city.</p>	<p>Discrimination - for discrimination complaints related to sexual orientation and HIV/AIDS/ARC status.</p>	<p>(415) 252-2500 (415) 252-2550</p>
<p>U.S. Department of Education, Office of Civil Rights</p> <p>LIMITATIONS: Applies only in federally-funded education programs or institutions.</p>	<p>Discrimination - on the basis of race, color, national origin, gender or disability.</p>	<p>(415) 437-7700 (415) 437-7786</p>
<p>California Department of Industrial Relations, Division of Occupational Safety and Health</p> <p>LIMITATIONS: Applies to all employers except federal.</p>	<p>For health and/or safety violations at job sites.</p>	<p>(415) 557-1677 No TDD number</p>
<p>Federal Occupational Safety</p>	<p>For health and/or safety violations at job sites.</p>	<p>(800) 475-4020</p>

and Health	No TDD number
LIMITATIONS: Applies to federal employers only.	

E. Job Retention

The term "job retention" spans the period when the Participant is employed and still on aid, as well as up to one year after aid is discontinued.

Ensure that the Case Manager, the employer, the Participant, and any CBO or other entity involved in the job placement are in agreement about how Job Retention Services will be addressed how the Job Retention Plan will be carried out. (See Section 75-7: Job Retention Services).

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare-to-Work: Employment verification	
IRS W-5	Earned Income Credit Advance Payment Certificate	Federal tax form for Participants to use if they chose to get part of the Earned Income Tax Credit (EIC) in their paychecks. The ES shall give this form to Participants when they get a job.	Spanish
4506	Employment Verification	Form verifying employment from employer	
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two Welfare-to Work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7035 CW (11/11)	Avenues for Filing Various Employment-Related Complaints	A listing of agencies (with phone numbers) for filing grievances related to discrimination or employment conditions - a handout for participants.	
7040 CW (9/99)	CalWORKs and Tax Credits	A flyer summarizing tax credit information for employed Participants. A tool for Job Developers, Enhanced Screeners, and retention services	
8014(15)	Authorization to Release Information	Standard DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 4/2/13

73-2: Subsidized Employment

I. Introduction

The term "subsidized employment" is an "umbrella" category that may include any employment in the public or private (for-profit or nonprofit) sectors, in which part or all of the wages paid to the Participant are provided by an entity other than the employer.

For CalWORKS participants, the principal subsidized employment programs are:

- CJP
- VIP
- ITIP
- PST
- Wage Subsidy

II. Policy

Program Description

JOBS Now! is a program for employers who participated in JOBS Now! as well as employers who did not previously participate. The program offers a \$5000 wage subsidy for all new hires of qualified participants. For many positions, \$5000 pays for over a month of wage costs for eligible new hires.

The wage subsidy encourages employers to hire from the HSA qualified candidate pool and helps to maintain the positive relationship HSA developed with businesses during the JOBS Now! Program. Employers are required to invest in and retain successful wage subsidy employees after the subsidized period. Business Account Representatives (BARs) staff will provide on-going support and assistance to the employer and the employee to help reach this milestone.

The focus of the Wage Subsidy program is to provide eligible participants with employment opportunities which can provide salary above the minimum wage, offer advancement opportunities and lead to self-sufficiency.

Wage Subsidy

The JOBS Now! Wage Subsidy Program is a subsidized employment initiative designed to stimulate the local economy by providing a significant subsidy to employers who hire CalWORKs or PAES participants.

The goals for San Francisco Human Services' agency new Wage Subsidy program are to provide work opportunities to low-income San Franciscans while stimulating the local economy. The program began on October 1, 2010 and will run through June 30, 2011, or until funding is no longer available.

III. Process

A. Employer Approval Process

Employers apply to the Program by completing the Wage Subsidy Agreement form and submitting it to the WDD Business Services Supervisor. A Business Account Representative (BAR) is assigned to each applicant and the BAR reviews each application for completeness. BAR staff are required to follow-up with the applicant if there are any questions regarding the application.

BARs, once application is completed, complete BAR Review form and submit, with their recommendations, to the management team that provides a secondary review. The Management Team consists of the Deputy Director of WDD and the Director of the Contracts for their final review and recommendations.

Some of the criteria for reviewing applications are:

- a. Past Agency experience with Employer in previous subsidized employment programs.
- b. Employers having demonstrated fiscal capacity in having the ability to retain Employees once subsidy ends.
- c. Completeness of Application.
- d. Employer providing job opportunities consistent with the skills present in the job candidate pool.
- e. Employers having experience in managing a workforce.

Once approved by the Wage Subsidy management Team, applications are forwarded to HSA Executive Director for final approval.

All individuals hired under the JOBS NOWv2 Wage Subsidy program shall be hired as regular members of the Employer's work force and are subject to the same conditions of employment as the Employer's other regular employees, including periodic wage increases for performance or termination for unsatisfactory performance.

Other conditions of employment include the following:

- a. The Employee is on the Employer's regular payroll.
- b. The Employee receives the same benefits as the employees on the Employer's regular payroll performing similar work.
- c. The Employee receives the same starting wage and other wage increases as other employees performing similar work.
- d. If Employee is performing work not being performed by other employees, Employer will pay a starting wage consistent with the local labor market.
- e. The Employee is provided special clothing or equipment if such is provided to the Employer's regular employees performing similar work.
- f. The Employee is provided supervision and training in the occupation for which the individual is hired in order to obtain transferable skills.

B. Wage Subsidy Recruitment and Hiring Process

Wage Subsidy Human Services Agency staff will refer qualified applicants to employers. Hiring decisions are made by employers thru 2 different conduits –

1. Invitation to the Recruitment Event on Thursdays at 3125 Mission and/or
2. Direct referral to the employer at their respective location

After the Wage Subsidy application is approved, Business Account Representatives contact employers to follow-up on filling their approved job orders and obtain which recruitment method works best for the employer.

Each job order is assigned a job order number, regardless if it is a recruitment lead or non-recruitment lead by the Business Account Administrative Clerk. Each job order is then blasted via email to the respective programs (CalWORKs, PAES, WDD) and saved to a master list on the O-drive. Each order has the salary amount, closing date, job description and minimum qualifications stated by the employer.

For the Recruitment process, job seekers are prescreened by the COR Staff or the PAES Job Club Staff. Staff accesses the Recruitment Job Orders, every Monday by 2pm, found on the O-drive, for that week's Recruitment event. Job Seekers are prescreened using **Form 4503, Job Seeker Prescreening Rating Sheet**, which employs a rating scale and whoever rates highest are scheduled into the respective interview slots on the O-drive.

Using Form 4503

The Form 4503, Job Seeker Prescreening Rating Sheet, implements a standardized pre-screening rating scale, to be completed by staff, as part of the referral process of participants to job recruitment sessions:

- Job seekers are prescreened using a rating scale and those rated highest are scheduled into the respective interview slots.
- Due to time and availability, there are 12 interview slots per an employer (number of interview slots may be changed with PST/BAR Supervisor's approval)
- Each client is only allowed to sign up for 3 job interviews per a recruitment session
- Referring staff must check client's subsidized employment eligibility
- Subsidized employment exceptions are only granted by 8E00, Employment and Business Services Manager. Staff must request an exception through the Employment and Business Services Manager via email or in-person. If exception is granted, staff shall insert the date of approval on the form.

Overview and Processes for Completing the 4503 Job Seeker Pre-Screening Rating Sheet

1. Rating 15 and above will be referred to recruitment, as space allows.
2. Rating 11-14 will be referred to the BARs by the Unit Clerk for further review.
3. Rating of 10 or below will not be referred to recruitment.

The referring staff shall:

1. Complete the 4503 Prescreening Rating Sheet for recruitment sign-up
2. Enter the Job Number according to the job announcement
3. Rate each evaluation item on a scale of 1 to 3 (1=Poor Rating, 2=Good Rating, 3=Excellent Rating). Refer to the Prescreening Rating Sheet Guidelines below.
4. Add the total rating on the bottom of each job
5. Email the completed prescreening rating sheet as an attachment to: Jonathan Baggao and Cc: Rontez Vaughan by 2pm on Wednesday

The BAR/COR Unit Clerks shall:

1. Receive all rating sheets by 2pm on Wednesday (except with a supervisor's approval)
2. Enter into the selection tracking those participants whose rating is at least 15 or higher
3. Refer for pre-screening to a BAR those participants whose total rating is 11 to 14.
4. Refer to the instructions for BARs regarding prescreen rating 11-14 below.
5. Not refer participants whose total rating is 10 or below.

Instructions for BARs to prescreen rating 11-14:

1. BAR staff will be available to pre-screen clients with ratings between 11-14 on Tuesdays
2. Referring staff will discuss client’s strengths and areas of concern with the BAR through email, phone or in person
3. BAR staff will give permission to add client on Thursday recruitment (or not) based on the discussion between the BAR and referring staff.

Prescreening Rating Sheet Guidelines

1=Poor Rating	2=Good Rating	3=Excellent Rating
<ul style="list-style-type: none"> • Appears to have a negative work attitude • May have demonstrated the ability to get, but not keep a job • Does not meet minimum qualifications • Has not been connected to the labor market on a consistent basis (poor track record) 	<ul style="list-style-type: none"> • Appears to possess a good work attitude, and motivation to work • Has worked in part-time job market, or full time in entry level job market • Meets some of the qualifications • Solid and steady in essentials aspects but could be improved 	<ul style="list-style-type: none"> • Presents a very positive work attitude and motivation to work • Has marketable skills in an in-demand occupation • Meets all minimum qualifications • Truly excel, a clear strength

Following the recruitment, the Business Account Representatives conduct a debriefing session, asking employers to use a rating scale, and the debriefing report is then sent to the Pre-screening Staff and their respective supervisors with outcomes for each job seeker interviewed that day.

For the non-recruitment process, COR Staff or the PAES Job Club staff access the non-recruitment job orders via the master list, found on the O-drive every Monday by 2pm. Each job order has the respective BAR initials attached, and for any qualified candidates, the resumes are then emailed by the COR Rep or PAES Job Club Staff, directly to the BAR for consideration. The BAR then reviews it and if no changes are needed on the resume, the BAR forwards the resume to the employer for consideration. After one week, the BAR follows up with the employer on the status of the referral and reports outcome to the respective COR Staff or PAES Job Club Staff.

For the non-recruitment process, COR Staff or the PAES Job Club staff access the non-recruitment job orders via the master list, found on the O-drive every Monday by 2pm. Each job order has the respective BAR initials attached, and for any qualified candidates, the resumes are then emailed by the COR Rep or PAES Job Club Staff, directly to the BAR for consideration. The BAR then reviews it and if no changes are needed on the resume, the BAR forwards the resume to the employer for consideration. After one week, the BAR follows up with the employer on the status of the referral and reports outcome to the respective COR Staff

or PAES Job Club Staff. All Wage Subsidy placements should be verified using the JNv2 Employment Verification form which is to be completed and submitted by employer.

C. Invoicing

After the new employees start work, employers submit invoices to the Human Services Agency for the wage costs. The first \$2,500 in wage costs incurred for each JOBS NOW!2 participant hired will be reimbursed by the Human Services Agency. Employers are expected to retain JOBS NOW!2 employees after the subsidy period has ended.

Contracts staff process the invoices and ensures that the payment is sent out timely to all employers. BARs serve as the main point of contact between Contracts staff and the employers. If any issues arise during the invoicing process, Contracts staffs immediately inform the Business Services team with any such issue to avoid delays in reimbursement.

D. Employer Database

All employer applications are tracked via the Employer Database. This includes status of the approval process, job orders approved and filled, BAR contact narrative logs and the invoicing process.

E. JN Wage Subsidy Application Flow Process

Step 1 – Logging in Application (BAR Unit Clerk)

- BAR Unit Clerk will check incoming mail (thru Bernie's inbox) 2x daily for Applications.
- Received Applications are then date stamped and logged into JNv2 Employer DB with the following information:

Under Employer Information – all required fields

If new to JN, assign BAR by rotation (Sonia, Roxana, Cliff, Jovita)

Note - ITIP Apps are sent to Kathy. If previous JN employer, refer to Contracts DB (JN) for BAR assigned

Under Notes – indicate date sent to BAR for QC Processing

Under Application Detail – submission date

Under Seeker database (old DB) – retention box is checked for those employees retained.

- Application Packet is then copied by BAR Unit Clerk and filed into a newly created hard copy Employer Folder to be housed in master file cabinet at 3120 Mission.

Original Application Packet is routed to Assigned BAR to complete BAR Feedback Coversheet.

STEP 2 – BAR Recommendation (BAR and Bernie)

- After BAR receives application packet, BAR should complete BAR Feedback Coversheet within 24 hours of receipt.

If Application is incomplete – BAR should notify employer immediately on what is missing from packet and document contact in database, under APPLICATION Issues.

- After BAR Feedback Coversheet is completed, BAR should attach it to the application packet and submit to Bernie.

Bernie will complete a quick review then forward entire packet to Theresa for FINAL REVIEW w/ Jim and Dave.

STEP 3 – Final Review (Jim and Dave)

- Theresa to forward application packets to Jim and Dave for Final Review.
 - For APPROVALS – Contracts Staff will forward approved application packet to Trent for final signature
 - For DENIALS – Contracts Staff will alert BAR unit with reason noted from Jim/Dave.
- NOTE: Originals will be housed at 1650 Mission (Contracts Office)

STEP 4 - Closing Database Entry and Employer Notification (Contracts Staff)

- Contacts Staff updates the DB with the following:

Under Edit Application Information - Date Sent to TR, Application Status, Qualification Letter Date, Application Issues

Under Job Application – enter approved position and wage

- Contracts Staff mails one of the following 2 letters to employer.

Approval Letter

- Contracts Staff will scan and save to O-drive (Employment Svs/BAR Unit JNv2/Employer Files) the BAR Feedback Sheet, the Application and the Approval and/or Denial Letter.

Denial Letter

- Contracts Staff emails BAR on final application status.

F. Employment Verification (EV) Process for JN Wage Subsidy and ITIP positions:

A. Under 8E10, WDD BAR (Business Account Representative) Unit Responsibilities:

1. Obtains the EV (Form 4506) from the employer
2. Gives the EV (Form 4506) to the BAR Unit Clerk (Worker # 8E1X)

B. BAR Unit Clerk (8E1X) Responsibilities:

1. Enters the information in the JobsNOW Database
2. Scans the EV (Form 4506) so it becomes an electronic document
3. Sends the EV (Form 4506) as an attachment by email to the PAES ES's, COR Staff, and their respective Supervisors, with a cc: to the BAR Supervisor
4. Saves an electronic copy of the appropriate EV form in the participant's file and the employer's file in the O-drive, at O:\Employment Services\WDD Participants Files

NOTE: If the COR or PAES ES has any questions about the Employment Verification, they should contact the BAR Supervisor (8E10). If they need a copy of the EV, they should contact their Supervisor if a copy is not available in the participant's folder.

G. Employment Verification (EV) Process for PST who obtained unsubsidized employment after the PST job

Under 8E90, PST Liaison (PSTL) Responsibilities are to:

1. Obtain the employment verification (pay stub, letter from the employer, copy of the check, etc.) from the PST or directly from the employer for unsubsidized employment
2. Submit the hard copy of the Employment Verification Form 4506 (and the employment verification documentation) to BAR Unit Supervisor for entry into the JN Database
3. Notify the ES via email (cc to his/her supervisor and section manager) about PST's new employment

H. Employment Verification (EV) Process for Unsubsidized Employment

A. Under 8E60, COR Staff Responsibilities:

1. Obtain the EV (Form 4506) from the employer or directly from the participant for unsubsidized employment.
2. Attach a paycheck stub, offer letter, or proof of employment to verify placement.
3. Submit the hard copy of the EV (Form 4506) and the paycheck stub, offer letter or proof of employment to the BAR Unit Supervisor for entry into the JN Database.
4. Notify the WTWES via email that the employment verification form is posted on the O-Drive.

I. Employment Verification (EV) Process for PAES JRT/Job Club participants who obtain unsubsidized employment

A. Under 8E40, Jobs PLUS Trainer Responsibilities:

1. Obtain the EV (Form 4506) from the employer or directly from the participant for unsubsidized employment
2. Attach a paycheck stub, offer letter, or proof of employment to verify placement.
3. Submit the hard copy of the ES (Form 4056) and the paycheck stub, offer letter, or proof of employment) to the BAR Unit Supervisor, 8E10, for entry into the JN Database
4. Notify the PAES ES via email that the employment Verification Form 4056 is posted on the O-drive.

J. Employment Verification (EV) Process for Tenderloin Workforce Center (TWC) CAAP Job Search participants and TWC customers who obtain unsubsidized employment

A. Under 9E10, TWC Employment & Training Staff responsibilities:

1. Obtain the ES (Form 4056) from the employer or directly from the participant for unsubsidized employment

2. Attach a paycheck stub, offer letter, or proof of employment to verify placement.
3. Submit the hard copy of the EV (Form 4056) and the paycheck stub, offer letter, or proof of employment to the BAR Unit Supervisor for entry into the JN Database.
4. If participant is in CAAP Job Search, advise him/her to report placement to participant's CAAP EW.

B. TWC Clerical Staff Responsibilities

1. Track placements for TWC's Monthly Report

NOTE: No client case files are kept on TWC premises.

VI. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare to Work: Employment verification	
IRS W-5	Earned Income Credit Advance Payment Certificate	Federal tax form for Participants to use if they chose to get part of the Earned Income Tax Credit (EIC) in their paychecks. The ES shall give this form to Participants when they get a job.	
4503	Job Seeker Prescreening Rating Sheet	Form 4503, uses a standardized pre-screening rating scale, to be completed by staff, as part of the referral process of participants to job recruitment sessions.	
4506	Employment Verification	Form verifying employment from employer	
WTW2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/30/99

73-4: On-the-Job Training

I. Introduction

On-the-Job Training (OJT) describes situations in which the Participant is being trained on the job. The OJT program is a financial incentive for the employer to hire a person who may need some additional training to be competitive. To be referred for an OJT, the Participant must have some level of hard and soft skills. The OJT is not set up to train people with NO skills or experience in a field. It is a good choice for people with some skills but no experience, or perhaps past experience in a different field.

The employer pays wages to the Participant and is usually receiving reimbursement for the training. There is an expectation that if the Participant is performing satisfactorily, he/she will be retained by the employer at the end of the training period.

II. Policy

A. OJT through Work Investment Act (WIA) Programs

Under WIA, the Participant is hired by the employer at the start of the OJT. The employer is reimbursed for training costs incurred, at an amount and for a duration agreed upon between the employer and the Office of Employment and Work Development (OWED), within the parameters of the law and the OWED's policies. Most OJT contracts are for a one-to-three month period. With CalWORKs Participants, OEWD has more flexibility than with WIA clients.

The maximum number of weeks or hours of training can be adjusted to meet the participants' needs for Welfare to Work.

1. Grant-based OJT

Grant-Based OJT, is under development and will be found in Section 73-5 when it is implemented.

B. Special Circumstances for OJT

Participants in OJT receive a paycheck. If a Participant becomes ineligible for CalWORKs due to earned income, hours worked, or loss of income disregards from their OJT income, the individual will:

1. Remain a Participant in the OJT WtW Activity for the duration of the OJT assignment
AND
2. Be eligible for supportive services for the duration of the OJT even though the individual is no longer receiving a CalWORKs check.

This OJT exception is true as long as this OJT activity does not exceed the time limits otherwise applicable to the recipient. However, if time limits are a factor, post-aid supportive services may be a resource.

C. Non-displacement Provisions Apply

The OJT must conform to the non-displacement provisions described in 76-2: Good Cause Determination. In general, a Participant's hire shall not displace a current worker or infringe on the opportunities for overtime of existing workers. This will generally be the concern of the placing program.

D. On-the-Job Grievance or Discrimination

If the Participant has a grievance with an employer the Employment Specialist (in consultation with the Job Developer or placing CBO) shall direct the Participant to file a complaint with the employer. If this grievance process is unsatisfactory, refer the individual to the Employment Law Center or other appropriate agency, as outlined in Section 73-1: Unsubsidized Employment, or in the handout, Avenues for Filing Various Employment-Related Complaints (7035 CW).

E. ADA Issues

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities.

Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant shall exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Employment Specialist. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

III. Process

A. Referral Process

Most OJT assignments will be coordinated either through the OEWD or through a community based organization (CBO). See the Employment Services Directory for CBOs.

B. Arranging OJTs directly with the Employer

The Participant or the Employment Specialist may identify a potential employer who is willing to hire if a government subsidy can be arranged. This is an OJT. In this case, refer the Participant to the OEWD, who will make a referral to a CBO for OJT eligibility determination. If the OJT is approved, the CBO will draw up the contract for the OJT with the employer for this Participant.

C. Tax credits available to employed CalWORKs Participants

There are several tax credits available to Participants who become employed. During job search and upon obtaining employment, as part of the Job Retention service, Participants will be informed about tax credits in "informational packets" and workshops. The CalWORKs Advanced Screeners are taking the lead in providing this information. For further information, see Section 73-1: Unsubsidized Employment.

D. Tax Credits for employers of CalWORKs Participants

See Section 73-1: Unsubsidized Employment.

E. Job Retention

Progress on the job shall be monitored during the duration of the training by the CBO. For OJT assignments that become a job placement on completion of the training period, a Retention Plan should be discussed and coordinated with the CBO prior to the completion of the training.

Ensure that the Employment Specialist, the employer, the participant, and any CBO or other participants in the job placement are in agreement about how Job Retention Services will be addressed how the Job Retention Plan will be carried out. (See Section 75-7: Job Retention Services.)

F. Avenues for Filing Various Employment-Related Complaints

See Section 73-1: Unsubsidized Employment, or the handout Avenues for Filing Various Administrative Complaints (Form 7035 CW).

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare to Work: Employment verification	
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 5/10/12

73-6: Supported Work

I. Introduction

Supported Work is for people who need a high level of on-the-job support, even to the extent of assistance with the job tasks themselves. Participants receive intensive support services, training, supervision, and counseling to help them handle their job duties and retain their employment. This is usually carried out by a Job Coach. This is a training model used by the Department of Rehabilitation for their clients who require this kind of support to enter the work force, and they call it "Supported Employment."

II. Policy

A. Supported Work requires a Targeted Assessment

In order to assess the appropriateness or need for a Supported Work assignment, a Targeted Assessment will be required. An exception is if the Participant has already had a comparable assessment within the last 12 months. The Participant may be referred to the Department of Rehabilitation for the assessment.

B. Supported Work occurs through an intermediary

Since Supported Work entails the presence of a Job Coach, which the Department does not provide, Supported Work assignments will occur through the Department of Rehabilitation or a CBO such as Goodwill or Toolworks.

C. Non-displacement proscriptions apply

The Supported Work must conform to the non-displacement provisions described in 76-2: Good Cause Determination. In general, a Participant's hire shall not displace a current worker or infringe on the opportunities for overtime of existing workers. This will generally be the concern of the placing program.

D. Grievances

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77-1: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WtW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

If this grievance process is unsatisfactory, refer the individual to the Employment Law Center or other appropriate agency, as outlined in the handout Avenues for Filing Various Administrative Complaints (Form 7035 CW).

E. ADA Compliance

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities. In accordance with HSA Personnel Procedures Handbook, participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

Access to the HSA Personnel Procedures Handbook is through the HSA intranet website.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant shall exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Employment Specialist. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

III. Process

A. Follow processes described for that particular assignment

Most Supported Work will usually be a result of a Targeted Assessment which will lead to a Supported Work assignment through the Department of Rehabilitation or a community based organization.

B. Referral

The Employment Specialist will refer to the on-site Department of Rehabilitation worker (at DHS, assigned to help with CalWORKs referrals) or the identified CBO.

C. Tax credits available to employed CalWORKs Participants

There are several tax credits available to Participants who become employed. During job search and upon obtaining employment, as part of the Job Retention service, Participants will be informed about tax credits in "informational packets" and workshops.

The CalWORKs Advanced Screeners are taking the lead in providing this information. For further information, see Section 73-1: Unsubsidized Employment or handout CalWORKs and Tax Credits (Form 7040 CW).

D. Tax Credits for employers of CalWORKs Participants

See Section 73-1: Unsubsidized Employment.

E. Develop a Retention Plan, if applicable

For Supported Work assignments that will become job placements on completion of the training period (generally 90 days to six months), a Retention Plan should be discussed and developed prior to the completion of training. The Supported Work provider or sponsor will generally conduct follow up anywhere from one month to six months after placement in unsubsidized employment.

At the end of the Supported Work activity, if the Participant moves into unsubsidized employment, follow the process for Unsubsidized Employment (Section 73-1).

F. Avenues for Filing Various Administrative Complaints

See Section 73-1: Unsubsidized Employment, or the handout Avenues for Filing Various Administrative Complaints (Form 7035 CW).

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare to Work: Employment verification	

Section 73 - Welfare to Work Activities

WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW2A	Employment Plan and Activity Assignment Detail	(On the reverse side of the WTW 2) Basic objectives and strategies of the Employment Plan.; describes the method(s) for monitoring the Participant's progress in the activity(ies) in the WTW 2. The client and ES sign both sides of the WTW 2-2A; with this signature the 18-24 month clock starts.	Chinese Russian Spanish Vietnamese
7006 CW (4/99)	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WtW status and eligibility for DOL-funded training (7004 CW).	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/11/13

73-7: Transitional Employment

I. Introduction

Transitional employment is time-limited employment, designed to train the Participant in specific job skills and to test work tolerances in an actual work setting. There is an initial high level of supervision and support that moves the Participant to greater vocational independence. For example, Goodwill, utilizes Transitional Employment to prepare people for retail work. The length of the employment is determined by the program operator. Usually it does not result in permanent, full-time, employment.

II. Policy

See Section 73-1: Unsubsidized Employment. There is no substantive difference to the Participant in being employed in a Transitional job. All the policies and rights that apply to Unsubsidized Employment apply to Transitional Employment. Transitional Employment will be time-limited.

III. Process

A. Follow processes described for that particular assignment

Most Transitional Employment will occur through the program that sponsors the opportunity, and the processes for facilitating this assignment will be described for that program. In many cases, these will be arranged through a CBO.

B. Tax credits available to employed CalWORKs Participants

There are several tax credits available to participants who become employed. During job search and upon obtaining employment, as part of the Job Retention service, participants will be informed about tax credits in "informational packets" and workshops. The CalWORKs Advanced Screeners are taking the lead in providing this information. For further information, see Section 73-1: Unsubsidized Employment or the handout CalWORKs and Tax Credits (Form 7040 CW).

C. Tax Credits for employers of CalWORKs Participants

See Section 73-1: Unsubsidized Employment.

D. Address Job Retention Issues

Transitional Employment, by its very nature, tests participants' ability to retain a job. In this case, Job Retention is focused on transitioning to permanent unsubsidized employment. Ensure that the Case Managers, the employer, the participant, and any CBO or other participants in the job placement agree about how Job Retention Services, actually job placement services, will be addressed.

Job Search

When participants show evidence in the Transitional Employment placement that they are not going to be a candidate for permanent employment, Job Search is by necessity part of the Employment Plan.

E. Avenues for Filing Various Administrative Complaints

See Section 73-1: Unsubsidized Employment, or the handout Avenues for Filing Various Administrative Complaints (Form 7035 CW).

F. Employment Verification (EV) Process for Unsubsidized Employment

A. Under 8E60, COR Staff Responsibilities:

1. Obtain the EV (Form 4506) from the employer or directly from the participant for unsubsidized employment.
2. Attach a paycheck stub, offer letter, or proof of employment to verify placement.
3. Submit the hard copy of the EV (Form 4506) and the paycheck stub, offer letter or proof of employment to the BAR Unit Supervisor for entry into the JN Database.
4. Notify the Case Managers via email that the employment verification form is posted on the O-Drive.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare-to-Work: Employment verification	
4506	Employment Verification	Form verifying employment from employer	
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese

Welfare to Work Handbook

7006 CW (4/99)	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WTW status and eligibility for DOL-funded training (7004 CW).	
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 8/13/12

73-9: Self-Employment

I. Introduction

A participant is self-employed when s/he is not working for someone else and is engaged in a self-owned business enterprise. Self-employment training is training in business development including technical assistance or training specific to providing licensed child care services offered by an approved provider. Recipients of CalWORKs are subject to the 48-months time on aid regulations and, therefore, have limited time to benefit from training and education activities. At least half of all small businesses fail each year.

Therefore, to encourage maximum success for persons in self-employment it is incumbent on Program to introduce participants to self-employment/business development training available in the community and carefully review and monitor participation and progress.

II. References

A. Law and Regulations

MPP 42-716.111(r)
MPP 44-113.212
MPP 53-4

B. Other Sections of this Handbook

Section 72-2 Appraisal and Assessment
Section 73-14 Job Skills Training - Related to Employment
Section 75-2 Referral Procedures
Section 75-4 Progress Monitoring
Section 75-6 Reappraisal

III. Policy

A. Definitions

Self-employment is defined as employment in which the participant does not work for someone else. The participant is engaged in a self-owned business enterprise.

The standard for self-employment earnings is the equivalent of the federal minimum wage - \$7.25 per hour effective, July 2009.

Examples of self-employment include but are not limited to beautician or manicurist either renting a space or home based, licensed family day care provider, home based web designer, an established small business owned by the participant.

Self-employment training includes: business development training and/or technical assistance offered by one of the following approved providers: Women's Initiative for Self-Employment (WI), SF Renaissance Entrepreneurship Center or Children's Council of San Francisco; SET; self-employment training. (Information about these providers is included in this section.)

B. Policy

1. Earnings and cash grant determination

The first step in the calculation of the CalWORKs grant, when self-employment earnings are reported, is to determine the total profit earned for self-employment income.

To determine the total profit earned for self-employment, allow one of the following to be deducted from the total gross earnings, either:

- The verified allowable costs of doing business; or,
- 40% of the gross self-employed income.

The participant may choose which method is used, and may change the method of deduction only at CalWORKs redetermination, or every six months, whichever comes first.

2. Formula to determine WtW participation hours

Total profit earned from reported self-employment income determines how many hours of self-employment activity can be used toward the WtW participation requirements.

The hourly earnings for the self-employed participant must be no less than federal minimum wage (\$7.25 effective, July 2009.)

Self-employment earnings are reported on Form CW 63, Income and Eligibility Verification.

To determine if the minimum wage requirement is met for the self-employed participant, divide total profit earned (determined in calculation of the CalWORKs grant) by reported number of hours worked in the month. This will be the equivalent hourly wage for the self-employed participant.

EXAMPLE

Goal 128 hours (32 hrs per week) or 140 hours (35 hrs per week)

1. Total reported income from self-employment: \$1450
2. Less the business expenses (in this case 40%): \$ 500
3. Equals the total profit earned \$ 950
4. Total profit earned \$ 950
5. Divided by the federal minimum wage \$7.25
6. Equals the hours of participation for the month 131
7. Divide the hours for the month by 4 (131 by 4) = 32

In this example, the participant is meeting participation requirements.

If both parents in a two-parent family are participating in the same self-employment, the total profit earned is divided by the combined total self-employed hours of both adults. (Participation requirement for 2-parents is 35 hours total.)

If the gross wages, or number of hours worked, fluctuate significantly from month to month, or are seasonal, use the average for the last six months when doing the minimum wage calculation. (The participant must provide tax returns or other proof of earnings to help determine the average wages or hours worked.)

3. Flexible participation requirements for start-up self-employment

For the first six months when the individual starts reporting earnings from self-employment, do not deduct business expenses from the gross income when figuring the participation hours (gross income divided by federal minimum wage = hours). This break will give the individual time to devote to business start-up, while meeting all or most of the participation requirements through employment.

After six months of reporting self-employment earnings, the individual needs to begin showing progress to self-sufficiency. At this point, begin deducting the business expense, then divide the federal minimum wage into the total profit earned to figure the participation hours accounted for by earnings, as described above.

Exceptions may be granted on a case-by-case basis for a participant working closely with a technical advisor while launching the business and showing real promise.

4. Meeting work participation requirements at appraisal

When, at initial appraisal, the hours of self-employment meet the work participation requirements, then no WtW assessment or Employment Plan is required. However, in the interest of good case management, encourage referral to the business development training.

5. Not meeting work participation requirements

When, at appraisal or any time thereafter, the participant's hours of self-employment, as determined by the formula, do not meet the WtW participation requirements, s/he must choose either:

- To continue to pursue the self-employment endeavor as her/his employment goal by engaging in self-employment/business development training with a community provider or other WtW activity related to the self-employment; or,
- Not to pursue her/his self-employment endeavor. If this is the choice, proceed with the next appropriate step in the WtW process (i.e., referral to Up Front Job Search, assessment or reappraisal.)

7. Targeted Vocational Assessment required

A targeted vocational assessment (TVA) is required prior to approval of business development training or other WtW activities for an individual pursuing self-employment as an employment goal.

The participant may also engage in other WtW activity as appropriate to support the self-employment goals and satisfy participation requirements.

8. Self-employment training and Business Plan requirements

Participants whose employment goal leads to self-employment but whose earnings from self-employment DO NOT meet the participation requirements must participate in additional WtW activity to satisfy the requirements.

A referral for self-employment training to one of the providers listed in this handbook section is required.

The provider will give the individual training and technical assistance needed to complete a satisfactory business plan and improve chances for success in the self-employment venture. This referral is appropriate for the individual with either a new or an established business.

The training provider will help the participant evaluate her/his interest, aptitude, knowledge and ability to succeed in the business s/he has chosen. The training will assist in addressing many areas including the following:

- Is the business suitable to the participant's aptitudes?
- Does labor market analysis indicate a demand for the business?
- What are the licensing and/or regulatory requirements for the business?
- What is a business plan and how to write one for YOUR business?

- Is there a plan for marketing strategies?
- Is there an estimate of start up costs? Have the availability of small business loans been explored?
- What are the bookkeeping, Federal and State tax requirements, health and safety regulations for the business?
- Is the income potential expected to meet the family's obligations within the time limits of WtW (48 month time on aid limits)?

The providers of self-employment training offer a menu of classes and individual consultation from which the participant may select the services that will meet her/his needs.

9. Providers of self-employment training and technical assistance

There are two providers of business development training and technical assistance in San Francisco. Additionally, the Children's Council of San Francisco provides training and consultation for individuals interested in providing licensed child care. The providers all welcome CalWORKs participants and waive or offer reduced training fees.

See provider's intranet sites for detailed descriptions of services offered and stories of successful entrepreneurs in the Bay Area who completed the program. Introduce participant to web sites while discussing referral for business development training.

a) Women's Initiative for Self-Employment 1390 Market Street, Suite 113 Phone: 247-9473.

Website: www.womensinitiative.org

b) ALAS (for Spanish language services) 1398 Valencia Street, Phone: 826-5090

c) SF Renaissance Entrepreneurship Center 275 5th Street, Phone 541-8580

d) Bayview Business Resource Center 3801 3rd Street, Suite 240 Phone: 647-3728

Website: www.RENCENTER.org

e) Children's Council of San Francisco 445 Church Street Phone for Provider Services: 276-2900 or 276-2964 (ask about services in languages other than English)

Website: www.childrenscouncil.org

d) While viewing the providers' web sites, introduce the participant to the following sites for labor market research.

Internet sites for Labor Market Research:

America's Job Bank: <http://www.ajb.org/>

EDD: <http://www.calmis.ca.gov/>

ONET: <http://www.doleta.gov/programs/onet/ca-dc.asp>

In addition: EUREKA is available at most lab sites and on VA's desktops

10. Other WtW activities and self-employment

WtW activities and work hours shall be combined with self-employment training including technical assistance and may include:

- Job Search (JRS)
- Part-time Subsidized or Unsubsidized Employment (SUS, WUS)
- Work Experience (in a similar or related field) (WEX)
- ESL or basic reading and math (ESL, ABE)
- Other Job Skill Training Leading to Employment – including classes such as word processing or Excel skills that are not part of a certificate program and may be available at sites such as the One Stop or City College (JSK)
- Vocational Training (VTR)

The agreed upon activities must relate to the business plan or other needs identified in TVA and provider's assessment. Work with the training provider, Vocational Assessor and participant to make a package of activities that support the employment goal and will lead to self-sufficiency.

11. Complete the Employment Plan in increments

All self-employment training activities and other WtW activity including time spent in self-employment must be included in the Employment Plan (WtW 2A).

a) Include information about how income and expenses of the business will be tracked in comments on the Employment Plan (WTW 2A).

b) Design the Employment Plan in small segments, allowing for monitoring progress by frequent check-ins. Confer with the training provider about what these steps should include.

Example Steps for the Employment Plan (WtW 2A):

1. Referral to provider for initial business evaluation (30-60 days)
2. Engagement in recommended classes and/or other business development activity (another 30-60 days)
3. Other activities as recommended and the appropriate time frames
4. Self-employment earnings and the hours expected to contribute to the work participation requirements (change as appropriate at each check-in).

c) Complete the Employment Plan-Activity Agreement (WtW 2) for each activity(ies) as outlined in the WtW 2A.

d) No later than the end of the first six-months of engagement in self-employment related WtW activity, assess progress towards goals. A reappraisal may be in order to determine other activities that will support success in self-employment.

12. Address Supportive Service Needs

The individual is eligible for child care, transportation and other supportive services needed for approved WtW activities.

The self-employment provider's fees are reduced or waived for CalWORKs participants. Ancillary benefits may be used to reimburse the reduced fees.

Ancillary benefits may be issued for approved simple / reasonable business related expenses. Be mindful of the availability of small business loans and technical assistance from providers.

Determine whether the business related expense, including transportation, is being deducted from income taxes as an allowable business expense. If so, the supportive service cannot be approved. You may request a copy of the most recent tax return to verify this information.

Review all self-employment related ancillary requests with the Section Manager prior to approval.

IV. Process for Self-Employment Training and Technical Assistance

A. Referral

When the activity is part of the Employment Plan and a required activity, use the CalWORKs Employment Services Referral (7006CW) and the Authorization to Release Information (8014).

The client may self-refer to any of the business development providers if the activity is not part of an employment plan.

Post aid retention clients may also self-refer. If you wish to make a more formal referral for a retention client, use the CalWORKs Retention/Career Advancement Services Plan (7039 CW) to refer to a provider) and the Authorization to Release Information (8014/15).

B. Monitoring participation

The providers included in this section are interested in assisting CalWORKs participants succeed with their self-employment goals. Providers are willing to communicate with the Employment

Specialist/Retention Specialist to confirm participation. Make contact with the provider and develop a plan for joint monitoring of the participant’s activities and progress.

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
CW 63 (4/01)	Income and Eligibility Verification	Welfare to Work: Income and Eligibility Verification	
WTW 2 (12/12)	Employment Plan – Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7006 CW (6/00)	CalWORKs Employment Services Referral (This is an NCR form)	For referring a client to a training or other program, indicating client’s WtW status and eligibility for DOL-funded training (7004 CW)	
7039 CW (8/01)	CalWORKs Retention/Career Advancement Services Plan	A form to record referral to a Retention Service or Career Advancement provider and supportive services for persons employed 32 hours or post-aid. In lieu of a WTW 2/2A or a 7006 CW	
8014(15)	Authorization to Release Information	Standard DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	Spanish

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/20/07

73-10A: Work Study - CalWORKs

I. Introduction

CalWORKs Work-Study is not federal work-study and does not require that the student apply for or be approved for financial aid. CalWORKs Work-Study is administered by City College of San Francisco (CCSF), Office of Education and Training (formerly known as the CCSF Office of Workforce Education.)

The purpose of the CalWORKs Work-Study program at CCSF is:

- To place CalWORKs students in work activities that enable students to meet their work participation requirements for the CalWORKs program;
- To provide CalWORKs students with practical experience that will make them more marketable when they complete their educational program;
- To provide CalWORKs students with additional income.

Students on CalWORKs Work-Study will work on campus at CCSF or off-site where CCSF has an agreement with a work-study employer who may be in private business, a non-profit agency or government.

The HSA 9910 Public Service Trainee Program is a CCSF/CalWORKs Work-Study program.

II. Policy

A. CalWORKs Work-Study linked to CCSF enrollment in education or training

CalWORKs Work-Study students must be currently enrolled in CCSF. The enrollment requirements vary depending on the type of Work-Study assignment.

B. Work-Study earnings are exempt

The earnings from CalWORKs Work-Study must be reported on the monthly CW7 form but they are exempt so are not counted as income in CalWORKs. However, work-study earnings may affect Food Stamps. While Work-Study is a WTW activity, it is NOT considered a job placement,

C. CalWORKs as a WTW Activity

Because CalWORKs Work-Study is NOT linked to a need for financial aid, it is available to any CalWORKs student at CCSF who meets the minimum enrollment requirements. The participant may use the CalWORKs Work-Study to add to their participation hours, especially if finishing the last few credits or hours of program.

It is also a way to get initial paid work experience while in an education or training activity. Participants should be strongly encouraged to participate in this program at CCSF.

D. Grievance

At all points of decision, the ES should remind participants that they may appeal or grieve any Department decisions; they may consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's grievance process. (also see Section 77-1 Grievance Process.)

If participant have a grievance with a service provider or employer or other non-Departmental WTW assignment, the participant must exhaust that grievance procedure. If dissatisfied with the results, the participant shall report this to the ES and the Grievance Coordinator.

If this grievance process is unsatisfactory, refer the individual to the Employment Law Center or other appropriate agency, as outlined in Form 7035CW, "Avenues for Filing Various Employment-Related Complaints." This is also contained in Section 73-1; Unsubsidized Employment.

E. ADA Complaints

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities. Participants who have disabilities must be provided reasonable accommodations in gaining access to programs and employment.

The ES shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment (TVA) to plan for person with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the participant shall exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the participant may report this to the ES. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

III. Categories of CalWORKs Work-Study

City College of San Francisco (CCSF) has FOUR categories of CalWORKs Work-Study placements for CalWORKs participants:

- College On-Campus Work-Study
- Public Service Trainee, CCSF
- Public Service Trainee, HSA
- Private Industry Intern with MOU

Each category is described below. This is an evolving program. The description gives a general outline of each category. However, for the most current information, consult the Job Developer at the CCSF CalWORKs Office of Education and Training or the HSA Public Service Trainee Coordinator.

	CATEGORIES			
	COLLEGE CalWORKS ON-CAMPUS WORK STUDY	PUBLIC SERVICE TRAINEE		PRIVATE INDUSTRY INTERN WITH MOU
		CCSF (9910)	HSA (9910)	
Enrollment Limitations	Available throughout CCSF enrollment	Only during the last 6 months of the CCSF Program	None	Available throughout CCSF enrollment
Employer	City College	City College	HSA	Private business, non-profit agency or government agency
Location	Any CCSF instructional or office site	Any CCSF instructional or office site or other city agency as assigned	HSA site	Business site
Pay	Check w/CCSF On- Campus Coordinator	\$8.30 per hour	\$8.49 per hour	At least minimum wage; wage determined by Employer
Maximum Hours	Semester: 15 per week; Inter-sessions & breaks: 30 hours	32 per week	32 per week	Up to 40 per week as stated on the MOU agreement (Attachment

				"A")
CCSF Enrollment Requirements	Semester: 6 units credit or 12 hours non-credit. Summer: 3 units credit or 6 hours non-credit	A minimum of 3 credit units or 6 non-credit hours	A minimum of one course	A minimum of one course
Length	For one semester or summer session. Rehire needed each session	Up to 6 months. Non-renewable	Up to 8 months. Non-renewable	May continue throughout college enrollment period.
Verification of CalWORKs Work-Study	CCSF Student Personnel Employment Application or Student Personnel Rehire form	SF Community College District CCSF Employee Referral Form (DBO 166) or Human Resources Form (DBO 20)	City and County Notice of Exempt Appointee or other HSA hiring form or HSA Form 7016CW - Work Study Verification	"Attachment A" of Cooperative CalWORKs Work Study Off-Campus Agreement

IV. Process

A. To Obtain a CalWORKs Work-Study Assignment at CCSF

(Please refer to PIM #07-02, "City College of San Francisco Work Study" for more information on obtaining a work-study assignment.)

1. Contact CCSF CalWORKs Office of Education and Training

Placements in CalWORKs Work-Study positions are made by staff at the Office of Education and Training at the CCSF Evans Street Campus. CalWORKs students should contact the office for assistance at 550-4474.

2. Self-Developed Work-Study Opportunities

Students are encouraged to look for their own Work-Study position by inquiring at various CCSF departments and offices. They may also ask off-campus employers if they are interested in hiring a CCSF Work-Study student. If a position is found, the student must contact the CalWORKs Office of Education and Training for assistance with processing the position for CalWORKs Work-Study.

B. To Obtain a CalWORKs Work-Study Public Service Trainee position at HSA

HSA recruits periodically for the 9910 Public Services Trainee position. Contact the HSA CalWORKs Employment Support Services, Public Service Trainee Coordinator for information. The CalWORKs Job Developers, Trainers and Employment Specialists are informed when recruitment is open.

C. Documenting Work-Study

See the chart above for the methods of verification for each type of CalWORKs Work-Study.

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
CW 7 (10/98)	Monthly Eligibility Report for Cash Aid and Food Stamps	Welfare to Work: Employment verification	
WTW 2 (12/12)	Employment Plan – Activity Assignment	This CDSS-required form specifies up to two welfare to work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7035 (7/99)	Avenues for Filing Various Employment Related Complaints	A listing of agencies (with phone numbers) for filing grievances related to discrimination or employment conditions - a handout for participants	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/1/12

73-10B: Work Study - Federal (Financial Aid)

I. Introduction

This section refers to those students NOT enrolled in City College of San Francisco (CCSF) who are eligible for a category of federal funds that enable students to earn income while they are enrolled in an academic program of study. The program is generally administered through the financial aid offices of colleges and universities for their students. Students on federal Work-Study generally work on site at the educational institution, or off site where the educational institution has a contract with the Work-Study placement site.

There is also a comparable state work-study program at some campuses. At City College of San Francisco (CCSF). All CalWORKs participants interested in Work-Study should be encouraged to inquire about the CalWORKs state-funded program (see Section 73-10A: Work-Study - CalWORKs).

II. References

A. References from the Law and Regulations

CDSS All County Letter (ACL): 97-72: VI A(1)(h)
Welfare and Institutions Code (WIC): Section 80. §11322.6

B. References from San Francisco's Welfare to Work Operations Plan

Section IV G(1)

C. Cross-references to other sections of this Handbook

Section 72-3: Employment Plan
Section 72-4: Self-Initiated Program
Section 73-12: Vocational Education and Training (Certificate Program)
Section 73-13: Education Leading to Employment (Degree Program)
Section 73-14: Other Job Skills Training Directly Related to Employment
Section 75-2: Referral Procedures

III. Policy

A. Work-Study linked to enrollment in Education or Training

Federal Work-Study is part of a financial aid package offered by a college or university. It may be a WTW Activity if a Participant is enrolled in an approved education or vocational training program. A student must maintain at least 12 units and a minimum 2.0 GPA (grade point average) in order to be eligible for federal Work-Study.

B. Work-Study earnings are Exempt

The earnings from Work-Study must be reported but they are exempt so are not counted as income. While Work-Study is a WTW Activity, it is NOT considered a job placement.

C. Treatment of Financial Aid

Students receive federal financial aid in the form of educational grants, scholarships, loans and work-study.

In order to ensure that there are no duplications of supportive services payment, case files must show documentation, using the Student Financial Aid Statement (WTW 8), of all determinations related to the impact of financial aid on supportive services payments.

It is at the discretion of the Participant whether or not they choose to use CalWORKs to pay supportive services or use their financial aid.

IV. Process

A. To Obtain Federal Work-Study Assignment

The Participant should contact the Financial Aid or the Work-Study Office at the educational institution where he/she is a student:

B. How local institutions handle Federal Work-Study

1. San Francisco State (Phone: 338-2612)

According to the San Francisco State University Work-Study Coordinator, jobs are generally 20 hours per week and they pay \$6.26 to \$12 per hour, with most around \$7 per hour. They post the jobs on their phone line, and it is first come, first served. Most who apply for Work-Study are successful, however, persistence pays off.

2. City College

Participants who enter WTW in Self-Initiated Programs (SIP) may already be receiving federal financial aid and as a part of the package, federal work-study.

Encourage these participant to inquire about the CalWORKs Work-Study by contacting the Office of Workforce Education at the CCSF.

3. Other education and training institutions

Other colleges and universities participate in federal Work-Study programs. Inquiries should be made to the financial aid office.

C. When Work-Study is a WTW Activity

1. Documenting Work-Study

When the Participant is hired in Work-Study, he/she must present the documentation of the expected hours to the Employment Specialist.

2. Include in the Employment Plan if the hours are needed

If the Participant needs to count the Work-Study assignment in order to comply with the hourly Participation Requirements (see Section 71-3), then the Work-Study assignment must be part of the Employment Plan.

3. Ensure that there is no duplication of supportive services or payments by financial aid

Some institutions or institutional aid programs may provide child care, transportation, assistance with books and supplies. The Employment Specialist must complete Form WTW 8 (Student Financial Aid Statement) to ensure that the Participant is not receiving duplicative services or financial assistance.

It is at the discretion of the Participant whether or not they choose to use CalWORKs to pay supportive services or use their financial aid.

D. Monitoring Work-Study Participation

The Participant must send copies of pay stubs with the total hours worked. This way the Employment Specialist can track participation for Work-Study. An interruption or change in federal Work-Study status may imply a problem with satisfactory academic progress.

The primary focus of the monitoring should be the Training or Education Activity that is concurrent with Work-Study.

E. Grievance

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department’s process. (See Section 77: Grievances)

If Participants have a grievance with an educational institution or the work-study employer, the Participant must first exhaust that grievance procedure.

If dissatisfied with the results, the Participant shall report this to the Employment Specialist and may contact the Department’s Civil Rights Office for advice or to file a complaint. Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

F. ADA Compliance

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities.

Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as targeted assessment to plan for persons with disabilities.

Should a specific program seem to be in conflict with ADA, the Participant shall exhaust that program’s grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and to the Department’s Civil Rights Office. Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

V. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

VI. Forms

Form #	Form Name	Purpose	Language
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Welfare to Work Handbook

WTW 2 (12/12)	Employment Plan and Activity Assignment Detail	This specifies up to two welfare to work activities that the Participant is committing to engage in. (On the reverse side of the WTW 2) Basic objectives and strategies of the Employment Plan.; describes the method(s) for monitoring the Participant's progress in the activity(ies) in the WTW 2.	Chinese Russian Spanish Vietnamese
WTW 8 (6/04)	Student Financial Aid Statement	To determine other financial resources available for supportive services	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 7/10/00

73-11A: Adult Basic Education - ESL

I. Introduction

Low English proficiency is a barrier to obtaining and retaining stable employment that will lead to self-sufficiency. English as a Second Language (ESL) and Vocational English as a Second Language (VESL) consist of education for persons who must acquire or improve their English language skills. ESL/VESL needs must be addressed during appraisal and assessment with participants for whom English is their second language.

II. References

A. Additional References from the Law and Regulations

All County Letters (ACL): 00-30, CalWORKs WTW Program Services for Limited-English Proficient Individuals, May 4, 2000

III. Policy

A. ESL, VESL studies support employability and self-sufficiency

A Participant who has low English proficiency shall be assigned to participate in ESL/VESL activities when it is deemed appropriate and necessary to:

- Remove barriers to employment, or
- Enhance employment opportunities and/or
- Assist in the advancement towards self-sufficiency.

When assessment indicates a need for ESL/VESL education, the Employment Specialist must strongly encourage the Participant to include these activities in the Employment Plan. The ESL/VESL needs must be addressed when considering assignment to a vocational training or education activity. It may be helpful to engage the Client Advocate to resolve issues and support ESL/VESL activities.

Every Participant who wishes to acquire English language skills, or improve their English language skills, shall have the opportunity to include ESL/VESL activity in his/her Employment Plan (WTW 2/2A).

If additional hours are not needed to meet participation requirements, the Participant may volunteer to attend ESL/VESL classes. However, if supportive services are needed in order to participate in ESL, the activity shall be included in an Employment Plan.

B. Refer to ESL Testing

Refer all Participants for whom English is the second language for testing

- During assessment or
- When completing the Case Review and/or
- When developing a new Employment Plan.

The CalWORKs program offers ESL testing on a regular schedule, using the CASAS testing instruments. City College of San Francisco (CCSF) also provides ESL testing.

C. Apply test results

Follow these guidelines upon receipt of the CASAS test results:

1. The CASAS test results shall be used to assist in determining the appropriate type and length of the ESL/VESL program.
2. Consult with the Vocational Assessor who will provide interpretive information about CASAS test results utilizing CASAS Test Administration Directions and other available information.
3. When proficiency is low, referral to the VESL Immersion Program (VIP) or a similar immersion program may be appropriate as a first activity, prior to job search or assignment to another WTW activity.

The CASAS test has scale scores that range from 150 to 250. The definition of a "low" CASAS score is a scale score of 200 or below.

4. The English level must be reviewed in relation to the employment goals when developing the Employment Plan.
5. The CASAS test results shall be used to assist in identifying appropriate vocational training or education programs.
6. A CASAS score of 230 or above indicates the individual may be ready to participate in GED preparation classes. Evaluate the interest and need for this activity in relation to the overall employment goals and Employment Plan.

7. Regardless of test scores, every Participant who wishes to acquire English language skills shall have ESL/VESL included in the Employment Plan.

D. ESL/VESL Immersion

Referral to the VIP (Vocational ESL Immersion Program) or similar immersion programs shall be an option for individuals with low English proficiency. Immersion as an activity is not limited to individuals with CASAS scores of 200 or below. An immersion program may be appropriate at any time during participation in WTW.

Example: A referral to an immersion program may be appropriate as an up-front activity or during a break in training or after training if during job search language is determined to be a barrier to employment in the field for which the individual was trained. A refugee may have a high level of employment skills but require a language immersion program in order to find work in his/her field.

ESL/VESL Immersion is usually a "stand alone" activity because it requires full time participation in a time-limited program.

ESL/VESL Immersion activity must be part of an Employment Plan (WTW 2/2A).

E. ESL or VESL studies must be concurrent with other WTW Activities

With the exception of the immersion program, ESL/ VESL is not a stand-alone activity. The ESL/VESL activity must be engaged in concurrently with other WTW activities that are employment related.

F. Targeted Vocational Assessment assists in selecting WTW activities

Refer Participants who have low English proficiency for Targeted Vocational Assessment (TVA) according to the TVA referral guidelines. TVA is required when the Participant is changing their vocational goal, entering a new career, or has not succeeded in a training program. This targeted assessment must offer adequate interpretive and/or translation services so that the individual can participate fully in the evaluation process.

Please see the handbook section on Assessment, Section 72-2, effective: 5/5/05 for more details.

A TVA is recommended whenever the Employment Specialist and the Participant need assistance in determining the appropriate combination of activities for a Participant with low English proficiency, including consideration of referral to an immersion program.

G. ESL/VESL studies must be from an approved provider

Participants engaged in ESL/VESL activities must receive these services from an approved provider. Approved providers include programs operated by the school district, the community college, and CalWORKs service providers.

H. Non-compliance

If the recipient refuses to sign the plan, or subsequently fails to participate in the activity, follow the procedures for Third Party Assessment or Compliance as appropriate.

I. Document services

Clearly document in the case narrative in CalWIN all the assessment, referral and monitoring activity, as well as the compliance activity if applicable, by the Employment Specialist with the Participant.

IV. Process

A. ESL test scores required

All Participants for whom English is the second language must have ESL test scores in their case file.

1. CASAS testing

ESL testing is currently being offered at every CalWORKs Orientation.

If the Participant attended CalWORKs Orientation previously and was not tested, arrangements for ESL testing must be made. The Participant may be scheduled by the Employment Specialist or by contacting the ESS Assessment Unit Clerk at 557-6346.

2. Other ESL test scores

ESL test scores from CCSF or another provider of ESL instruction may be accepted in lieu of CASAS scores.

The scores must be from a standardized ESL test. The Participant must have taken the test within the last six (6) months. If the scores are older than six (6) months, refer to CASAS testing.

To confirm if the ESL testing instrument is acceptable, consult with the Vocational Assessor. The assessor will provide interpretive information for the test results using appropriate documentation provided by the publisher of the test.

If another ESL test is administered, low proficiency would be determined by a score equivalent to the CASAS score of 200.

B. Grievance

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77: Grievances)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

C. ADA Compliance

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities. Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as targeted assessment to plan for persons with disabilities.

Should a specific program seem to be in conflict with ADA, the Participant shall exhaust that program's grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and to the Department's Civil Rights Office. Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

V. Determining Progress

The Employment Specialist must monitor the Participant's progress in the activity. This may be done directly and/or through the school or CalWORKs provider that is providing the ESL/VESL instruction. See Section 75-4: Progress Monitoring.

A. Progress and ESL/VESL

When the Participant is enrolled in CCSF, attendance in non-credit ESL classes will be periodically reported through CCSF data match. At the end of the semester, the ESL/VESL

instructor will make recommendations for the individual to either: progress to another level of instruction, continue in the current level or end the activity.

The CalWORKs provider is required to report monthly attendance and progress.

The Employment Specialist has discretion in recommending and determining when a Participant should continue or end an ESL/VESL activity based on their review of attendance and progress reports.

B. Evaluation of Unsatisfactory Progress

If the Participant is not making satisfactory progress in the ESL/VESL course, it may be necessary to refer the individual for a targeted assessment to determine if there is some physical or mental health problem or other barrier that is preventing their progress. This targeted assessment must offer adequate interpretive and/or translation services so that the individual can participate fully in the evaluation process. (Refer to Section 75-5: Evaluation.)

VI. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW2A	Employment Plan and Activity Assignment Detail	(On the reverse side of the WTW 2) Basic objectives and strategies of the Employment Plan.; describes the method(s) for monitoring the Participant's progress in the activity(ies) in the WTW 2.	Chinese Russian Spanish Vietnamese
7000CW	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	Chinese Russian
7024CW	Monthly Attendance and Progress Report	CalWORKs service providers shall report attendance and progress on this form.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/16/19

73-12: Vocational Education and Training (Certificate Program)

I. Introduction

Vocational Education and Training is a Welfare-to-Work (WTW) Activity, provided it is in a field and program that will not only lead to employment but also is consistent with the Participant's past (or present) work experience, aptitudes and/or abilities.

For Self-Initiated Programs (SIPs) in vocational education and training programs, this will be the WTW Activity that appears on their Employment Plans.

II. References

MPP 42-721

III. Policy

A. Determining the appropriateness of Vocational Education and Training

This is a program option for Participants at Level II, Medium Market Connection, or for Participants who have had a Targeted Vocational Assessment that indicates this programmatic choice.

B. If the Participant is already enrolled in a Certificate Program

If the Participant was enrolled in the vocational education or training program upon entry to CalWORKs, follow the process for SIPs (Section 74-2, Self-Initiated Program).

C. Required program standards

The term "Vocational Education and Training" is used in San Francisco's Welfare to Work Program to indicate a certificate program. Many of these are listed in the CalWORKs Employment Services Directory.

D. Tuition

The Participant must explore and apply for financial aid at the educational institution prior to obtaining Department assistance with any necessary ancillary costs, e.g., books, tools, uniforms, equipment. Grants of financial aid will be documented on the Student Financial Aid Statement (Form WTW 8).

E. Grievances

At all points of decision, the Case Manager should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Case Managers should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77-1: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare-to-Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Case Manager and the Grievance Coordinator.

F. ADA considerations

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities.

Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Case Manager shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant must exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Case Manager. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

A. Selecting the Program

1. Considerations for choosing the most appropriate Vocational Education and Training program

- a. Will the program accommodate the Participant's time limits?

- b. Will the program provide quality training that fits with the Participant's entering skills and occupational goal?

Consider whether a Targeted Assessment is indicated:

- Is a Targeted Assessment indicated for gaining a better understanding of the Participant's interests and abilities?
 - Will a Targeted Assessment be required for the Participant to demonstrate that he/she meets the qualifications for entry to the program?
- c. Will the Participant be employable on completion of the program? What is the growth potential for that occupation?
 - d. Is the program accessible to the Participant, considering linguistic and cultural factors, transportation and child care arrangements?
 - e. Does the program have a job placement component and a good placement record?

2. Encourage these options

Participants should be encouraged to enroll in the following programs if they meet their training needs:

- City College of San Francisco (CCSF) offer the greatest variety of certificated vocational training programs in the City. More information can be found at the CCSF website: www.ccsf.edu or visiting the CalWORKs Counseling Office at the Ocean Campus.
- Other Workforce programs funded through WIA, CDBG, or other federal, state or local funds. Information on many of the City's non-WTW funded training programs can be found on the Office of Economic and Workforce Development website: <https://oewd.org/workforce>.

The training programs include:

- Health Care Academy (Health care and related fields)
- City Build (Construction, Trade and Union jobs and training)
- TrainGreen SF (Jobs and training in the "Green" industry)

(See the following link for more information on training and job information at the Office of Economic and Workforce Development.)

<https://oewd.org/workforce>

- CalWORKs participants are categorically income eligible for WIA-funded training programs and services. Clients will need to apply for and follow through with the WIA

certification process and be found eligible, including such eligibility factors residency, Selective service registration, if required, etc.

- Individual Referral (IR) is a method by which the HSA may pay for training in a program that the Participant identifies, as long as it is a program that will lead to employment. Individual Referral opportunities are quite limited, however.
- Is Work-Study an option for the Participant? Is it available? (See Section 73-10: Work-Study)

3. Address Financial Considerations

Some private institutions, in particular, charge very high tuition, and they offer loans and "scholarships" which may sound good but in fact will burden the student with a large debt. Case Managers should steer Participants away from these programs unless there is a compelling reason for enrolling in one of them. If a Participant insists on enrolling, the Department cannot disapprove the program for this reason alone. Nevertheless, CalWORKs will not pay tuition.

Community Colleges (e.g., City College) are able to waive tuition and fees for CalWORKs Participants and arrange for financial aid as needed.

TIPS
<ul style="list-style-type: none"> ▪ Work through the arithmetic of income and expense so that they will see this is an expense they will most likely not be able to afford, i.e., dollar amounts for rent, food, clothing, transportation, and loan repayment against the expected income for that profession. ▪ Explain the advantage of going through City College where they will become familiar with an institution that can serve them for a lifetime at very little expense. ▪ Suggest other options that are less financially burdensome and that will lead to employment. ▪ Caution them about the impact on their credit rating if they should default on a loan - that this will affect their ability to secure credit cards, other loans they might want in the future (a car or furniture, for example), or in renting an apartment. ▪ If the client insists on taking a loan, make a note in the case file that this was discussed and that other options were presented.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Welfare to Work Handbook

Form #	Form Name	Purpose	Language
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW 8 (1/98)	Student Financial Aid Statement	To determine other financial resources available for supportive services	
7000 CW (3/98)	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	Chinese Russian
7002 CW (3/98)	Participant Overview	This is a summary of the information captured in the Participant Background Form, an assessment tool for the Employment Specialist.	
7006 CW (4/99)	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WTW status and eligibility for DOL-funded training (7004 CW).	
7017 CW (4/98)	CalWORKs Welfare to Work Request for Approval of Self- Initiated Education or Training Program	Detailed information provided for SIP approval and required supervisory signatures.	
7018 CW (8/99)	Important Notice for Students in Programs that last longer than 24 months	An informing notice to be reviewed and signed whenever a training or educational program will end beyond the allowed 24 months of WTW Activity time limits. The notice explains the impacts on cash aid and other financial benefits of continuing the program.	
7024A CW (3/12)	CalWORKs Attendance Report - Contract	CalWORKs service providers shall report attendance and absences on this form. The ES shall fax/mail a form with identifying information completed at the start of the Activity (with the WTW 2 and 2A).	
8014(15)	Authorization to Release Information	Standard DHS form for client signature – ES must have a client's authorization before communicating with any agency or party outside DHS about the client.	
8023 (12/83)	Assistance Verification Letter	A general HSA form used to verify public assistance for recipients, signed by the ES.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <https://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 4/12/12

73-13: Education Leading to Employment (Degree Program)

I. Introduction

The term "Education Leading to Employment" in CalWORKs terminology denotes an educational program;

- at an approved public or private postsecondary educational institution,
- which will lead to a degree,
- that will, in turn, lead to employment.

For Participants who are in Self-Initiated (educational) Programs (SIPs), this will be the WTW Activity that appears on their Employment Plans.

II. Policy

A. If the Participant is already enrolled in a degree program

If the Participant was enrolled in the educational program upon entry to CalWORKs, follow the process for SIPs (Section 72-4: Self-Initiated Program).

B. Education must be in a degree program

Under this activity, the completion of the educational program must result in a degree: AA, AS, BA, BS, or MA (for teaching certification only).

C. Education must be in an approved institution

The degree program that the Participant is enrolled in must be in a public college or university, or a private college or university that is accredited or exempted by the Bureau of Private Postsecondary and Vocational Education (BPPSVE) or by the Western Association of Schools and Colleges (WASC). A list of accredited Bay Area schools may be found in the CalWORKs Employment Services Directory, in the section marked "Other."

D. Education must be in a field of study that will lead to employment

Areas of study that are determined to "lead to employment" are listed in the City College listings in the CalWORKs Employment Services Directory. Any field of study not included in this

list will require that the Participant and the Employment Specialist make a good case for an exception.

E. Limits on post-graduate degree programs

The only post-graduate degree program under this WTW Activity that is allowed for CalWORKs participants is one in a college or university with an approved teacher credential preparation program that will lead to a California regular classroom teaching credential.

F. Other education not addressed above

Any other education plans that the Employment Specialist believes will lead to employment should be reviewed with the Supervisor and Section Manager.

G. Support academic progress

Persons making progress will be encouraged to continue with their education programs and will be supported within the limits of the CalWORKs regulations.

If the education program is expected to continue beyond the 24 months allowed by WTW, the individual must be informed of the impact that staying in school will have on their benefits.

H. Financing the study activity

The Participant must explore and apply for financial aid at the educational institution prior to obtaining Department assistance with any necessary ancillary costs, e.g., books, tools, uniforms, equipment.

I. Grievances

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

J. ADA considerations

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities. Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant shall exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Employment Specialist. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

III. Process

A. Address Financial Considerations

Financial aid, scholarships, and work-study are the avenues for participants to pursue to finance their education. (See Section 73-10: Work-Study.) Document grants of financial aid on the Student Financial Aid Statement (Form WTW 8).

1. Beware of tuition loan and "scholarship" programs

Some private institutions, in particular, charge very high tuition, and they also offer loans and "scholarships" which may sound good but in fact will burden the student with a large debt. Employment Specialists should steer

Participants away from these programs unless there is a compelling reason for enrolling in one of them.

If a Participant insists on enrolling, the Department cannot disapprove the program for this reason alone. Nevertheless, CalWORKs will not pay tuition.

TIPS

- Work through the arithmetic of income and expense so that they will see this is an expense they will most likely not be able to afford, i.e., dollar amounts for rent, food, clothing, transportation, and loan repayment against the expected income for that profession.

- Explain the advantage of going through City College where they will become familiar with an institution that can serve them for a lifetime at very little expense.
- Suggest other options that are less financially burdensome and that will lead to employment.
- Caution them about the impact on their credit rating if they should default on a loan - that this will affect their ability to secure credit cards, other loans they might want in the future (a car or furniture, for example), or in renting an apartment.
- If the client insists on taking a loan, make a note in the case file that this was discussed and that other options were presented.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW 8 (1/98)	Student Financial Aid Statement	To determine other financial resources available for supportive services	
7000CW (3/98)	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	Chinese Russian
7002CW (3/98)	Participant Overview	This is a summary of the information captured in the Participant Background Form, an assessment tool for the Employment Specialist.	
7006 CW (4/99)	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WTW status and eligibility for DOL-funded training (7004 CW).	
7017 CW (4/98)	CalWORKs Welfare to Work Request for Approval of Self- Initiated Education or Training Program	Detailed information provided for SIP approval and required supervisory signatures.	
7018 CW (8/99)	Important Notice for Students in Programs that last longer than 24 months	An informing notice to be reviewed and signed whenever a training or educational program will end beyond the allowed 24 months of WTW Activity time limits. The notice explains the impacts on cash aid and other financial benefits of continuing the program.	

Section 73 - Welfare to Work Activities

7024A CW (3/12)	CalWORKs Attendance Report - Contract	CalWORKs service providers shall report attendance and absences on this form. The ES shall fax/mail a form with identifying information completed at the start of the Activity (with the WTW 2 and 2A)	
8014(15)	Authorization to Release Information	Standard DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	
8023 (12/83)	Assistance Verification Letter	A general DHS form used to verify public assistance for recipients, signed by the ES.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/30/99

73-14: Other Job Skills Training Related to Employment

I. Introduction

These are short-term, targeted training activities to enhance skills and a Participant's access to employment or advancement. If a training activity can be appropriately classified under another WTW Activity, do so.

This categorization is for WTW Activities that both meet the definition above and do not fit in any other category.

Examples of training activities that would fit in this category are:

- Training to pass a test to get a Class B driver's license
- An internship
- A volunteer assignment (e.g., additional hours added to a Work Experience assignment that are uncompensated but that help the Participant to meet WTW participation requirements and/or to obtain additional work experience and job skills)
- A training activity that might be concurrent with Work Experience, Unsubsidized Employment, or some other WTW Activity.

This activity will usually be concurrent with other more primary activities. OR, this WTW Activity may occur as an interim choice - helping a Participant to improve skills in some area while waiting to enter employment, or an educational or training activity.

II. Policy

This activity is meant to accommodate the need for Participants to acquire skills that are not part of a certificate or degree program. These kinds of efforts are eligible Welfare to Work Activities if they otherwise support the employment goal and any concurrent WTW activities. This may also be a choice for those times when Participants are waiting for their main WTW Activity to begin - training, education or employment - and this could be an interim activity.

This category has the flexibility to accommodate a variety of training activities that do not "fit" in other categories.

A. Grievances

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

B. ADA Considerations

The Americans with Disabilities Act (ADA) ensures that people with disabilities are protected from discrimination and requires programs and employment opportunities to be accessible to people with disabilities.

Participants who have disabilities must be provided reasonable accommodation in gaining access to programs and employment.

The Employment Specialist shall utilize the services of the Department of Rehabilitation as well as Targeted Vocational Assessment to plan for persons with disabilities.

Should a specific program or employer seem to be in conflict with ADA, the Participant shall exhaust that program's (or employer's) grievance procedure. If dissatisfied with the results, the Participant may report this to the Employment Specialist. In cases in which the Department has a contractual relationship with the program or employer giving rise to the complaint, the Department's Civil Rights Office may be of some help.

Another resource in this regard is the Employment Law Center, which can counsel clients about these kinds of issues and how to handle them most effectively.

III. Process

A. Confirm that the training is directly related to employment

Examples of "related to employment" may include the following:

- The Participant may need to learn a specific computer program or increase his/her typing speed in order to better qualify for employment or for advancement;

- A Vocational Assessor may recommend a specific kind of training class or experience that will increase the Participant’s employability;
- An employer may make a job offer contingent upon the Participant’s acquiring a specific skill or license.

B. Confirm that the training is consistent with the Assessment

Make sure that the training is of a kind and at a level that will meet the Participant’s needs and abilities, as determined by any assessments that may have been done.

C. Work with the Participant to arrange for the training

Some resources include:

- Computer Lab at Express to Success Center
- CBO or City College resources (consult the CalWORKs Employment Services Directory)

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
8014(15)	Authorization to Release Information	Standard HSA form for client signature – ES must have a client’s authorization before communicating with any agency or party outside HSA about the client.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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	Effective:

73-15A: Job Search and Job Readiness Activities

SECTION PENDING REVISION AND UPDATES

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 9/21/18

73-16: Mental Health and Substance Abuse Services As a WTW Activity

I. Introduction

NOTE: *Section 74-2 provides a detailed description of Substance Abuse and Mental Health Services. That section should be referenced in order to provide a more complete picture of this subject. This section is limited to the procedures for making Substance Abuse and Mental Health Services a WtW Activity.*

Assessment and treatment services for recipients who are experiencing substance abuse and mental health problems will be provided in recognition that these problems can be barriers to preparing for, getting, and keeping employment. Richmond Area Multi-Services (RAMS) is the agency that HSA has contracted with to provide these services.

A Recipient/Participant is not required to use RAMS Counseling Services. He/she may already have a treatment provider or may choose to secure the treatment services of a private provider. Whether the Mental Health or Substance Abuse services are delivered by RAMS Counseling Services or by another community or private provider, the services may be a WtW Activity and included in the Employment Plan.

II. Policy

A. Treatment Services as WtW Activity

Treatment services may be counted as a WTW Activity when they are determined to be necessary to obtain and retain employment.

1. The Employment Plan shall be based on the results of the evaluation.

Using the information provided by the treatment provider and the Participant, the Employment Specialist shall work with the Participant to develop an Employment Plan that includes the needs for Substance Abuse and/or Mental Health Services.

B. Time limits on services

No Recipient/Participant may participate in a substance abuse treatment program for longer than six months without concurrently participating in a work activity. However, if the Recipient/Participant is in a residential treatment program or an intensive day treatment

program that requires to stay at the program site or otherwise not to participate in non-program activities, the requirements of the treatment program shall fulfill the work activity requirement.

C. Confidentiality

A release of information shall be obtained in order to assure monitoring of Participants. Use the Authorization to Release Information (Form 8014).

D. Noncompliance

1. Noncompliance with Treatment Plan

If the Participant is out of compliance with his/her treatment plan, as approved for a WtW Activity, the Employment Specialist shall work with the Substance Abuse and Mental Health counselor or other providers to resolve the problem. (See Section: 74-2: Mental Health and Substance Abuse Services.)

2. The substance abuse or mental health problem may be the cause of the noncompliance

The determination of whether the Participant has good cause to be out of compliance shall include consideration of whether the substance abuse problem caused or substantially contributed to the failure to comply with the program requirements.

In making this determination, the Employment Specialist must consult the treatment provider, as appropriate.

E. Grievance

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77-1: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

1. Grievance related to RAMS services

When the Participant signs the RAMS form, Consent for Mental Health Services, a copy of RAMS's grievance procedure will be given to them. If they have a grievance with RAMS, they will need to follow this procedure prior to filing a grievance with HSA.

III. Process

A. If RAMS is the service provider

If the services are to be provided within the client's Employment Plan, RAMS Counseling Services will complete the RAMS Counseling Services Assessment Summary (7007CW), send it to the Employment Specialist, and give a copy to the client. This report will indicate if treatment is warranted, and it has a section, "Recommendations for Welfare to Work Plan," in which the Clinician outlines the time parameters for making mental health services a WTW activity.

When RAMS is the service provider, the Employment Specialist will be notified of the Participant's compliance via the Monthly Counseling Services Progress Report Form (RAMS's form).

B. Other providers

If the Participant is receiving Mental Health or Substance Abuse Services from another provider, the Employment Specialist and the Participant will make a plan for how the compliance with treatment will be reported.

Document the number of hours or the schedule of treatment, but not the details of treatment.

C. Employment Plan to include appropriate accommodations or restrictions and supportive services

If it is recognized that the client will need treatment while engaged in work activities, the Employment Plan will include this WTW Activity. The plan will also include appropriate employment accommodations or restrictions and supportive services needed, based upon the treatment provider's clinical judgement.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish

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			Vietnamese
7000CW	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	
7007 CW	RAMS Counseling Services Assessment Summary	This form is to be used for assessments for Mental Health and Substance Abuse Services, through the RAMS.	
7008 CW	CalWORKs Client Request for Counseling Services Referral Form (RAMS)	The ES completes this form when referring a participant for mental health or substance abuse services, through RAMS on-site Counselors at DHS.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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	Effective: 8/29/18

73-17: Domestic Violence Services as WTW Activity

I. Introduction

CalWORKs domestic violence policies were developed to identify and assist CalWORKs domestic violence (DV) victims and survivors to obtain employment, and to become economically self-sufficient.

This Handbook section focuses on developing an Employment Plan (WTW 2/2A Form), according to each family’s situation. The goal of each plan is to help participants who are affected by DV restore and improve their lives without placing their family at further risk. This includes waiving Welfare-to-Work (WTW) program requirements.

Participants who are victims or survivors of domestic violence may have their WTW participation requirements waived in accordance to policies and procedures described in the WTW Handbook Section 71-6: Domestic Violence and Welfare-to-Work.

The complete review of domestic violence criteria, as it relates to the CalWORKs program, is referenced in the CalWORKs Eligibility Handbook Sections 50-30 to 50-39.

II. Policy

CalWORKs Domestic violence policies help to balance the unique security and safety needs of participants affected by DV, by giving them the opportunity to achieve independence and economic self-sufficiency through work.

A. Volunteer Participants

Participants are considered “volunteer participants” when they elect to participate in WTW activities, although they qualify for a DV waiver, and are engaged in a CalWORKs DV Service Plan (7025 CW or 7025A CW). An Employment Plan (WTW 2/2A) is required for all voluntary participants. All DV related activities may be included in the Employment Plan as DV services. WTW participation is mandatory for DV victims or survivors who refuse a DV waiver.

B. Allowable DV Services

An Employment Plan may consist of various DV services. These services include, but are not limited to the following activities:

- Participation in abuse counseling, legal services, and court proceedings related to the abuse,
- Medical treatment and other support services for abuse survivors,
- Relocation activities,
- Naturalization classes for immigrant battered women;
- Substance abuse treatment programs;
- Child counseling and parenting skills training;
- Immigration services, and
- Independent living skills training, and financial planning.

Note: DV Services are also referenced in WTW Handbook Section 71-6: Domestic Violence and WTW

C. Supportive Services

Participants qualify for CalWORKs Child Care and Transportation benefits for all DV related activities and services.

La Casa de Las Madres is the primary advocacy provider to HSA CalWORKs families experiencing DV. HSA partners with La Casa de las Madres to provide a tailored support system for DV victims and survivors, to overcome obstacles which hinder participants from providing stability for their family.

D. Confidentiality

Prior to communicating with all DV service providers, the Case Manager must document that the participant completed and signed an "Authorization to Release Information" form (Form 8014). The Case Manager must inform participants that by completing and signing Form 8014, they are giving HSA permission to monitor their attendance and participation with the service provider.

III. Process

A. Assessment and Participation in Welfare-to-Work

Case Managers should not presume that participants who are experiencing DV abuse are unable to participate in WTW activities. Participants should be encouraged to engage in activities and services which foster their well-being and empower their lives. Each recipient must be given the choice to participate. A complete assessment is required for volunteer and mandatory participants to determine what activities and services to offer.

B. Determine Domestic Violence Services

Case Managers must work with the participant and the Domestic Violence Advocate to identify the most suitable DV services. WTW activities should be assigned to reduce the participant's barriers, and to address underlying issues on a case-by-case basis. Information in the Employment Plan should be included detailing how the DV services will be monitored by the Case Manager or the DV Advocate.

NOTE: DV Service Plans are monitored by the DV Advocate.

C. Participation Monitoring

Case Managers must monitor participation in all activities included in the Employment Plan. Progress reports can be obtained from DV Advocates according to reporting procedures established for La Casa de las Madres. Follow the instructions for monitoring other providers according to the service provider's established procedures

D. Noncompliance

All participants must comply with the agreed upon Employment Plan in order to receive supportive services. Participants may be granted good cause on a case-by-case basis.

When a participant is not in compliance with the Employment Plan, procedures in the WTW Handbook Section 71-6: Domestic Violence and WTW, and in the Noncompliance WTW Handbook Sections 76-1 thru 76-4 must be followed.

E. Good Cause Determination

There is no financial sanction for a noncompliant volunteer participant. Good cause is demonstrated if a participant did not participate due to DV abuse. The participant must be granted good cause if DV abuse caused or contributed to the participant's failure to comply with the Employment Plan activities.

During the evaluation process, Case Managers must be sensitive and attentive to participants in crisis. DV victims and survivors must not be penalized for missing activities, such as trainings or appointments, due to circumstances beyond their control.

F. Third Party Assessment

The Case Manager must partner with La Casa de las Madres (Domestic Violence Advocate) to develop a tailored Employment Plan (WTW 2/2A). If the participant does not agree to include DV services in her/his Employment Plan, the Case Manager must consider scheduling a Multi-Disciplinary Team (MDT) meeting. The MDT process is outlined in the WTW Handbook Section 71-6: Domestic Violence and Welfare-to-Work.

If the Case Manager and participant are unable to reach an agreement, refer the case for an "independent third party assessment." The CalWORKs Program Manager will identify a resource to perform the "Domestic Abuse Third Party Assessment."

G. The Grievance Panel

Case Managers must inform participants that they may grieve or appeal any department decision. Participants may contest grievable issues during any stage during the development of their Employment Plan. HSA’s internal dispute resolution process is performed by the Grievance Panel.

If the participant’s dispute or complaint is regarding a non-departmental WTW assignment, such as a non-contracted service provider or an unsubsidized employer, the participant must use the dispute or complaint process offered by the service provider or employer. The participant must resolve the dispute or complaint by using the service provider’s established process. Participants should report unresolved disputes to their Case Manager, and to the Grievance Coordinator.

For more information on this, consult the WTW Handbook Section 77-1: Grievance Process.

H. California State Hearing Appeal

Case Managers must inform participants that they may submit an appeal regarding department decisions through the California State Hearing Fair Hearing Process. Participants may request a State Fair Hearing in accordance to the State appeal process. Information regarding the State Hearing Process is on the back of the Notice of Action form issued to the participant.

I. Client Advocates and Other Representation

Case Managers must notify participants that they may consult Bay Area Legal Aid, La Casa de las Madres, or the client advocate of their choosing. The Client Advocate is viewed as an ally in resolving participant complaints and grievances.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form#	Form Name	Purpose	Language
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese

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7025 CW (12/12)	CalWORKs First DV Service Plan (Domestic Violence)	Used by DV Advocate and participant to request a waiver of WTW time limits or work requirements and outline a service plan designed to provide safety and lead to work. Signed by the DV Advocate and participant, ES and Unit Supervisor.	Chinese Russian Spanish Vietnamese
7025A CW (3/13)	CalWORKs DV Service Plan Extension (Domestic Violence)	DV Service Plan Extension is completed when a second or subsequent DV Service Plan is needed. Consultation is required. Approval signatures include DV Advocate, client, Advocate's Supervisor, ES and Unit Supervisor.	Chinese Russian Spanish Vietnamese
7055CW (1/13)	Counseling Services Progress Report	This form is used by RAMS for reporting progress of clients participating in counseling services.	
7056CW (12/12)	Domestic Violence Services Progress Report	This form is used by Homeless Prenatal Program for reporting progress of clients participating in DV services.	
8014(15)	Authorization to Release Information	Standard DHS form for client signature – ES must have a client's authorization before communicating with any agency or party outside DHS about the client.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 10/16/00

73-18: Study Time

I. Introduction

Study Time may be approved as a Welfare to Work (WTW) activity for San Francisco Participants enrolled in credit education and training programs that require additional out-of-class time in order to complete class requirements.

Effective with the issuance of this handbook update, child care may be authorized for Study Time on a case by case basis when it is included as an activity on the Employment Plan (WtW 2/2A). The county policy for study time and self-initiated programs is also clarified.

II. Policy

A. Policy

Study Time may be approved as a WTW activity for San Francisco Participants who meet all of the following criteria. The program is for credit:

Post-secondary AND Education activities that lead to a degree

OR

Training activities that lead to a certificate

AND

The activity requires out-of-class study

1. Calculating Study Time

Study Time may be calculated up to two hours for every credit hour of class. This ratio is sometimes referred to as "Carnegie Hours" acknowledging Andrew Carnegie's role in creating public libraries across the nation.

2. Child Care and Study Time

Child care may be authorized for Study Time when this WtW activity is included in the Employment Plan (WtW2/2A). Develop the child care plan on a case by case basis with each Participant. The total Carnegie Hours are not to be automatically approved for child care.

3. Study Time and Self-Initiated Programs

If a new Participant is enrolled in a self-initiated education or training program that does not meet the 32/35 hour participation requirement, the Participant may ask to proceed with assessment. The Employment Specialist may approve the program as an education or training WtW activity and the individual will be eligible for study time. In the SIP WtW Handbook Section 72-4 this is referred to as the county option.

III. Process

A. Document Participant's Enrollment in Credit Program

Document the Participant's enrollment in a credit education or training program in the case file.

B. Guidelines for Authorizing Child Care for Study Time

Meet with the Participant and discuss the Participant's class schedule and determine together a study schedule that will support her/his success in school.

Use the following guidelines when discussing the study schedule and child care plan:

- Consider the need for balance between study demands and parenting responsibilities, i.e. quality parenting time and child development needs.
- What are the study needs of the Participant's education or training program?
- Is the student including organized homework labs and homework clubs in their school schedule? If not, encourage the student to use these campus resources.
- How many hours of study time are provided during the class day? If the student has class at 8 a.m. and again at 2 p.m., the 4-5 hours in between classes are free to count as study time (address time for lunch).
- Give priority to scheduling study time that extends the class day, i.e., add study hours before the first class or after the last class.
- Do not authorize more child care than class schedule and the maximum Carnegie Hours allow.
- Child care authorizations that include study time will likely result in "full-time" child care by one provider.
- Approval of additional child care beyond one full time provider requires program review. Additional child care may be provided by a license exempt provider. Remember,

exempt providers are not allowed to be household members and must be at least 18 years old.

The need for child care may fluctuate during the school term especially near final exams. Authorize additional hours as appropriate at the Participant’s request.

C. Program Review Required

In order to reinforce the importance of the balance between study and parenting demands, program review is required whenever authorization of child care for more than one full time provider is being considered. Depending on the student’s academic demands, additional child care hours may or not be appropriate.

The Unit Supervisor and the Employment Specialist must discuss the request. The Supervisor should note the review and approval when signing the Childcare Referral and Authorization (7201CW) form.

D. Proceed with the Employment Plan (WTW 2/2A)

Include the Study Time as a separate WtW Activity on the Employment Plan.

E. Authorize Child Care on the Childcare Referral and Authorization Form (7201CW)

Include the child care schedule on the R & A form (7201CW). Clearly show the hours of child care authorized for study time, in addition to the other WtW activity(ies).

F. Monitor the Participant’s Progress

Monitor the Participant’s progress in the education or training activity according to program procedures for the specific provider.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7201CW	WTW Childcare Referral and Authorization	This form is completed when requesting childcare referral and authorization	Chinese Russian

		when participating in WtW activities.	Spanish Vietnamese
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

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	Effective: 9/30/99

73-19: Other Activities Leading to Employment

I. Introduction

There are occasions when it is most appropriate for a Participant to engage in an activity(ies) that will lead to employment that are not included in any of the other WTW components described in this handbook. One example is the need for a recipient to spend time in carrying out a family reunification plan with Family and Children's Services concurrent with other WTW Activities.

II. Policy

There may be times when a Participant needs to engage in a WTW Activity that is not one of the standard activities dealt with in the other subsections of Section 73. In other words, other activities may be necessary to assist an individual in obtaining unsubsidized employment. This category is meant to accommodate such exceptions and opportunities for Participants.

Note that miscellaneous training activities should be processed under Section 73-14: Other Job Skills Training Directly Related to Employment.

A. Define the "other activity" carefully

Any activity in this component requires a proposal for how the time is to be spent and must be approved by both the Employment Specialist and the Unit Supervisor. Examples of activities under this section include:

- Housing search.
- Activities required by a Family and Children's Services case plan.
- Participation required of the parent to engage a child in school, in accordance with CalWORKs eligibility regulations.
- Parenting classes or other life skills classes.
- Any other activity(ies) necessary for obtaining employment.

B. Document the "other activity"

Document Other Activity(ies) in the case file.

C. Grievances

At all points of decision, the Employment Specialist should remind Participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this, consult Section 77-1.

Employment Specialists should view the Client Advocate as an ally in resolving Participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77-1: Grievance Process.)

If Participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the Participant must exhaust that grievance procedure. If dissatisfied with the results, the Participant shall report this to the Employment Specialist and the Grievance Coordinator.

III. Process

A. Housing Search

This WTW activity option is for homeless Participants only. The lack of housing may be a major barrier to preparing for and obtaining employment and requires resolution.

1. Homeless families must be linked with a Homeless Service Provider

To qualify for Housing Search as a WTW Activity, the family must be registered with the Homeless Family Resource Center, which is at Connecting Point. In addition to this, the family must be receiving services from a homeless service provider.

The Department has contractual relationships with nearly all the homeless service providers, and the Homeless Families Program Coordinator coordinates these services for the Department. This person is located at 1440 Harrison Street, 2nd Floor, and the telephone number is 558-1927.

Service providers include:

- Connecting Point, Resource Center for Homeless Families, 942 Market Street, 7th Floor, 217-7320
- Homeless Prenatal Program, 995 Market Street, Suite 1010, 546-6746
- Homeless Employment Collaborative, through the PIC, 1650 Mission Street, 3rd Floor, 431-8700.
- Homeless Advocacy Project, 995Market Street, Suite 915, 974-6541

There are other homeless family service providers, but the first two listed above are the main access points. The family shelters and transitional housing programs operate from a centralized waiting list that is coordinated by Connecting Point.

2. Resolve the problem prior to the Employment Plan

To the extent possible, arrange for Recipients to obtain housing - permanent or transitional housing - prior to signing an Employment Plan. Allow up to one month to access services prior to including this as one of the activities on the Employment Plan.

3. The Domestic Violence Exception

Since time limits do not apply in cases involving domestic violence, and since many homeless parents are victims of domestic violence, this should be explored as a possible way to avoid time limits and at the same time provide support services. (Also see Section 74-3, Domestic Violence Services.)

B. Activities required by a Family and Children's Services Case Plan

1. Confidentiality

Obtain parental consent before collaborating with Family and Children's Services staff.

2. Collaboration with F&CS

When a Participant has signed a release of information and the Employment Specialist and Family and Children's Services (F&CS) workers are in communication, collaborate on how best to meet the WTW goals and support the F&CS case plan. The family may be receiving Family Preservation, Family Maintenance or Family Reunification Services.

Activities in this "other" category may include regular attendance at parenting classes, participation in mental health or substance abuse treatment, or participation in court proceedings. The services will be monitored by the F&CS worker who will inform the Employment Specialist of the participation.

C. School Attendance Requirements

Participation required of the parent to engage a child in school, in accordance with CalWORKs eligibility regulations, is allowed as a WTW Activity.

A child with school attendance problems in the family does not automatically trigger a modification of a WTW Employment Plan. However, efforts to remediate a school attendance problem may be included in the Employment Plan when appropriate.

Examples of the activities the parent may be expected to undertake that are included in this "other" category include:

- Attend an orientation about the school attendance program.
- Attend meetings with school district personnel.
- Attend a support group for parents.
- Time needed to engage the child with community based services.

D. Parenting or other life skills classes

A Participant may benefit from attendance at a parenting class or other life skills class which will provide needed support but is not offered by their primary WTW Activity. A list of parenting classes offered in the city is available to the Employment Specialist.

E. Other activities necessary to secure employment

Any other activity not listed above that is necessary for obtaining employment must be approved by the Unit Supervisor.

Two examples of Other Activities might include activities related to court orders:

A Participant may have court-ordered activities that are a condition of parole and will be monitored by the criminal justice system.

OR,

A Participant who will need to drive on the job or needs to drive their car to work may have parking or traffic tickets that preclude their getting a driver's license or other required licenses or insurance.

An alternative to paying the fines is Project 20 "community service assignments" to work off parking tickets, and, at the order of the Court, to work off moving violations. The verification for Project 20 can also be shared by the Participant with the Employment Specialist.

IV. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
WTW 2 (12/12)	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish

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			Vietnamese
8014(15)	Authorization to Release Information	Standard HSA form for client signature – ES must have a client’s authorization before communicating with any agency or party outside HSA about the client.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

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	Effective: 11/28/12

73-20: City College of San Francisco Collaboration

I. Introduction

The City College of San Francisco (CCSF) Collaboration allows CalWORKs participants to receive a full range of services at the new CalWORKs Center. The CalWORKs Center offers CalWORKs students academic counseling, career counseling, job development, scholarship and financial aid information, and general academic support along with all the services that the CalWORKs program provides.

This collaboration provides CalWORKs students with educational and career opportunities combined with high-quality support services that enable students to complete their educational goals, find gainful employment, and obtain economic self-sufficiency. This collaboration allows CalWORKs students to participate in 15 hours of CalWORKs work study while waiting for the 20 hours of 9910 Federal Work Study application process .

Both components count toward the 20-hour Core requirement for the CalWORKs and Federal Work Participation Rates. This collaboration is extremely important and valuable to all of our participants.

City College also has a Disabled Students & Program Services Program (DSPS) to address the needs of students with disabilities.

City College offers many certificate programs, an Associate Degree in Art, and an Associate Degree in Science.

CCSF's Adult Basic Education/GED program and English as a Second Language/ESL participants' cases are not transferrable to the CCSF Specialized ES Unit. These participants' cases will remain with the WTW ES as assigned.

II. References

A. References from Department Program Information Memos

WtW PIM 07-02. All other CCSF PIMs are replaced by this Section.

B. References to other sections of this Handbook

Section 75-2: Referral Procedures. Page 7 letter D is replaced by this section.

Section 75-4: Progress Monitoring. Page 11, Section VIII.

Section 74 : Supportive Services

Section 74-5: Transportation Policy (74-5.1, 74-5.2, 74-5.3, 74-5.3.1, 74-5.4 and 74-5.5)

Section 74-6: Ancillary Services (74-6.1, 74-6.4 and 74-6.5)

Section 76 : Noncompliance and Sanction

Section 76-1, 76-2, 76-3 and 76-4)

III. Policy

All CalWORKs WtW participants attending CCSF (excluding GED and ESL students) are case-managed by WtW CCSF Employment Specialists (ES) out-stationed at the CCSF campus. These WtW CCSF ESs provide services to our CalWORKs participants and also management of the WtW case. They maintain close communication with CCSF staff which results in better monitoring of participation and better outcomes for our program and participants. The Eligibility case is case-managed by Eligibility Workers (EWs).

Exceptions:

- CCSF participants whose primary language is other than English, and are taking academic courses (other than ESL), may request to remain with their current assigned ES by providing a written request to remain with their current ES. A copy of the request must be scanned in i-Files. Case comments must reflect this information.
- CalWORKs participants attending CCSF for GED and ESL classes only, ARE NOT assigned to the WtW CCSF ESs.

The CCSF CalWORKs office is located at 50 Phelan, Cloud Hall, Room 232. On Thursdays and Fridays, the WTW CCSF ES's are stationed at the main CalWORKs office located at 170 Otis Street.

WORKER#	CCSF OFFICE #	170 OTIS OFFICE #
2C61	452-5708	557-5524
2C62	452-5707	557-5523
2C63	452-5801	557-6580

Supervisor: C640 557-5321

IV. Referral Process

A. To make a determination of whether CCSF is an appropriate activity for a participant, the ES shall:

1. Review the case record for prior CCSF attendance
2. Determine whether CCSF attendance was supported by CalWORKs in the past
3. Obtain transcript if available
4. Determine if enrolled courses are credited or for a Certificate Program
5. Review Time on Aid
6. Review total VTR time left on CalWORKs

B. Referral Processes to City College of San Francisco (CCSF) by the WTW ES:

I. Referral Processes: There are two different referral processes to CCSF, depending upon whether the participant will be enrolling in ESL classes or will be pursuing a Certificate Program or AA/AS degree.

A. ESL Referrals: Referrals are made by the ES directly to City College when the participant is already attending or wishes to attend ESL classes at CCSF as part of the Employment Plan:

- These cases remain with the assigned WTW ES and are NOT transferred to the WTW CCSF Specialized ES Unit.

- Participants shall be given a list of all City College campuses to self-register.

CITY COLLEGE OF SAN FRANCISCO CAMPUSES	
Alemany Campus, 750 Eddy Street	John Adams Campus, 1860 Hayes Street
Chinatown-Northbeach Campus, 940 Filbert Street	Main Campus, 50 Phelan Ave
Downtown Campus, 800 Mission Street	Mission Campus, 106 Bartlett Street
Evans Campus, 1400 Evans Street	Southeast Campus, 1800 Oakdale Ave
Adult Learning Center, 31 Gough Street	

B. Certificate Program or AA/AS Degree: When the participant is or will be pursuing a Certificate Program or an AA/AS Degree, the current ES shall make a formal referral to the CCSF Specialized Unit.

The CCSF CalWORKs Counselor referral process is centralized within the Specialized CCSF Welfare-to-Work Unit. The CCSF Specialized Unit (not the referring ES) will refer the participant to meet with the CCSF Counselor.

NOTE: Referral processes differ slightly based on the participant's circumstances, and are outlined below:

1. For New Participants already attending CCSF without prior CCSF attendance & CalWORKs support:

A. The ES shall first determine if a SIP is appropriate:

- a. Obtain a copy of current class registration for case file if available. Classes must be credited courses or Certificate Program courses.
- b. Provide a copy of Form 7003CW (Requirement for Approval of CalWORKs SIP) to participant regarding the requirements to participate in a Self-Initiated Plan (SIP). A Welfare-to-Work Plan is not necessary at this point.
- c. Consult with Supervisor regarding the appropriateness of the referral request.
- d. If an activity clearly cannot be approved as a SIP (refer to SIP regulations, WTW HB Section 72-4), recommend WTW Employment Plan option.

B. Once the ES and participant have identified that City College will be the participant's main WTW activity, the referring ES shall:

1. Prepare Form 4133 City College Case Transfer Checklist for review and approval by their Supervisor.
2. Send via inter-office mail to CCSF Unit Supervisor C640 a hard copy of 4133 Transfer Checklist along with any documents pertaining to CCSF attendance (e.g., class schedule/registration, transcript, etc.)
3. Enter information in Case Comments

C. The CCSF Unit Supervisor C640 shall:

1. Review the case for acceptance.
2. If rejected, email the referring ES with a cc: to the Supervisor the reason for the rejection
3. If accepted, send an email to WTWCaseTransfer@sfgov.org with a CC to the referring ES and Supervisor requesting the case be assigned to a CCSF Unit ES.
4. Enter information in Case Comments

D. The WTW Case Transfer Clerical Staff shall:

1. Make case assignment to the CCSF Unit ES.
2. Inform the newly assigned CCSF Unit ES, Supervisor C640, and the referring ES of the new case assignment.

E. Once the referral is deemed appropriate by the CCSF Specialized Unit, the CCSF Specialized Unit ES assumes the case assignment, indexes and scans all documents, and makes the referral to CalWORKs City College Counselors.

2. For Participants attending CCSF without a TVA, the referring ES shall:

- Obtain a copy of current class registration for case file if available. Classes must be credited courses or Certificate Program courses.
- Schedule participant to Targeted Vocational Assessment (TVA Test Only).
- Complete City College Case Transfer Checklist Form 4133 to initiate transfer of WTW case to WtW CCSF ES through process outlined in 1. above.

3. For Participants attending CCSF with completed TVA

- Obtain a copy of current class registration for case file if available. Classes must be credited courses or Certificate Program courses.
- Complete City College Case Transfer Checklist Form 4133 to initiate transfer of WTW case to WtW CCSF ES through process outlined in 1. above.

4. For Sanctioned participant attending CCSF

- Complete Stop/Cure Sanction Plan prior to case transfer
- Activities must meet the 32/35 hours per week requirement. If classroom hours and approved unsupervised homework hours (recommendation of hours needed must be on file for approval) do not fulfill the required hours, concurrent activity must be included in Stop/Cure Sanction Plan.
- Case will remain with current WTW ES if the activities do not fulfill the required 32/35 hours per week.
- Complete City College Case Transfer Checklist Form 4133 to initiate transfer of WTW case to WtW CCSF ES through process outlined in 1. above.

5. For Participants enrolled at CCSF for upcoming semester

- Refer participant to ACE to obtain educational path recommendation
- Enroll participant to attend interim activity if the class is to begin more than 30 days from the date of recommendation
- Participant's participation must be satisfactory in the interim activity in order for the CCSF activity to be supported.
- Obtain a copy of current class registration for case file if available. Classes must be credited courses or Certificate Program courses.
- Consult with supervisor regarding appropriateness of the referral request.
- Transfer WTW case folder to WTW CCSF ES, if class is to begin less than 30 days from the date of recommendation.
- Complete City College Case Transfer Checklist Form 4133 to initiate transfer of WTW case to WTW CCSF ES through process in 1. above.

6. For Participants not currently attending CCSF

- When a participant has completed assessment or reappraisal and the recommendation is to attend CCSF, check registration/admission deadline at the CCSF website. Link below. If the deadline allows participant to register, transfer WTW case to WtW CCSF ES, at least 30 days prior to start of school.
- Participant must be engaged in alternative activity if the first day of class is not within 30 days.
- Participants with VA recommendation to attend CCSF after the CCSF admission/registration deadline has passed, should remain with current WTW ES and engage in alternative WTW activity until the next semester enrollment.

CCSF school registration/admission schedule is available at CCSF website: <http://www.ccsf.edu/>. To access the website type or copy and paste the above link into your HSA Intranet Browser or click control+ notes in your key pad and open link.

V. Acceptance Process by City College

A. For those ESL participants NOT referred to the CCSF Specialized Unit:

CalWORKs City College Counselors work with ESL participants to develop an Educational Plan which is given to the participant to share with the current ES. The current ES and participant complete the Employment Plan with ESL as the participant's activity.

B. For those participants whose cases are transferred to the CCSF Specialized Unit for Certificate and AA/AS Programs:

- a. The CCSF Specialized ES and/or CCSF Specialized Unit Supervisor C640 will inform the current ES if there is any additional referral information needed.
- b. The CCSF Unit Supervisor C640 will notify the current ES if the City College activity cannot be supported and the case will be reassigned back to the referring ES to develop a more appropriate Employment Plan.
- c. Once the case is accepted by the CCSF Specialized ES, the referring ES is no longer responsible for the case.

VI. Reporting Processes for City College Participants

A. Reporting for ESL enrollment and attendance:

- Participants enrolled in the CCSF ESL program are responsible to submit to their ES the 7024B CW Attendance Report (Non-Contract) on a monthly basis.
- ES is responsible to enter the monthly participation hours in CalWIN, with case comments.

B. Reporting for Certificate Program and AA/AS Participants:

- For participants enrolled in Certificate Programs and AA/AS programs, City College staff are responsible to track and enter the participant's attendance through the CCMS system.
- CCSF Specialized Unit ES is responsible to review CCMS and print out and scan the monthly attendance to be part of the case record.
- CCSF Specialized Unit ES is responsible to enter the monthly participation hours in CalWIN, with case comments

VII. WTW Specialized CCSF Unit ES Duties

All new cases must be reviewed within five days of case receipt. Cases transferred without CCSF class registration and/or VA recommendation will be returned back to the original ES/EW.

CCSF CalWORKs Counselors develop one semester educational plan while they wait for Targeted Vocational assessment (TVA Test Only).

Recommendation of unsupervised homework hours by CCSF counselors must be in i-Files.

A new Educational Plan and a new WTW plan are needed each time participant drops/adds a class or changes vocational goal.

A. Participants not currently attending CCSF

1. Review WDD Participant Activity Summary (4800).
2. At assessment appointment, provide participant with Form 7006CW to meet with the CCSF CalWORKs Counselor. The referral form must have the following information:
 - a. Vocational Goal - stated in WDD Summary
 - b. State, "New Student", "Return Student". or "Continuing Student", under comment section.
 - c. State, "Work Study hours required", must include the hours of requirement (15 or 20), or "Work Study not required".
3. Develop the Employment Plan upon receipt of Educational Plan and class schedule.
4. Authorize supportive services as appropriate.

B. Participants attending CCSF without TVA

1. Verify TVA (TVA Test Only) appointment. TVA (TVA Test Only) can be taken anytime during the current semester while participant is attending school.
2. Provide participant with Form 7006CW to meet with the CCSF CalWORKs Counselor to create a one semester Educational Plan. Comment section should include, "One semester Educational Plan only Comprehensive, two semesters Educational Plan after Vocational Assessment from CalWORKs Assessment Counselor is completed."
3. Develop Employment Plan for one semester with current courses. Schedule must meet 32/35 hour requirement
4. Career Counseling is required to be completed during the current semester. Participant must receive a satisfactory progress (2.00 GPA) for future approval of the vocational training.
5. After completion of Career Counseling, provide participant with Form 7006CW to meet with the CCSF CalWORKs Counselor again for a comprehensive, two semesters Educational Plan. Follow the same procedure as 2..a through 2.c. above.

C. Participants attending CCSF with completed TVA

1. At Assessment appointment, provide participant with Form 7006CW to meet with the CCSF CalWORKs Counselor. Follow the same procedure as 2.a. through 2.c. above.
2. Develop the Employment Plan, once the Educational Plan is completed.
3. Authorize supportive services as appropriate.

D. Sanctioned participant in process of curing sanction attending CCSF

1. Review Stop/Cure Sanction Plan. Plan must meet 32/35 hour requirement.
2. Follow process to monitor Stop/Cure Sanction Plan and take appropriate action based on plan outcome.

NOTE: Return case to sender if activities in the Stop/Cure Sanction Plan do not meet the CalWORKs hourly requirement.

E. Participant no longer attending CCSF

1. ES sends case transfer via email to supervisor for approval of transfer.
2. After review, the unit supervisor will forward the request via email to "WTWCaseTransfer@sfgov.org" and cc the ES.

F. Ancillary Payments and Supportive Services

1. Child Care Payments are provided appropriately - "Bridge" childcare for one month must be authorized when appropriate.
2. Ancillary payments and Supportive Services are issued appropriately.
3. Book Vouchers are authorized via CCMS.

VIII. Collaborative Case Management System (CCMS)

CCMS is an information system designed to foster management of CalWORKs' participants' services by creating a bridge between HSA/CalWORKs (CalWIN) and CCSF (BANNER) information systems.

CCMS enables staff from both organizations to monitor and maintain participants' progress and eligibility.

To access CCMS website type or copy and paste the following link into your HSA Intranet Browser or click control + notes in your key pad and open link. <http://www.ccmscentral.net>

To obtain information on how to access CCMS, contact the CCSF WTW Unit Supervisor (C640).

A. CalWIN Interface with CCMS

- Participant is registered to CCMS once the CCSF Specialized Employment Specialist assigns the CCSF WTW activity in CalWIN.

B. BANNER Interface with CCMS

- ESs can review Educational Plans, past and current registered courses/classes and actual progress in CCMS.
- Participants' Work Study participation, attendance and progress are updated by CCSF administration staff by the 10th of each month. WTW CCSF ESs can review satisfactory participation by logging onto CCMS and scanning into i-Files.

C. Book Vouchers and CCMS

Book Vouchers are authorized via CCMS. When authorizing book vouchers, ESs must write under comment section, depending on each case situation: "Participant is in good standing and receiving cash aid at this time", "Participant receiving retention services at this time" or "Participant receiving safety net services at this time".

NOTE: When attendance at CCSF is no longer approved as a WTW activity, it is very important to end the activity in CalWIN and note in CCMS that participant is no longer eligible for CalWORKs-funded supportive services.

IX. Monitoring Progress

The CCSF CalWORKs Center coordinates the college's services exclusively for CalWORKs participants. The Center monitors participants' progress via CCMS.

The Progress monitoring agreement between HSA CalWORKs and CCSF administration includes class attendance and grades, as well as, work study attendance.

A. What is satisfactory progress?

1. Classes/Courses

Satisfactory progress is set by CCSF and is part of the contract agreement. CCSF monitors attendance, grades and level of achievement. Participants must keep a minimum of 2.0 GPA to meet a satisfactory progress level.

2. Work Study

Satisfactory progress is to participate the hours agreed in the Employment Plan. Weekly hourly participation is set at 15 or 20 hours per week.

3. Full Participation

Satisfactory progress is to comply with the CalWORKs monthly participation requirement of 32/35 hours a week.

B. How often is progress monitored?

Progress must be monitored monthly. CCMS provides a monthly report to the WtW CCSF ESs regarding each participant's class attendance and Work Study attendance.

C. How are courses/classes monitored?

Courses/classes are monitored by grades and level of achievement as follows:

1. Drop-Add reports showing class registration
2. Mid-term grades
3. End of Semester grades
4. Counseling Reports

D. How is Work Study monitored?

Work study is monitored via CCMS. WtW CCSF ESs receive a monthly report with the work study attendance information.

E. What happens if participants fail to meet satisfactory progress in the classes/courses activity (2.0 GPA)?

1. Mid-term grade

- Initiate non-compliance process (7045 SW referral needed) or determine good cause for not meeting satisfactory progress at mid-term.

- Compliance plan is needed if good cause is not determined.
- Notify CCSF Counselor and work study staff of participant's compliance status and explore steps to improve future grades.
- Participants who fail to meet satisfactory progress under the compliance plan are sanctioned. Attendance at CCSF will no longer be an approved WtW activity.
- Participants will need to be engaged in another appropriate WtW activity when initiating Stop/Cure Sanction plan. Activity at CCSF will no longer be supported.
- All supportive services must end with appropriate and timely Notices of Action (NOAs).
- Update status on CCMS and notify CCSF staff of participant's sanctioned status

2. End of Semester grade

- Initiate non-compliance process (7045 SW referral needed) or determine good cause for not meeting satisfactory progress at end of semester.
- Compliance plan is needed if good cause was not determined and participant is to attend school the new semester.
- Notify CCSF Counselor and work study staff of participant's compliance status.
- Participants who fail to meet satisfactory progress at final grade are sanctioned. Attendance at CCSF is no longer supported as appropriate WtW activity.
- Participants need to be engaged in another appropriate WtW activity when initiating Stop/Cure Sanction plan. Activity at CCSF is no longer supported.
- All supportive services must end and with appropriate and timely NOAs.
- Update status on CCMS and notify CCSF staff of participant's sanctioned status.

F. What happens if participants fail to meet satisfactory progress in the Work Study activity?

- Initiate non-compliance process (7045 SW referral needed) or determine good cause for not meeting satisfactory progress at the moment the monthly report is received.
- Compliance plan is needed if good cause is not determined.
- Notify CCSF Counselor and work study staff of participant's compliance status and explore steps to improve work study attendance.
- Participants who fail to meet satisfactory progress under the compliance plan are sanctioned. Attendance at CCSF will no longer be an approved WtW activity.
- Participants will need to be engaged in another appropriate WtW activity when initiating Stop/Cure Sanction Plan. Activity at CCSF will no longer be supported.
- All supportive services must end with appropriate and timely Notices of Action (NOAs).
- Update status on CCMS and notify CCSF staff of participant's sanctioned status.

G. Noncompliance and Sanction

If the CalWORKs participant is not in compliance with the Educational Plan/Employment Plan, steps must be taken to assist the individual to meet WtW requirements or to sanction participant for not complying with requirements. As described in E and F above.

NOTE: Notify EW/EW supervisor timely and appropriately if participant is sanctioned.

IX. Forms

Form#	Form Name	Language
4133	City College Transfer Checklist	English Only
4800	WDD Participant Activity Summary	
7003 CW	Requirement for Approval of CalWORKs SIP	
7045CW	Social Work Referral Form	
WTW 9B	Assessment Appointment Letter	English Only

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 74- Supportive Services

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 12/2/19

74-1: Child Care

I. Introduction

CalWORKs (CW) regulations mandate HSA to provide immediate and continuous child care for 12 months. Immediate and continuous child care is intended to ensure that access to stable child care is never a barrier to fully engaging in the CW program. If child care is not available, parents and caretakers may be granted a good cause exemption for not participating in the Welfare-to-Work (WTW) Activity.

Stable child care is an essential whole family support providing early care and education services critical to the healthy development of young children, and a vital support for participants to progress in their WTW and county-approved activities. The San Francisco Office of Early Care and Education and the Human Services Agency contract with the Children's Council of San Francisco to provide coordinated child care services to eligible CW families.

Family Subsidy Specialists (FSS) staffed at the Children's Council of San Francisco provide the following child care services:

- Child care subsidy case management
- Child care provider referral and selection
- Child care provider contracts
- Administration of child care payments
- Issuance of child care informing notices and notices of action

CW Case Managers authorize child care services for all eligible families who are expected to be referred to WTW, or who are required to participate or are participating in WTW. Child care is provided in three different stages (Stage 1, Stage 2, and Stage 3), which families move through based on their WTW participation, CW case status, relevant time limits, and income (when applicable). CW Case Managers ensure that families transition seamlessly between Stage 1, Stage 2, and Stage 3 child care benefits.

II. References

A. Laws and Regulations

[Senate Bill \(SB\) 80, Chapter 27, Statutes of 2019](#)

Welfare and Institutions Code: [WIC 11323.1](#), [WIC 11323.2](#), [WIC 11323.3](#), [WIC 11323.4](#)

Education Code: [8350-8359.1](#)

Manual of Policies and Procedures: [MPP 47-100 - 47-320](#), [47-400 - 47-630](#)

All County Letters: [19-99](#)

B. Cross-references to CalWORKs Eligibility Handbook

Section 50-27: Incoming ICT

Section 57-2: Outgoing ICT

C. Cross-references to other sections of this handbook

Section 71-1: Diversion

Section 72-3: Employment Plan

Section 73-0: Welfare to Work Activities

Section 73-18: Study Time

Section 75-4: Progress Monitoring

III. Policy

The objective of the partnership between the San Francisco Human Services Agency, the San Francisco Office of Early Care and Education, and the Children’s Council of San Francisco is to deliver an efficient, cost-effective child care subsidy administration model that provides a seamless progression of child care services to CW families. Eligible families should not experience any break in service between the three stages of child care. The three stages function primarily as mechanisms for funding and administration. California law provides the guidance about placement in the three stages.

Child Care Funding

The three stages of child care are subsidized by two different sources.

- The California Department of Social Services (CDSS) provides funding for Stage 1 Child Care to stabilize a family’s circumstances.
- The California Department of Education (CDE) provides funding for Stage 2 and Stage 3.

IV. Eligibility and Process

A. Stage 1

Stage 1 Child Care provides 12 months of immediate and continuous child care subsidies to CW families.

1. Eligibility

Effective October 1, 2019, CW WTW families will be authorized immediate and continuous Stage 1 Child Care for 12 months, or until CW recipients are transferred to Stage 2. Child care will be authorized full-time unless the recipient specifically requests part-time care. Full-time care is defined as care provided 30 or more hours per week. Part-time care is defined as care provided less than 30 hours per week.

a. Single Parent Families – Stage 1

Eligible single-parent families include:

- Employed parent/adult caretakers, or those with impending employment
- CW aided adult, or minor parent participating in Cal-Learn
- Applicants potentially eligible to CW who are working or in an approved WTW and/or county-approved activity, including ICTs
- Parents/caretakers eligible for Diversion benefits in lieu of continuing cash grant
- CW recipients participating in approved WTW activities
- Individuals exempt from WTW activities who volunteer, or are participating in a county-approved activity
- Exempt individuals who participate in mental health, substance abuse or domestic violence services
- Recipients who need services or medical care to resolve a condition triggering a barrier to employment.

b. Two-Parent Families– Stage 1

Two-parent families are not eligible for child care if one parent is able and available to provide care for the child(ren). A parent is considered available unless they are working (or sleeping after work), going to school, participating in another county-approved WTW activity or program activity, or has a condition that prevents them from caring for the child. Two-parent families must meet Stage 1 eligibility requirements described above.

The following rules apply:

- Both parents must be in WTW or county-approved activities
- Child care may be authorized if one parent has refused to care for the child, if the parent is considered an inappropriate or unsafe care provider, or if the parent is physically incapacitated. In cases when the issues of one parent are considered a barrier to the other parent's participation, child care may also be approved. Such cases require supervisor approval.

c. Eligible Children – Stage 1

Children in the household are eligible for child care whether or not they are part of the CW assistance unit, and are:

- Under 13 years of age, or
- Up to 21 years of age and requiring child care or supervision attributable to physical, mental, or developmental disability, or due to a condition as verified yearly by Individualized Education Program (IEP), Individual Program Plan (IPP), Regional Center Report, or substantiated through the receipt of SSI benefits.

2. Child Care Informing Notice

The form “CalWORKs Child Care Request Form and Child Care Payment Rules” (CCP 7) informs applicants/recipients about available subsidized child care and their rights related to receipt of this service. Informing must take place at the following times:

- At the time of CW Intake
- When the original or amended WTW Employment Plan is signed
- At RRR
- At assessment
- Any time a participant indicates a need for child care

The CCP 7 informs applicants/recipients:

- They may be eligible for subsidized child care while working or participating in WTW activities if they qualify
- Assistance finding and choosing a provider is available
- How to contact Children’s Council
- They are required to inform the Program of their child care need as soon as the need arises
- Child care payments in Stage 1 cannot go back more than 30 calendar days from the client’s request for child care services
- The request for child care may be written or verbal

The original CCP 7 must be i-Filed, and a copy given to the applicant/recipient.

In the event that an applicant/recipient declines to sign the CCP 7 notice, the Case Manager must document in the case narrative that the availability of child care supportive services was explained and offered to the applicant/recipient.

3. Verification of Child Care Prior to Mandating Program Activities

Case Managers must verify that suitable child care has been both authorized and secured before mandating participation in any activities, and before initiating any

sanction or noncompliance process. Participants must be provided with written notice informing them that they have 30 days to confirm child care has been secured before mandating participation in activities.

If the Case Manager is not informed by the participant that child care has been secured after 15 days, the Case Manager will contact the participant to confirm whether child care has been secured and remind them of supports available to help secure child care. The Case Manager must contact the participant every 15 days thereafter until they have confirmation that child care has been secured. Good cause applies if the participant has made efforts to secure child care but has been unable to do so (See Section VI – Good Cause).

4. Stage I Child Care Table

Note: All Stage 1 Child Care Authorization lengths are 12 months.

Participant Registration Type	If the Activity is Ended/Disrupted...
Mandatory	Continue child care for the duration of the authorization period until or unless the adult is discontinued from cash aid (for any reason), then transfer to Stage 2.
Non-Mandatory Exempt/Volunteer	Continue child care for the duration of the authorization period unless the client does not sign a WTW Plan. If no plan is signed, discontinue child care until volunteer becomes a mandatory participant or signs a WTW Plan. Do not transfer to Stage 2.
Curing Sanction	If currently in Stage 2, leave participant in Stage 2 and then transfer to Stage 1 after they have successfully cured. If the participant is not receiving Stage 2, authorize Stage 1. Terminate child care if participant fails to cure unless good cause applies.

5. Case Manager Responsibilities

Case Managers explain CW participation guidelines and qualifying eligibility policies to participants. During the dialogue, the Case Manager allows the participant to consider the two options of child care available: License Exempt Provider and Licensed Provider.

The interactive discussion should inform the participant of the following:

- a. Nonparticipating recipients are not eligible for CW child care;
- b. Stage 1 Child Care lasts for 12 months, and may be extended according to available subsidies, and
- c. Participants are advised to contact Children’s Council directly for services.

6. Retroactive Payments

Retroactive child care payments may not be requested for services delivered more than 30 calendar days prior to the client’s request for child care. The retroactive payment limit is not based on the date child care is approved. The date that the applicant/recipient makes a written or verbal request for child care assistance is the application date for the Stage 1 Child Care 30-day limit for retroactive payments.

7. Termination

- a. Final Termination Notice

A Family Subsidy Specialist must send the participant a termination NOA no less than 10 days prior to the termination date of the active child care agreement. The termination notice will describe the reason for termination. Participants may request a Fair Hearing to dispute the action.

- b. Discontinuance due to Failure to Provide Extension

If Children’s Council discontinues child care because an extension was not received, the CW Case Manager may re-start child care from the date of discontinuance.

Per Children’s Council payment policies, licensed child care providers may be paid for up to two weeks following the end of the authorization.

License-exempt providers are paid up to the day that an authorization ends.

Children’s Council is responsible for notifying the participant and child care provider in writing if the child care authorization is interrupted.

B. Stage 2

Stage 2 provides child care for up to 24 months from the date the adult participant is discontinued from cash aid. A family can apply for Stage 2 at any time during the 24 months the adult is post aid. Retroactive payments are not allowed in Stage 2.

1. Eligibility

a. Eligible Adults – Stage 2:

- Parents/caretakers who received cash aid within the past 24 months; and parent/caretaker is employed, seeking employment, in training, homeless or incapacitated
- A sponsored non-citizen family who has exhausted 12 months (indigent CW eligible)
- Parent/caretaker whose Diversion case was approved at intake
- Sanctioned individuals
- Formerly aided SSI recipient
- Fleeing Felon
- Employed or with impending employment
- Convicted Felon if client was previously aided

b. Eligible Children – Stage 2

Children can receive Stage 2 Child Care through the age of 13 (or through age 21 if disabled), if they meet the relationship and age requirements for Stage 1, and the child resides with the formerly aided parent/caretaker.

C. Stage 3

Stage 3 Child Care is for working low-income families who have reached the end of their 24th month in Stage 2. There are no time limits for Stage 3 Child Care. Families can remain in Stage 3 until their household income exceeds 85% of the State Median Income (SMI), until they no longer need child care, or until their youngest child turns 13 years old.

1. Eligibility

a. Eligible Adults - Stage 3

Stage 3 Adults are former CW participants who are eligible for child care and receiving Stage 2 Child Care services on the final day of their 24th post-aid month.

b. Eligible Children – Stage 3

Children may receive Stage 3 child care through the age of 12. Children 13 to 19 years of age who require child care or supervision due to a physical, mental, or developmental disability, or other similar condition as verified yearly by an Individualized Education Program (IEP), Individual Program Plan (IPP), Regional Center Report, or through the receipt of SSI may also qualify for Stage 3.

2. Transfer from Stage 2 to Stage 3

Children’s Council is the direct contractor with CDE for Stage 3 Child Care. Children’s Council will automatically transfer eligible families who are at the end of their 24th month of Stage 2 Child Care into Stage 3.

V. How to Make a Child Care Referral

A. Launchpad Referral Process

All Stage 1 and 2 referrals, transfers and changes must be sent and authorized through Launchpad.

- Follow this link to the Launchpad Wiki “How to Make a Child Care Referral” for further instructions on how to make a referral request in Launchpad:

<https://sfgov1.sharepoint.com/sites/HSA/wtwservices/guidance/Shared%20Documents/Launchpad%20-%20How%20to%20Make%20a%20Child%20Care%20Referral.pdf>

B. Confidentiality

No written authorization is needed for the Case Manager to share pertinent client information with the Resource and Referral Programs and Alternative Payment Programs for the purposes of administering the seamless child care program. The 8014 release of information is therefore not required to make a referral or discuss child care issues with the following contracted providers:

- Children’s Council of San Francisco
- Wu Yee Children’s Services
- Family Support Services of the Bay Area

VI. Good Cause

The Case Manager and Children’s Council Family Subsidy Specialist will consider the following minimal guidelines in granting good cause for non-participation:

- Parents/caretakers must be referred to Children’s Council staff to locate an appropriate provider.
- As needed, Children’s Council staff must determine that child care is not reasonably available during the participant’s hours of training or employment, including commute time.
- Children’s Council recommends good cause. The Child Care Program Manager must review the case for Program Policy and Planning (A012). Once good cause is established,

Children's Council will refer the applicant/recipient back to the CW Case Manager and recommend good cause.

VII. Intercounty Transfers

State regulations require that when a client is changing child care providers, the county that initiates the inter-county transfer pays for child care through the last day the existing provider provides services. The receiving county then becomes responsible to pay child care to the new provider. The receiving county must establish a child care case as soon as the client applies for and meets the child care eligibility requirements, regardless of the completion of a cash aid transfer period.

VIII. Trustline for License Exempt Providers

Trustline is California's registry of License-Exempt child care providers (i.e., friends, neighbors, or relatives). All listed providers are cleared through the Department of Justice fingerprint records check. The providers must have no disqualifying criminal convictions or substantiated child abuse reports in California.

Children's Council assists CalWORKs participants who choose license-exempt child care. All license-exempt providers must be Trustline registered with the exception of exempted providers (such as grandparents, aunts and uncles).

Trustline applicants must fill out a background check form and comply with fingerprint requirements within 30 days.

The child care provider must be 'cleared' through Trustline (i.e., the provider does not have substantiated reports of child abuse or relevant criminal convictions), before CalWORKs child care payment can begin. Providers who clear Trustline are entitled to receive retroactive payment for up to 120 calendar days from the date the child care services were requested and provided. Providers are not eligible for payment if they do not obtain Trustline clearance.

IX. Emergency Back-Up and Mildly Ill Child Care Services

The San Francisco Respite Program provides eligible CalWORKs families emergency back-up, mildly ill, and respite care (FCS families only). These child care services are provided in the family's home or at licensed family child care homes (i.e., independent contractors).

The SF Emergency Back-Up, Mildly Ill, and Respite Program provides and child care services to :

- Welfare-to-Work clients whose regular child care is unavailable
- Welfare-to-Work clients whose child is mildly ill and cannot go to regular child care
- Foster parents who need a break (Respite Program)

- Families referred from the Child Abuse Prevention Center in SF (Respite Program)

For more information call the Family Support Services Respite/Child Care Coordinators at (415) 861-4284 or (415) 861-4060 x3011 or cut and paste the following:

Website: <http://fssba.org/san-francisco-respite>

X. Short Term Child Care

Short Term Child Care can be offered by the Case Manager to applicants/participants who need child care services in order to participate in activities such as Orientation, Appraisal and Assessment. Short Term Child Care may also be authorized if needed during the client's search for a long-term provider. Short Term care is authorized in 5-day increments using Form 7020 CW Welfare-to-Work Short Term Child Care.

XI. Drop-In Child Care

On-site (Drop-in) Child Care

On-site (Drop-in) child care is provided for families with children seeking assistance at four San Francisco Human Service Agency's sites: 170 Otis, 3120 Mission Street, 1800 Oakdale and 1440 Harrison.

CW applicants and participants with children aged 2 to 12 years old can access drop-in child care services at these four locations. On-site child care is available only when the parent is in the building. The parent must sign the child in.

Parents may not leave the building without first signing out their child. This policy is strictly enforced.

Although snacks are occasionally provided, lunch is not. Parents must bring a lunch bag and/or a savory snack for their children if they will be at the site for an extended period. Child Care Specialists are not responsible for diaper changing, and will seek the parent's assistance when necessary.

XII. Non-CalWORKs Child Care

Some families are ineligible for CalWORKs child care subsidies. Subsidized child care programs not linked to the receipt or former receipt of CalWORKs cash aid are also available. These subsidies come from local San Francisco programs, administered by the California of Education and federally funded Head Start programs.

Access to most of these programs can be obtained through the Children's Council.

These subsidized child care programs are similar to CalWORKs child care and allow parents to choose from a range of child care types. There are subsidized "slots" in various centers, and in some family child care homes reserved for low-income families.

Due to funding limitations, availability of non-CalWORKs child care usually depends on the child's age. Care for children from three to five years of age is usually in greatest supply.

1. Adults eligible for Non-CalWORKs subsidized child care

- SSI recipients not aided within past 24 months
- Fleeing or drug felons not aided within past 24 months
- Timed out families who are not in Stage 3 and beyond 24 months post aid
- Undocumented families
- Low-income and working poor family not eligible for CalWORKs

2. Referral

Refer anyone not eligible for CalWORKs child care to the Children's Council for assistance in signing up for these child care programs through the Early Learning San Francisco (ELSF) Child Care System.

Children's Council Resource and Referral – (415) 343-3300

ELSF website: <https://www.earlylearningsf.org/#/Dashboard>

XIII. Notices of Action

CW regulations require that participants must be notified in writing ten (10) calendar days before any negative changes in services occur, including child care. This allows time for participants to request a Fair Hearing if they disagree with the action.

Children's Council fulfills the noticing responsibility for child care services by sending Notice of Action (NOA) forms to CW participants receiving Stages 1, 2, and 3 child care. Case Managers must notify Children's Council staff of the reasons for any child care change, such as terminations to child care, as early as possible to meet notification requirements.

There are three CDSS NOA forms used by the Children's Council to notify participants of any action regarding child care services.

NA 832 Approval of Child Care - The NOA for approval of child care is simple and direct. It indicates the period of time the child care is approved, the children eligible to receive the child care, and the rate of payment for each child to the provider.

NA 833 Change in Child Care - The NOA of change in child care arrangements is sent when there is a change in providers, child care hours, and ages of children, child care rates, participant's request and State changes to payment limits.

NA 835 Termination of Child Care - The NOA for termination of child care lists the reasons why child care can be discontinued. The applicable reason is indicated on the notice.

All notices are available in English, Spanish, Vietnamese, Russian, and Chinese.

The Children's Council emails copies of all mailed NOAs to the CW Case Manager for scanning into i-Files.

XIV. Child Care and Fair Hearing Process

A recipient may request a Fair Hearing to protest any child care denial or termination action. The process to initiate a hearing is explained in each NOA.

1. Criteria for Aid Paid Pending

Pending a child care hearing, child care services should be paid when the recipient is currently employed, participating in an approved WTW activity, or if the provider is licensed, Trustline-registered, or is otherwise eligible to receive payment.

If the above criteria are met, and a participant files a timely hearing request, child care must be issued pending the hearing. The county must rescind the action being disputed, and reactivate the child care support.

2. Fair Hearing Request for Retroactive Child Care Payment

An applicant/recipient may request retroactive payment of child care. The requirements for child care informing and the limits to retroactive payments must be applied.

XV. Forms

Note: Some forms may not be available in language translation at this time. Please check appropriate shelves for related forms.

Form #	Form Name	Purpose	Language
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7020 CW	Welfare-to-Work Short Term Child Care	Form to authorize Short Term Child Care for applicants/ participants.	English
CCP 7	CalWORKs Stage 1 Child Care Request Form and Child Care Payment Rules	Informing notice to participants about the availability of child care services.	English
CCP 8	CalWORKs Stage 1 Child Care Authorization Form	Notice to participants that they have been authorized for child care services. Form must be signed and completed with provider information once child care is secured.	English

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 8/2/19

74-2: Mental Health and Substance Abuse Services

I. Introduction

Assessment and treatment services for recipients who have substance abuse and mental health problems will be provided in recognition that these problems can be barriers to preparing for, getting, and keeping employment.

Using state funds allocated to San Francisco, the Department of Human Services (DHS) asked the Department of Public Health (DPH) to design and implement substance abuse and mental health services that would be responsive to the special needs of the CalWORKs beneficiaries.

After a competitive bid process, DPH awarded a contract to Richmond Area Multi-Services (RAMS) to provide mental health and substance abuse services on site at each of the DHS CalWORKs offices and at the main office location. DPH has an agreement with Richmond Area Multi-Services (RAMS) agency to provide services in Russian, Vietnamese, Cantonese, Mandarin and other languages. A participant may already have a treatment provider or may choose to secure the treatment services of a private provider.

Whether the Mental Health (MH) or Substance Abuse (SA) services are delivered by RAMS Counseling Services or by another community or private provider, the services may be considered a WTW Activity as long as certain criteria are met.

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): 97-72, 07-05, 08-07
2. All County Information Notices (ACIN): N/A
3. Eligibility and Assistance Standards Manual (EAS) Regulations: 42-711.571, 42-716, 42-716.23, 42-716.411-415, 42-716.51
4. California Department of Social Services Manual Letters (CDSS): EAS-03-08, 06-02
5. Welfare and Institutions Code (WIC) Sections: 11322.6, 11325.7, 11325.8, 114, 115
6. Cross-References to CalWORKs (CW) Handbook and/or Program Information Memos (PIMs) CW Handbook Sections: N/A CW PIMs: 99-16
7. Cross-References to Other Sections of this Handbook (HB) and/or WTW PIMs WTW HB Sections: 71-4, 72-2, 72-3, 73-16, 74-3, 75-2, 75-3, 75-4, 75-5 WTW PIMs: N/A

III. Policy

A. Availability of RAMS Community Services

Counselors are mental health and substance abuse therapists, experienced in working with both individuals and families to ensure that services are provided in an integrated and comprehensive fashion. Services are available to all CalWORKs recipients, whether or not they are participants in Welfare to Work. (See Part B, "Access to Services" below.)

B. Language Needs

RAMS has an agreement with RAMS agency to provide services in Russian, Vietnamese, Cantonese, Mandarin, and other languages. Spanish-speaking RAMS counselors are also available.

C. Services available through RAMS Community Services

On-site services include:

- Assessment of substance abuse and mental health needs and problems
- Treatment planning with a special emphasis on outlining what type (if any) job accommodations, restrictions, or supportive services should be incorporated into the individual's Employment Plan.
- Brief individual, family, or group counseling
- Peer support groups
- Medication and psychiatric services
- Case management services to facilitate referrals and linkages for those requiring more intensive services
- Consulting services to HSA staff

D. Other Providers

If the participant requires additional or different services than those available on-site at the Career Centers, RAMS will refer Recipients/Participants to other substance abuse or mental health providers, as appropriate.

E. Limits on Services

Mental Health and Substance Abuse Treatment as a "Core" welfare to work activity is limited to 120 hours per year for those participants with a 20-hour core requirement and 180 hours per year for those participants with a 30-hour core requirement. However, if MH/SA is counted as a non-core activity, there is no time limit on treatment.

IV. Process

A. Informing Participants of Services

All CalWORKs participants will receive an information sheet about the RAMS Counseling services and other resources available to them at the CalWORKs Orientation. RAMS staff will be present at the Orientation and available to answer questions there.

B. Access to Services

Services are available to all CalWORKs Recipients, whether or not they are participants in Welfare to Work. This includes CalWORKs intake, persons exempt from WTW, other households not required to participate in WTW, and for participants during the post-aid job retention services period.

Counseling services can be accessed at any time in the course of their CalWORKs eligibility as follows:

1. When the participant recognizes his or her own problem, self-discloses, and requests a referral from the Employment Specialist as part of his or her Employment Plan;
2. When the participant recognizes his or her own problem, self-refers, and does not disclose to the Employment Specialist that she or he is pursuing counseling services (and thus treatment hours will not be incorporated into his or her Employment Plan);
3. When the Employment Specialist recognizes (or is informed by an employer, etc.) that the participant has a problem, the Employment Specialist proposes counseling, and the participant agrees to a referral. Employment Specialist will respect the participant's right to not accept the referral if the participant is unwilling to be referred.

C. Referral Process

Once a referral to RAMS Community Services is requested or agreed to by the participant, the Employment Specialist will:

1. Prepare referral forms

- Complete the Client's Request for Counseling Services Referral Form (7008 CW),
- Have the participant sign the CalWORKs Consent to Release of Information between RAMS and DHS (7007 CW).

2. Telephone referrals

Referrals for mental health counseling and substance abuse counseling may be made by calling the main referral line at 581-0449 ext 12. The referral line is staffed from 8:30 a.m. to 5:00 p.m. by a referral counselor. The Employment Specialist will be asked to provide the information on the Counseling Services Referral Form.

If the call is answered by voicemail, the Employment Specialist should leave a message that there is a pending referral and also mention times when he/she can be reached.

3. Faxed Referrals

Referrals can be faxed directly to RAMS fax number: 581-0458. This is the preferred referral method.

4. Notification of assigned Clinician within FIVE business days of referral

Within five business days of the referral, the case will be assigned to a Clinician, and the RAMS Counselor will call and inform the Employment Specialist of the name and telephone number of the assigned Clinician.

D. RAMS Counselor's Responsibility

RAMS Counseling staff will respond to the referral within 24 business hours and will attempt to schedule an assessment within five business days of receipt of the referral. The Counseling Services Assessment Summary will be forwarded to the Employment Specialist within one week of completion of the assessment, providing information about treatment recommendations.

Counselors will maintain progress notes regarding attempts to contact the participant and dates of scheduled and completed or cancelled appointments. These notes will be added to the Progress Note section of the mental health chart when the chart is opened.

Prior to completing the assessment, Counselors will contact the Employment Specialist by telephone to advise the status and disposition of the referral, including the scheduled date of the intake and any missed appointment. Progress notes will be maintained that document the dates of these verbal notifications.

Both the Counselor and the Employment Specialist are responsible for encouraging and supporting the participant in utilizing needed mental health services.

E. Troubleshooting Missed Counseling Appointments

After the assessment has been completed, and a participant has missed two scheduled counseling sessions or has not returned calls to reschedule missed appointments, counselors may do the following:

- Send a letter to the participant;
- Contact Employment Specialist to discuss the problem;
- Request a conjoint meeting with the Employment Specialist, the Participant and the Clinician;
- A home visit by the Community Liaison.

It is critical that both the Counselor and the Employment Specialist convey to the participant that participation in mental health counseling, while voluntary, is viewed as critical to the success of the work plan.

F. Progress summaries - Counseling Progress Report

On the 10th of each month, Clinicians will prepare a Counseling Services Progress Report containing information for the prior month. This report will be forwarded to the Employment Support Services secretary (Worker# A3X0). The report is general in nature and mainly documents the participant's participation in mental health counseling. It is not intended to replace verbal communication with the Employment Specialist.

If more information regarding the content of the counseling sessions is desired, the Clinician must obtain a Consent for Release of Information (Form 7007 CW) and should discuss the specific content of such releases with the participant.

G. If services are a WTW Activity – part of the Employment Plan

The Counseling Services Assessment Summary has a section, "Recommendations for Welfare to Work Plan," in which the Clinician outlines the time parameters for making mental health services a WTW activity. For further information on this, see Section 73-16: Mental Health and Substance Abuse Services as a Welfare to Work Activity.

H. When additional or alternative services are needed

1. When on-site services are not sufficient

If it is the clinical judgment of the RAMS Counselor that the on-site services are not sufficient - that the participant needs a more intensive level of care, the participant will be referred to a more appropriate treatment provider.

2. When an exemption is indicated

When a participant is in need of temporary or permanent exemption from work activities, the Counselor will follow the procedure outlined in Exemption Determination, IV., K below.

I. Recipient in a Residential Treatment Facility

When a recipient has been accepted by or has been admitted to a residential treatment facility or to a full-day day treatment program for mental health or substance abuse, the Employment Specialist may approve the exemption based on the documentation from the program. A CW61 is not required; however, the length of the treatment must be included in the documentation. If

there are any questions concerning a facility or program, the Employment Specialist may consult with RAMS Community Services staff.

J. Confidentiality and Limits on Sharing Information

1. RAMS Counselors

Before making a referral to RAMS Community Services, the Employment Specialist shall use the Consent for Release of Information (Form 7007CW) to obtain a written consent from the participant for sharing of confidential information between DHS and RAMS.

The information to be provided by the Employment Specialist to the RAMS Counselor will be limited to the information included in the Client's Request for Counseling Services Referral (Form 7008 CW).

The information to be provided by the RAMS Counselor to the Employment Specialist will be limited to the information necessary for monitoring the Employment Plan or granting exemptions from work activities included in the Counseling Services Assessment Summary and Counseling Progress Report.

If a participant consents to release of information that is not included on the above forms, the information to be released will be specified on the Release of Information Form and signed by the participant prior to the information being released. Recipients/Participants will receive copies of all completed forms noted above.

2. Other Mental Health and/or Substance Abuse Providers

If the participant has a treatment provider or is able to access a provider in the community, the Employment Specialist shall use the Release of Information (Form 8014) prior to any communications with the provider.

If the participant chooses not to disclose information about treatment from another provider, any time spent in treatment cannot be used as part of the WTW activity requirements. If the participant wishes to make such treatment part of the Employment Plan, the same basic information that is provided by RAMS must be provided by the other provider.

K. Exemption Determination

If the RAMS Counselor assesses that the participant has significant mental health or substance abuse barriers to work activities, the Counselor may recommend an exemption for the participant. In making the determination for exemptions, the Counselor will use the Counseling Services Assessment Summary to identify the scope and extent of difficulties the participant will have in the workplace and to recommend temporary or permanent exemptions to DHS. When a Counselor proposes an exemption, the case will be reviewed by a licensed psychologist or

physician specializing in psychiatry prior to the proposal going forward to the participant's Employment Specialist.

If the Employment Specialist suspects that a participant is a candidate for exemption, and the participant has not yet been referred to RAMS, the Employment Specialist will make that referral (using Form 7008 CW) for the purpose of seeking an evaluation and recommendation.

The authority to grant CalWORKs exemptions rests with DHS. RAMS's assessment will result in one of the following recommendations:

- No treatment to be included as a WTW activity
- Treatment in conjunction with other WTW activities, or
- Exemption from all WTW activities.

When an assessment shows a participant's clinical condition is sufficient to meet the Exemption Assessment Criteria, an M.D. or Ph.D. may recommend treatment only and that the participant be exempted from all WTW activities. This recommendation will note the type of exemption, intensity of treatment needed, and special accommodations, if any, that should be made during the exempt period.

The M.D./Ph.D. must complete the DHS Medical Report Form (CW 61) and an Assessment Summary Form.

The Employment Specialist will review recommendations from RAMS, as well as recommendations from other specialists, e.g. domestic violence, employment, rehabilitation, and physicians, and consult with the unit supervisor prior to granting an exemption.

1. SSI Referral and Application

If it is determined that a participant's mental health difficulties are severe enough to qualify for SSA (for Recipients/Participants with previous work history) or SSI, RAMS counselors will facilitate the evaluation and application process, and refer to Positive Resource Center (PRC).

It is anticipated that SSI application will often involve long delays and frequent denials of benefits even when appropriate medical documentation is provided. The participant will be permitted to maintain their exempt status during the waiting period or when SSI is denied, as long as the participant is sufficiently impaired and unable to engage in WTW activities.

2. Periodic Review of Exempt Status

Exempt status will be re-assessed on a regular basis, as specified by the Counselor, but at least every six months.

3. RAMS Services continue to Exempt Recipients/Participants

When exempt, the participant will continue the treatment plan with CalWORKs-RAMS Counseling Services and/or be referred to more intensive treatment services, as appropriate. Progress Report Forms will be completed and submitted to the Employment Specialist for participants exempted for mental health and/or substance abuse reasons.

L. Mental Health and Substance Abuse Exemption Recommendations from other Providers

If a private physician or outside mental health and/or substance abuse practitioner recommends an exemption from the CalWORKs program, the Employment Specialist will ask the treating provider to complete the DHS Medical Report Form CW 61. Form CW 61 is not required but one option for medical verification. Other forms of medical verification are acceptable; i.e. medical report and/or assessment from treating provider.

The Employment Specialist shall review the CW 61 and/or other acceptable reports to determine whether or not the participant meets exemption criteria.

M. When exemption is due to Child's illness

If a participant's child is seriously ill, either physically or emotionally, to the extent that it requires a parent or caretaker to care for and be involved in the treatment of the child full-time, the parent or caretaker may be exempted from welfare-to-work activities.

The treating physician or treatment provider will need to complete the DHS Medical Report (Form CW 61) including the extent and duration of work activities from which parents or caretakers are to be exempted.

N. Grievance Procedure

At all points of decision, the Employment Specialist should remind participants that they may appeal or grieve any Department decision; they may consult a Client Advocate or an advocate of their choice. For more information on this see Section 77-1: Grievance Process.

Employment Specialists should view the Client Advocate as an ally in resolving participant complaints and grievances.

Participants may request a State Fair Hearing at any time, prior to, parallel with or after grieving through the Department's process. (See Section 77-1: Grievance Process.)

If participants have a grievance with a service provider or employer or other non-Departmental Welfare to Work (WTW) assignment, the participant must exhaust that grievance procedure. If dissatisfied with the results, the participant shall report this to the Employment Specialist and the Grievance Coordinator.

1. Grievance related to RAMS Services

When the participant signs the RAMS form, Consent for Mental Health Services, a copy of RAMS’s grievance procedure will be given to them. If they have a grievance with RAMS, they will need to follow this procedure prior to filing a grievance with DHS.

O. If case is discontinued

If the participant is discontinued from CalWORKs, the Employment Specialist must notify Paulina Low, CX4B, at 557-5197 and RAMS Community Services at 581-0449 ext 12.

V. Forms

Form #	Form Name	Purpose	Language
CW 61	Medical Report	Used to obtain documentation of disability and exemption from welfare-to-work activities	
WTW 2	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7007 CW	RAMS Counseling Services Assessment Summary	This form is to be used for assessments for Mental Health and Substance Abuse Services, through the RAMS.	English Only
7008 CW	CalWORKs Client Request for Counseling Services Referral Form (RAMS)	The ES completes this form when referring a participant for mental health or substance abuse services, through RAMS on-site Counselors at DHS	English Only
7009 CW	Counseling Resource List for CalWORKs Recipients/Participants	Handout to Recipients/Participants: SF Mental health and substance abuse service providers.	English Only

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 8/2/19

74-3: Domestic Violence Services

I. Introduction

Effective 2017, La Casa De Las Madres Program is contracted to provide domestic violence (DV) advocate services to the Human Services Agency. DV Advocates are on-site at CalWORKs 170 Otis Street office.

Please see the handbook sections referenced below for a full discussion of domestic violence services as they relate to CalWORKs and WTW.

The La Casa De Las Madres Program Advocate assigned to 170 Otis can be reached at (415) 503-0500.

II. References

A. The listing of DV services

Find the listing of DV services in this handbook, Section 71-6, Domestic Violence and WTW.

In the CalWORKs Eligibility Handbook, Section 50-33.

B. DV and CalWORKs

For a complete overview of domestic violence and CalWORKs see CalWORKs Eligibility Handbook, Sections 50-30 through 39.

C. DV and WTW

For a complete overview of domestic violence and Welfare-to-Work refer to this handbook: Sections 71-6 and 73-17.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
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74-5: The CalWORKs Transportation Plan and Travel Reimbursement

I. Introduction

This section addresses State and County transportation services for CalWORKs participants. Case Managers must ensure that transportation services are authorized for CalWORKs participants involved in Welfare-to-Work (WTW) activities or post-aid retention services. With prior approval, participants engaged in approved WTW activities must also be reimbursed for incurred travel expenses.

The CalWORKs Transportation Plan documents prior approval for a participant's travel expense. The transportation plan is required for every participant prior to payment authorization. A transportation plan is not required if a participant's sole means of transportation fulfilled by the Lifeline MUNI Fast Pass.

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): ACL 00-12, ACL 00-54
2. All County Information Notices (ACIN): ACIN 1-70-99
3. Eligibility and Assistance Standards Manual (EAS) Regulations: 42-711, 42-711.631, 42-711.632, 42-711.635, 42-750.112, 42-716.11
4. California Department of Social Services Manual Letters (CDSS): Manual Letter No. EAS-06-01
5. Welfare and Institutions Code (WIC): Section 10531 (f)
6. Cross-References to CalWORKs (CW) Handbook and/or Program Information Memos (PIMs), CW PIM 05-03, CW PIM 07-10
7. Cross-References to Other Sections of this Handbook (HB) and/or WTW PIM, Section 74-8, WTW PIM 06-03, WTW PIM 07-05

III. Policy

A. California State Policy

State statutes and regulations require that the San Francisco Human Services Agency provide CalWORKs participants with transportation services that are necessary for a participant to obtain or retain employment, or to participate in assigned Welfare-to-Work activities. In the

case that supportive services are not available, the individual has good cause for not participating in an activity.

B. State Regulatory Highlights

- Capping transportation services is prohibited. Established limits on the transportation amounts are not allowed.
- Participants in unsubsidized employment may receive transportation services.
- Participants may not be required to use their income or assistance to pay for transportation.
- Participants receiving financial aid for education may not be required to use their educational funds for transportation
- Transportation utilizing multiple public transportation carriers must be authorized if the transportation is necessary to participate in an assigned activity. Transportation must be authorized for public transportation that is within a two-hour, round trip limit.
- Fixed rate public or private transportation payments are reimbursable transportation expenses. Public transportation, mileage, bus fare, carpools, vanpools, or for private transport that bring children between school and childcare must be available to participants and/or their children to and from welfare-to-work activities. (I.E. \$40 per month to secure a seat in a vanpool or \$6 per week to help cover the cost of gas in a co-worker's car).
- Reimbursement as a CalWORKs transportation service must be granted to parents of school aged children if the transporting of the children is a necessary support service in order for the parent to participate in their welfare-to-work plan. Some parents rely on multiple childcare arrangements to meet their needs, such as transportation that takes children from school to another provider after school.

C. Transportation Benefits for CalWORKs Participants

Transportation services or transportation costs may be authorized or reimbursed for CalWORKs participants engaged in WTW activities.

Qualifying WTW Activities include:

- Work
- Orientation
- Family Stabilization Planning (FSP)

- Appraisal
- Up-Front Job Search
- Assessment
- Domestic Violence Service Plan
- An approved WTW activity
- Compliance
- Post-Aid Retention

D. The CalWORKs Transportation Plan (Form 7012 CW)

The development of a transportation plan necessitates interactive communication between the Case Manager and participant. The goal of the discussion should be aimed to map the most efficient and cost-effective means of transport to and from WTW activities. After a transportation plan is finalized and approved, the benefits must be recorded in CalWIN. The Form 7012 must be sent to i-Files.

1. Encourage Cost Effective Means of Transportation

Case Managers should encourage participants to review public transportation resources on the internet or by telephone. This includes, alternate means of transport (i.e. car pool, van pool) for participants who work outside of normal business hours, or in hard to reach locations.

2. Review current Internet Transportation Resources

Such as:

www.511.org

www.yahoomap.com

www.mapquest.com

Bay Area Public Transportation Assistance: Dial 511

3. Free MUNI Lifeline Passes for Youth

The MUNI Youth Program provides CalWORKs recipients living in San Francisco aged 5 to 18 free access to Muni services through a Clipper card. Children need not reapply for the program until their 19th birthday. Parents may apply online:

<http://www.surveygizmo.com/s3/1914594/Free-Muni-Application>

4. Mileage Reimbursement Requests

Participants may request mileage cost reimbursement for travel to WTW activities. The mileage to and from the WTW activity must be detailed in the CalWORKs Transportation Plan.

5. Cases when Public Transportation is not available

Participants may be reimbursed for car pool, van pool or personal car usage if public transportation is unavailable to an approved activity.

6. Ancillary Requests

Payments for the renewal of a participant's driver's license, car insurance, car repairs, or car expenses are not transportation expenses. Such requests are considered "ancillary" services. See the WTW Handbook Section 74-6 for the policy and procedures for these automobile related requests.

E. Transportation Plan Exceptions

Transportation Plans are not required when:

1. A Lifeline MUNI Fast Pass is the sole means of transportation. Document the Lifeline Fast Pass request on the Employment Plan (WTW 2A).

2. The Participant's request for reimbursement is for the 1st month of employment. This is called a "First Month on the Job Exception". Participants may receive a travel reimbursement for the first month of travel to work.

IV. Procedures

Lifeline MUNI Fast Passes and Muni Tokens should be authorized prior to a participant's activity start date. Commuter checks must be authorized in the present month of the activity, and on a monthly basis. The Commuter Check handbook section (74-5.4) includes helpful directions on how to plan a commute by public transit.

A transportation reimbursement may be authorized for participants who chose to drive.

If the Participant elects to drive, mileage, bridge toll and parking reimbursements are not to exceed the public transportation rate. The mileage and the public transit rate must be detailed on a CalWORKs Transportation Plan (7012 CW).

A. Procedures

1. Required Verification

Upon authorization, the following required verifications must be sent to i-files.

- The proof of current insurance coverage for the vehicle to be used. Participants must verify that that car they will use to travel to the activity is insured.

NOTE: The insurance is not required to be in the Participant's name but if it is not, written permission of the owner/insurer for the Participant to use the vehicle is required.

2. Prior Authorization of CW Transportation Plan (Form 7005)
 - Participants must submit Form 7005 CW prior to any transportation reimbursement on a monthly basis.
 - Case Managers must inform participants that travel expenses must be received by HSA within two months of incurring the expense. Reimbursement **may not be issued after 2 months.**
3. Supervisor Approval of the Plan
 - Form 7012 CW must be reviewed and approved by the Unit Supervisor prior to the Case Manager's CalWIN authorization.
4. The Case Manager must furnish a copy of the CalWORKs Transportation Plan to the participant after all the required signatures. A copy must also be sent to i-files.
5. Section Manager Review
 - Transportation plans with a total cost of \$300 or more must be submitted to the WTW Section Manager for review and approval.
6. Car pool charges over \$75.00 per month must also be reviewed and approved by the WTW Section Manager.

B. Post-Aid Retention Transportation Eligibility

Subsequent discontinuance, families are eligible for post-aid retention transportation services. Adults may receive transportation to and from work, when receiving Unemployment Insurance Benefits (UIB), or for activities that began prior to discontinuance.

Retention participants may receive transportation services for up to one year from the date of discontinuance, or until the monthly gross income exceeds 100% of the State Median Income (SMI).

The Retention Specialist must send a 10-day notice of discontinuance (NA 821) to families earning above the SMI.

C. Three Month Review of Eligibility for Post-Aid Benefits

Employment and/or training status must be reviewed every three months. Use the form Request for Post-aid Supportive Services (7219 CW) to assist with the review as needed.

For Fiscal Year 2017–18, contractors must use the following chart when determining initial income eligibility.

Schedule of Income Ceilings (70 percent SMI) for Initial Certification Child Care and Development Programs*

Family Size	Family Monthly Income	Family Yearly Income
1 - 2	\$4,030	\$48,361
3	\$4,340	\$52,076
4	\$4,877	\$58,524
5	\$5,657	\$67,888
6	\$6,438	\$77,252
7	\$6,584	\$79,008
8	\$6,730	\$80,763
9	\$6,877	\$82,519
10	\$7,023	\$84,275
11	\$7,169	\$86,031
12	\$7,316	\$87,786

D. Transportation Informing Procedures

Every participant must be informed about the transportation policy, verbally or in writing:

- During Orientation and Appraisal

- When engaged in job search or starting a job
- When signing the WTW Employment Plan
- When the WTW activity will require travel outside the City of San Francisco
- When a participant chooses to drive within the City
- When post-aid retention services begin

V. Forms

The following forms are referenced in each transportation handbook section as applicable. English forms are on CalWIN as noted. The translated forms are available in paper copies. Click on the links below to access forms.

Forms#	Form Name	Purpose	Language
7005CW (4/08)	CalWORKs Transportation Expense Report	Participant shall use to document transportation expenses for reimbursement or substantiation for pre-paid travel.	
7012CW (4/08)	CalWORKs Transportation Plan	Form for the Employment Specialist and the Participant to complete recording the type and cost of transportation approved for WTW participation. Required for all types of transportation, except tokens or Fast Pass.	Chinese Russian Spanish Vietnamese
7219CW (8/12)	Request for Post-Aid Supportive Services	Form to request post-aid services and verify employment for post-aid eligibility	Chinese Russian Spanish Vietnamese

VI. Notices of Action

The appropriate Notice of Action (NOA) must be sent to the participant. The notices and links are listed in the Forms section below.

Forms#	Form Name	Purpose	Language
7221CW (10/12)	CalWORKs Transportation Policy	A notice outlining CalWORKs transportation policy requirements, on-aid and post-aid; with details on how to pick up a Fast Pass and the procedure for lost and stolen Fast Passes.	Chinese Russian Spanish Vietnamese
NA820	Welfare-to-Work Transportation Approval	NOA sent when the FAST PASS or other WTW transportation is authorized	
NA821	Transportation Denial	NOA sent when transportation is denied.	
NA821	Transportation Discontinuance	NOA sent when transportation is discontinued.	

NA822	Transportation Change	NOA sent when changes are made to the transportation initially authorized in the NA 820	
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

74-5.1: Fast Pass

I. Fast Pass Policy

Authorize a Fast Pass if it facilitates participation in WTW.

The initial assignment and authorization for a Fast Pass is one month. Once a pattern of attendance in Welfare-to-Work (WTW) Activities is established, Fast Passes may be assigned through the duration of the activity, and authorized every eligible month. Fast passes issued by HSA are Lifeline Fast Passes. Lifeline Fast Passes are discounted monthly MUNI passes for qualified low-income San Francisco residents. The Lifeline Fast Passes are only valid on MUNI vehicles. Lifeline passes are not valid on BART.

A CalWORKs Transportation Plan (7012 CW) is not required to issue a Lifeline Fast Pass.

If a participant provides verification that a Lifeline Fast Pass is not sufficient to meet the participant's needs, a Transportation Plan is required. See Section 74-5, page 2, B to develop a Transportation Plan.

A. Who is Eligible for Fast Pass?

1. Eligibility for Adult Pass

Adult recipients are eligible for a Fast Pass when they are employed or are participating in WTW activities for travel within San Francisco. Volunteer participants are also eligible to receive Lifeline Passes

2. Eligibility for Youth Passes

Children 5-12 years of age are eligible to receive a Fast Pass when public transportation is necessary to and from childcare or school in order for the parent to participate in a WTW activity.

Free Muni for Youth

The Free Muni Program provides low and moderate-income San Francisco youth ages 5 to 18 free access to Muni services when using a Clipper card. All San Francisco youth aged 5 to 18

with a gross annual family income at or below 100 percent of the Bay Area Median Income level are eligible for the program. The pass will continue to work until the child's 19th birthday.
How to Sign-Up for Free Muni for Youth

Information on Youth Muni Clipper Cards:

Phone: 1-877-878-8883

Email: <https://www.sfmta.com/fares/free-muni-youth>

B. Combination Passes

Case Managers may authorize a combination fast pass in the form of a Commuter Checks or BartPlus, when participant's WTW activity requires passage on MUNI and other transit systems (I.E. BART, Sam Trans, Marin Transit, etc.). The authorization of combination passes should be considered to find the most efficient and economical public transit plan.

Commuter Check handbook section (74-5.4) includes information on combination passes.

C. Lost or Stolen Lifeline Fast Passes

The Fast Pass procedure requires participants to present previous month's Fast Pass to Hand Issue before issuance of new Fast Pass.

If the participant does not have the previous month's Lifeline Fast Pass, Distribution staff will give the participant the CalWORKs Transportation Policy Form (7221 CW) to remind the participant of HSA's Fast Pass policy before the participant is issued a Lifeline Fast Pass for the current month.

Current Month's Issuance of Lost or stolen Lifeline Fast Pass

Lifeline Fast Passes are considered cash. HSA incurs the cost of passes. Replacement passes are not automatically upon request. Under no circumstances is a lost or stolen Lifeline Fast Pass to be replaced with a new pass for the same month, unless the Unit Supervisor determines that special circumstances warrant issuing a replacement.

1. Stolen Fast Pass

Participants must present a Police Report to verify that their Fast Pass was stolen or is unavailable due to a catastrophic condition beyond their control (I.E. accident, fire, natural disaster, etc.)

Police Reports must be i-Filed, with documented in CalWIN comments. The Unit Supervisor must determine if a replacement Fast Pass or Tokens, for the remainder of the month should be issued. (Reminder: Form 8029 - Fast Pass Post-Theft Authorization is obsolete).

2. Lost Fast Pass

Case managers must determine if there is “good cause” for reissuing Fast Pass after lost.

Determining good cause is appropriate when participant is employed or engaged in a WTW activity. Without transportation, a participant would have good cause for failure to participate. The Unit Supervisor must determine if a replacement Fast Pass or Tokens should be issued for the remainder of the month.

D. Muni Tokens

MUNI tokens are issued when a current Lifeline Fast Pass is lost or stolen, and cannot be re-issued. Case Managers may authorize tokens to a participant for the remainder of the month, to enable the participant to work or attend a WTW activity. Case Managers must document the reason for issuance in CalWIN Case Comments.

MUNI tokens are also issued when a participant is starting a WTW activity or employment late in the month.

ii. Procedure

A. CalWIN Authorization

CalWIN Instructions

See WTW Handbook Section 74-5.5 for CalWIN data entry instructions for all transportation authorizations.

Value of Adult Fast Pass

Effective July 1, 2019 (FY20): The cost of a Lifeline Fast Pass for adults \$40

Cancel the Fast Pass assignment in CalWIN when:

1. The participant is not participating in the assigned WTW activity or Service Plan
2. The WTW Activity ends, and there is a break of over one month before next approved activity is scheduled to begin

3. When cash aid is discontinued, unless employed or eligible for post-aid transportation services

Find the instructions on how to cancel a Fast Pass authorization in the CalWIN On Line User's Manual (OLUM), under Assign or Deny Transportation Services. A Fast Pass cannot be cancelled after authorization.

Who Can Pick Up Fast Pass?

Participant is expected to pick up Fast Pass from Hand Issue.

Participant who request someone else to pick up their Fast Pass, the Case Manager must send a signed memo to Hand-Issue authorizing the individual by name. ID is required for the person picking up the Lifeline Fast Pass.

Case Managers may sign for the Lifeline Fast Pass in Hand Issue and arrange delivery to the participant.

Mailing a Lifeline Pass

Generally, Lifeline Fast Passes may not be mailed. The Lifeline Fast Pass may be mailed if the participant's WTW activity precludes office pick-up, taking into consideration Hand Issue's extended hours. A written request from the participant is required. The request must include the participant's acknowledgement of the "No Replacement Policy," should the Fast Pass be lost in mail.

B. Notification of Procedures, Issuance Schedule, Approvals, Denials

Required notices to inform participants about transportation supportive services include:

1. Fast Pass Procedure

First Lifeline Fast Pass authorization: Give the participant the CalWORKs Transportation Policy (7221 CW) Flyer. The flyer includes information about Lifeline Passes and the lost policy. Give all participants the 7221 CW flyer when again before reissuing a lost fast pass.

2. Notice of Action

Notify of Transportation Expense:

- Approval NA820
- Change NA822
- Denial NA821
- Discontinuance NA821

Generate Notices of Action (NOAs) in CalWIN system. See Section 74-5 or 74-8 for information on the NOA's available in CalWIN, and in hard copy.

3. Fast Pass Issuance Schedule

The Fast Pass Pick-Up Notice (NA820) confirms eligibility for each Fast Pass and provides information about Hand Issue Fast Pass Distribution Schedules. The Schedule is updated quarterly.

C. Issuance of Fast Pass

Hand Issue distributes Fast Passes

1. Hand Issue Schedule

Hand Issue posts the Fast Pass Distribution Schedule monthly. Passes are available for a minimum of 10 working days: last week of month and first week of issuance month (from 25th of month up to 10th of following month).

Participants may pick up Fast Passes at DHS Hand Issue offices at 170 Otis Street or 1235 Mission Street. Both offices have extended hours for a few days around the first of the month.

2. Hand Issue's Process

Authorizations entered in CalWIN by Employment Specialist.

- a. Hand Issue will not give out a fast pass without seeing an authorization on the Search for Office Issuances window.
- b. Hand Issue will not give a Fast Pass to anyone other than the participant, without a signed and dated (current) authorization from Employment Specialist.
- c. Participant must present previous month's Fast Pass before the participant is issued a new one.
- d. Youth pass from previous month is not required by Hand Issue to issue fast pass for new month.
- e. When participant goes to Hand Issue Window, Hand Issue will:
 1. Ask for the participant's SSN
 2. Review CalWIN for Fast Pass authorization
 3. Refer participant to Employment Specialist if no authorization on the Search for Office Issuances window
 4. Ask for previous month's Fast Pass (as described in "c" above).
 5. Complete Fast Pass Signature Log. The Hand Issue clerk enters:

- Participant's case number
- Participant's name;
- ID presented by Participant;
- Fast Pass serial number(s);
- Hand Issue worker number;
- (Have participant sign and date Fast Pass Log before issuing new Fast Pass)

6. Enter Fast Pass serial number in CalWIN.

III. CalWIN

See Section 74-5.5 for all CalWIN data entry information for transportation.

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	Effective: 8/2/19

74-5.2: Muni Tokens

I. Muni Token Policy

MUNI tokens may be issued for actual rides needed to go to and from an assigned activity during the authorization period. Tokens are not to be issued for routine family travel. weekends. Tokens for single rides on San Francisco MUNI may be issued to participants for the following WTW or CalWORKs activities:

- Orientation
- Appraisal interviews
- Assessment appointments
- Compliance appointments
- WTW activity when the WTW activity starts a week or more into the month and after MUNI Fast Passes are no longer available for issuance
- FSP or HSP activities
- CalWORKs DV Service Plans

The CalWORKs Service Counter staff may issues 5 tokens to CalWORKs Recipients upon declaration of a transportation issue.

A. Tokens for Children

Tokens may be authorized for children aged 5-12 when the participant must transport the child to and from childcare/school (by MUNI), in order to participate in assigned activities. Case Managers must explain to all CalWORKs parents that MUNI Lifeline passes are free to youth. Tokens should not be issued for youth when there is a more cost effective program.

B. MUNI Lifeline Passes for Youth

The MUNI Youth Program provides CalWORKs recipients living in San Francisco aged 5 to 18 free access to Muni services through a Clipper card. Children need not reapply for the program until their 19th birthday.

Parents may apply online: <http://www.surveygizmo.com/s3/1914594/Free-Muni-Application>

C. Fast Pass Replacement/Reissuance

The Case Manager must authorize participant the necessary quantity of tokens to attend assigned activities if the Fast Pass cannot be re-issued. Fast passes are only available at 1235

Mission Street Distribution after the 10th of each month. Excessive token or Fast Pass replacement requests must be reviewed by Case Manager’s Supervisor and the Section Manager.

II. Procedures

A. Muni Token Data Entry/Rates

A sufficient number of tokens must be issued to participants according to transportation to each assigned activity, when a fast pass is not cost-effective.

1. Data Entry Information

For step-by-step instructions on how to issue Lifeline monthly passes, MUNI tokens, and Commuter Checks on CalWIN go to the HSA Internet to find the guide.

Muni Tokens (#042.ES.1)

To find CalWIN How-To Guide #026.ES.1:
 Go to the **CalWORKs intranet** webpage
 Under Program Topics, Click on [CalWIN How To's: CalWORKs](#)
 Click on [Issue Tokens \(042.ES.1\)](#)

2. Token Rate

Case Managers must document token issuances as a transportation expense in CalWIN. The value of one token is \$1.35 (Effective 9/1/2018)

Transportation Expense	Issuance Type	Unit Cost Effective 7/1/17	Unit Cost Effective 9/1/18	Unit Cost Effective 7/1/19
Muni Tokens	Bus Tokens	\$1.35	\$1.35	\$1.50

B. Responsibilities

WDD and WTW Outstation Unit Clerks maintain a supply of tokens and a “Token Signature Log”.

1. Outstation Unit Clerk Responsibilities

- a. Administration of the Token Signature Log. The participant must sign, and date the log upon receiving the tokens

- b. Reconciliation of the Token Signature Log. The number of tokens issued, and the remaining total number of tokens on hand must be documented during issuance.
- c. Submission of the weekly Token Signature Log to CW Distribution. Every Monday, the log must be sent to hand issue.
- d. Token supply replenishment. When the token supply is exhausted, additional tokens must be signed out and authorized by CW Distribution. The
- e. The authorized representative must sign for replenished tokens.

2. Distribution Responsibilities

- a. On a weekly basis, post the number of tokens issued to each participant on the Process Office Issuance. Detail Window in CalWIN
- b. Notify the Employment Specialists immediately of:
 - 1. Discrepancies between authorized and issued amounts
 - 2. Missing authorizations.
- c. Ensure that outstations have sufficient tokens available for distribution.

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	Effective: 8/2/19

74-5.3: Mileage and Van or Car Pools

I. Mileage and Van or Carpool Policy

A CalWORKs Transportation Plan (7012 CW) is required prior to reimbursement for mileage.

Effective 1/1/2019, the mileage for travel within or outside San Francisco County is 58 cents per mile. The previous rate for 2018 was 54.5 cents per mile.

For the yearly standard mileage rate, go to: <https://www.irs.gov/newsroom/irs-issues-standard-mileage-rates-for-2019>

Bridge tolls and parking fees should be submitted when a transportation plan is submitted for approval. Employment Specialist should encourage the use of discount books, and the new Fast Track System for bridge tolls. Receipts are required.

If the transportation plan is for a car pool or Van Pool, pay the actual cost as documented by the driver. Section Manager Review and approval is required for expenses over \$300 per month for mileage or over \$75 per month for car pool.

II. Procedure

A. Required Documentation for Mileage Reimbursements

Participants must provide a driver's license and car insurance documentation, if reimbursable costs listed on a transportation plan include use of a vehicle. Mileage expenses exceeding \$300 per month must be approved by the WTW Section Manager.

Vanpool or Carpool expenses exceeding \$75.00 per month must also be approved by the WTW Section Manager.

After a mileage costs have been approved for reimbursement, the ES must provide the participant with an adequate supply of CalWORKs Transportation Expense Reports (7005 CW) forms needed for the length of the activity.

The Participant must submit the following items before the Employment Specialist may authorize an in-house check for reimbursement:

1. Form 7005, CalWORKs Transportation Expense Report, must be completed, signed, and dated by the participant.
2. Bridge toll receipts
3. Parking fee receipts

B. Expense Request Requirement Noticing

The ES must clearly explain and inform Participants that they cannot receive any reimbursement for mileage expenses until their completed CalWORKs Transportation Expense Report (7005 CW) form and expense receipts have been received and processed. ESs notify participants expense reports will not be reimbursed if submitted more than two months after the transportation cost was incurred.

Monthly Reporting

Participants must submit Form 7005 on a monthly basis. The ES should suggest that the participant submit the form after the last workday of the month.

Mileage Verification

Mileage claims may be verified by attaching:

- Information provided on-line at: <https://www.google.com/maps/> or <http://www.mapquest.com>
- Daily odometer readings

Participants who submit odometer readings must be confirmed by on-line map resources. Mileage requests are only valid for days the participant attended a WTW activity.

C. Mileage Reimbursement Procedure

After a transportation request has been approved, payments are issued through the Employment Services Participation Subsystem in CalWIN. Please refer to the CalWIN On-Line User Manual (OLUM) topic, "Assign Transportation Services," for mileage reimbursement issuance instructions.

D. Car Pool / Van Pool

If a car pool or Van Pool is the transportation plan, the Participant must provide the following:

- A receipt or statement from the driver of the pool with the exact cost of the pool.

Or

- The participant may provide a sworn statement

Either statement contain the following details:

- The date
- A signature
- The cost of the transportation
- The expense period for the cost

E. Car Pool / Van Pool Reimbursement Procedure

After a car pool/van pool request has been approved, payments are issued through the Employment Services Participation Subsystem in CalWIN. Please refer to the CalWIN On-Line User Manual (OLUM) topic, "Assign Transportation Services" for step-by-step instructions on how to issue car pool and van pool reimbursement to participants.

F. Notification Of Approvals, Changes, Denials

Notify the participant in writing of the approval, change, or denial of expenses. Notices of Action (NOAs) are generated through the CalWIN system.

The NOAs are included in the forms listed in Section 74-5 and discussed in detail in Section 74-8.

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74-5.3.1: Supportive Services - Transportation Policy: Mileage Form

I. Introduction

The CalWORKs Transportation Expense Report (7005 CW) has been revised.

II. Policy

The CalWORKs Transportation Expense Report (7005 CW) is effective for all cases immediately.

Participants must return the form by the 11th of each month.

The form is located on the HSA Intranet.

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	Effective: 8/2/19

74-5.4: Transportation Costs - Commuter Checks

I. Introduction

Commuter Checks (CC's) are a way to prepay transportation costs for Participants who have established commutes on public transportation, outside the City. The alternative is reimbursing clients after they have completed travel, requiring them to pay up front from their own funds.

Commuter Checks are a significant transportation option available to the Employment Specialist and

Participant when:

- Developing the Employment Plan, or
- Approving transportation for working clients who are on cash aid, or for discontinued clients during the year of eligibility for post-aid job retention services.

Commuter Checks can be redeemed by the Participant at a variety of vendors in the city to purchase passes for several Bay Area Transportation Authorities. (List of purchase sites, Transportation Authorities and informational websites are attached to this section.)

Commuter Checks are available in denominations of \$20, \$30 and \$45 only.

II. Commuter Checks Policy

A. Eligibility for the Commuter Checks

Participants are eligible for Commuter Checks when they use public transportation outside of San Francisco in order to participate in any approved Welfare to Work (WTW) activity or to go to work.

B. Commuter Checks Expire

Each Commuter Check has an expiration date printed on it. Commuter Checks must be used before the expiration date. Expired Commuter Checks cannot be accepted or replaced.

C. No replacement, cancellation or reissuing of Commuter Checks

Although they are called "Commuter Checks (CC)", they are NOT a check. Commuter Checks are the same as cash, and DHS incurs the cost of them.

Commuter Checks cannot be cancelled, reissued or replaced. Participants must be informed of this at the time the CC's are authorized.

D. Commuter Checks are available in three denominations only

The denominations available in Commuter Checks from the company who distributes them are: \$20, \$30 and \$45.

Commuter Checks must be issued in multiples of these denominations to the amount closest to the amount needed to purchase transit passes. The vendor at the point of sale will not refund the difference to the Participant or to the City. Any excess amount is profit to the seller. Therefore, the amount issued should not exceed \$5 more than the amount needed.

If the Participant's total commute cost exceeds the closest CC issuance amount, s/he may pay the difference in cash, save the receipts, and be reimbursed through the ancillary check issuance policy when the receipts total \$25 or more. (See Section 74-7).

E. Limits on number of Commuter Checks per instance

The Metropolitan Transportation Commission policy states that ten CC's can be redeemed at any one time.

F. Restrictions on issuing Commuter Checks

Commuter Checks are negotiable, like cash. They cannot be replaced. Do NOT send CC's through the mail.

G. The Commute Plan

When the Participant is traveling outside the city for work or his/her WTW Activity, consider the following factors in making the commute plan:

- Convenience
- Safety
- Time spent in transit
- Cost of transportation

III. Commuter Checks Procedures

A. Process for determining the commute and the specific Commuter Check needs

1. Review transportation plan with the Participant

The information to be reviewed includes:

- Participant's address
- Location of training place or employment
- Location of child care, if appropriate
- Transit authorities systems (e.g. BART, MUNI, AC Transit, Sam Trans) used and total daily cost

2. Frequent commutes by CalWORKs Participants

Most out of city travel by CalWORKs participants is by Sam Trans to South City or San Mateo County, or BART to Oakland or to the SF Airport.

Sam Trans has a MUNI sticker that may be purchased that allows for travel on both MUNI and Sam Trans.

BART Plus Tickets are available for travel on the following Transit Systems:

- BART
- Benicia Breeze County Connection
- Dumbarton Express
- Rio Vista Delta Breeze
- SamTrans
- Santa Clara County VTA
- SF MUNI
- Tri Delta Transit
- Union City Transit
- West CAT
- WHEELS

Resources for information, fares, and travel route planning on all transit systems can be found on the last page of this handbook section.

B. Issuance of Commuter Checks

The Hand Issue Unit at 170 Otis is responsible for issuing CalWORKs Commuter Checks. Hand Issue will not give out any Commuter Checks without an authorization.

1. Denomination of Commuter Checks

Commuter Checks are only available in the following denominations: \$20, \$30, and \$45.

To decide how many CC's to issue, match the transit ticket values and the CC value, i.e., look at the transit pass cost and compare it to the denominations of the CC.

Commuter Checks must be issued in multiples of these denominations to the amount closest to the amount needed to purchase the transit passes. The vendor at the point of sale will not refund the difference to the Participant or to the City. Any excess amount is profit to the seller. Therefore, the amount issued should not exceed \$5 more than the amount needed.

2. Issuance hours

Commuter Checks will be issued by Hand Issue during normal business hours and extended hours during the Fast Pass period. They will not be issued at off-sites.

3. Issuance period

Commuter Checks may be distributed any time during the month.

4. When a Participant does not pick up the Commuter Checks

If a Participant fails to pick up the Commuter Checks for the previous month, Hand Issue will refer the Participant to his/her Employment Specialist.

The CalWIN authorization must be cancelled and a new CalWIN authorization must be entered for the current month, if appropriate.

If Commuter Check authorization is still pending, cancel from the "Authorize Supportive Services by Participant" window in CalWIN. Change "Pending" Status to "Cancelled" status.

If Commuter Checks have already been authorized, cancel from the "Search for Issuance" window in CalWIN. Click on the "Issuance Detail" tab and then Click on "Change Status" tab. Update the issuance status to "Cancelled."

5. No replacement of Commuter Checks

Commuter Checks are the same as cash, and DHS incurs the cost of them. There will be NO replacement of lost or stolen CC's. Participants must be so advised at the time the CC's are authorized.

C. Notifying the Participant of Commuter Checks - Notices of Action

When the Participant starts his/her job and/or WTW activity, transportation should be authorized at the same time. When the authorization is entered, check "Client Correspondence" window in CalWIN to be sure the appropriate Notice of Action is being sent to the Participant.

D. Holding Commuter Checks

The Employment Specialist may need to discuss WTW activity attendance and progress, or other concerns with the Participant.

If the Participant must be seen before the CC is issued, the CC can be placed on "Hold" status from the "Benefit Issuance and Recovery" subsystem in CalWIN. Please refer to the CalWIN On-line User Manual (OLUM) for step-by-step instructions on how to hold benefits.

After meeting and reaching an agreement with the Participant regarding progress, the CC hold can be released. The hold can be released from the "Benefit Issuance and Recovery" subsystem in CalWIN.

Please refer to the CalWIN On-line User Manual (OLUM) for step-by-step instructions on how to Release Hold on benefits.

IV. CalWIN Process to Authorize Commuter Checks

A. Commuter Check Authorization

For step-by-step instructions on how to authorize Commuter Checks in CalWIN, please refer to the CalWIN How-To Guide #011.GEN.1.

B. Changing, Ending, or Restarting Authorizations

When an authorization has to be changed or updated, entries must be made in the "Employment Services Participation" subsystem in CalWIN.

1. Changing Authorization

There is no way to actually change an existing CC authorization once it has been accepted in CalWIN. If the Employment Specialist discovers that the Participant needs more or less Commuter Checks than was originally entered, the existing authorization has to be discontinued first. Then, a new authorization can be entered according to the changes.

2. Ending Authorization

To end the Commuter Check authorization, entries must be done in the "Employment Services Participation" subsystem in CalWIN. Please refer to the topic, "End Transportation Services" in the CalWIN On-line User Manual (OLUM) for step-by-step instructions on how to end Commuter Check Authorization.

3. Restarting Authorization

To restart a Commuter Check Authorization, entries must be made in the "Employment Services Participation" subsystem in CalWIN. Please refer to the topic, "Assign Transportation Services" in the CalWIN On-line User Manual (OLUM) for step-by-step instructions on how to restart Commuter Check Authorization. Essentially, restarting is equivalent to initiating a brand new authorization.

V. Hand-Issue Responsibilities

Hand Issue will search for the pre-authorized Commuter Check benefits by "Bus Tickets" under Issuance Type in CalWIN.

Hand Issue will not give CC's to anyone other than the Participant or the Employment Specialist.

When the Participant goes to the Hand Issue Window, Hand Issue Staff will:

1. Ask the Participant for his/her picture ID and SSN
2. Review CalWIN for Commuter Check authorization
 - a. Refer the Participant to his/her Employment Specialist if no authorization appears on the Search for Office Issuances window
3. Complete the CC Signature Log when there is a current authorization

Hand Issue Clerk enters:

- a. Participant's SSN
 - b. Participant's Name
 - c. ID type presented by Participant
 - d. CC serial number(s)
 - e. Hand Issue Worker Number
4. Have the Participant sign and date the CC log before issuing the CC
 5. Have the Participant fill out the back of the CC before leaving the window
 6. Enter the CC serial number(s) in CalWIN

VI. Phone Numbers, Websites and Information

Following is a list of informational resources on mass transit in the Bay Area.

- On the web <https://511.org/>: Click on "Transit" to get a list of Transit Providers and Links to their websites. Everything related to public transportation can be found on this website.

- Telephone: Dial 511. This is an equivalent of 511.org website. Call for a variety of transit options in the Bay Area including car pool and van pool information.
- BART and Commuter Check Information: Form 7011 CW (Revised 1/13) A DHS Handout with BART Plus information and ticket values, where to buy BART Plus, and information about Commuter Checks. Give to a participant who is a new commuter.

Note: Employment Specialists should always verify current fares and routes for each transit provider prior to developing the CalWORKs Transportation Plan with Participant.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 8/2/19

74-5.5: Transportation - CalWIN and Rates

I. CalWIN for Transportation

The following CalWIN instructions are for all types of transportation authorizations.

A. Data Entry Information

For step-by-step instructions on how to issue Lifeline monthly passes, MUNI tokens, and Commuter Checks on CalWIN go to the HSA Internet to find the guide.

The following CalWIN instructions are for all types of transportation authorizations.

Lifeline Monthly Pass (#026.ES.1)

To find CalWIN How-To Guide #026.ES.1:

Go to the **CalWORKs intranet** webpage

Under Program Topics, Click on [CalWIN How To's: CalWORKs](#)

Click on [Issuing Fast Pass \(026.ES.1\)](#)

Muni Tokens (#042.ES.1)

To find CalWIN How-To Guide #026.ES.1:

Go to the **CalWORKs intranet** webpage

Under Program Topics, Click on [CalWIN How To's: CalWORKs](#)

Click on [Issue Tokens \(042.ES.1\)](#)

Commuter Check (011.GEN.1)

To find CalWIN How-To Guide #026.ES.1:

Go to the **CalWORKs intranet** webpage

Under Program Topics, Click on [CalWIN How To's: CalWORKs](#)

Click on [Enter Commuter Check \(011.GEN.1\)](#)

B. Rate Charts

The following charts explain the transportation expense and rates to enter in CalWIN. Youth MUNI Lifeline passes for children are free, and must be obtained from MUNI.

Transportation Expense	Issuance Type	Unit Cost Effective 7/1/17	Unit Cost Effective 8/1/18	Unit Cost Effective 9/1/19
Lifeline Monthly Pass	Bus Pass	\$38 Adult	\$39 Adult	\$40 Adult
Muni Tokens	Bus Tokens	\$1.35	\$1.35	\$1.50
Commuter Checks	Bus Tickets	Issued in amounts of \$20, \$30 or \$45		

Mileage Reimbursement		
2017	2018	2019
53.5 cents	54.5 cents	58 cents

C. Lifeline Pass Recertification

every two years the San Francisco Human Services Agency (HSA) recertifies all Lifeline customers. All Lifeline card 2018 holders should now have a "2020" sticker or card.

D. MUNI Lifeline Passes for Youth

The MUNI Youth Program provides CalWORKs recipients living in San Francisco aged 5 to 18 free access to Muni services through a Clipper card. Children need not reapply for the program until their 19th birthday.

Parents may apply online: <http://www.surveygizmo.com/s3/1914594/Free-Muni-Application>

E. Notices of Action

NOA Table for Transportation	
Transportation Approval	NA 820
Transportation Change	NA 822*
Transportation Denial	NA 821*
Transportation Discontinuance	NA 821*
** The NA 821 and 822 are translated and in paper copy	

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 1/8/20

74-6: Ancillary Services

I. Introduction

Ancillary Supportive Services is the term used in CalWORKs regulations to refer to the payment by the county for work or training related expenses. Examples of ancillary services include: tools or uniforms for a job or for vocational training, interview clothing during job search, books or supplies required for a vocational training or education activity.

Ancillary expenses are paid either by an ancillary check, HSA voucher or via EBT card. Usually the Employment Specialist approves the request and initiates the EBT issuance, check request or voucher process. Providers who enroll cohorts of CalWORKs Participants in their programs may use the "Provider Cohort Request" procedure to obtain ancillary services for several Participants at one time.

The provider in this process will work with a clerk in CalWORKs Employment Support Services who has been designated the Ancillary Services Clerk. When a provider has a cohort, the Ancillary Services Clerk asks the Employment Specialist for approval of ancillary service and then processes the check or voucher for the whole cohort at one time. Hand Issue/Distribution and Accounting are also involved in ancillary payments. In the case of EBT issuance, the Employment Specialist will generate the issuance via CalWIN.

The county has established policy for what constitutes an allowable ancillary service. The overriding policy is that the ancillary service must be required for participation in a Welfare to Work activity and is approved on a case-by-case basis. The provider must obtain CalWORKs Program approval for ancillary services expenses before their program starts.

II. References

A. References from the Law and Regulations

All County Letter (ACL) 98-41.

CalWORKs Welfare to Work MPP: 42-750.1, .2, .3, .4.

B. References from San Francisco's Welfare to Work Operations Plan

Section V. C.

III. Policy

A. State Policy

Necessary supportive services shall be available to every participant in order to participate in the program activity to which he or she is assigned or to accept employment. If necessary supportive services are not available, the individual shall have good cause for not participating. Supportive services shall be included in the Welfare to Work Employment Plan.

Ancillary expenses shall include the cost of books, tools, clothing specifically required for the job, fees, and other necessary costs.

Payments for ancillary services shall be advanced to the participant when necessary and desired by the participant so that the participant need not use personal funds to pay for these services.

Participants in on the job training, supported work or transitional employment who remain eligible for aid will be eligible for ancillary expenses. Additionally, Participants in on the job training who become ineligible for CalWORKs due to earned income will be eligible for supportive services in certain circumstances (see Handbook Section 73-4 On-the-Job-Training).

Notices of Action (NOAs) shall be issued to CalWORKs participants for approval, denial, or termination actions and changes regarding ancillary services. NOAs are not required for one-time, short-term activities or for payments that are equal to the amount claimed by the participant or service provider.

B. Local Policy

1. Principles

These principles apply to all decisions about authorization of ancillary services.

Does the ancillary service:

- Assist the participant in reaching their vocational/employment goals;
- Provide for expenses that are required for participation in a CalWORKs Welfare to Work Activity
- Meet the individual participant's needs.

Welfare to Work Handbook

Each authorization must be done on a case-by-case basis. The activity provider or employer must provide documentation of the ancillary service request.

2. Approval of ancillary expenses:

The signature of the Employment Specialist AND the Unit Supervisor is required for every individual authorization.

Special consideration can be given for exceptional cases, with the review and approval of the Section Manager.

Providers must obtain CalWORKs Program approval of cohort ancillary service expenses before their program begins. Requests for approval are made to the Program Manager for Employment Support Services.

3. Use of Vouchers is recommended: Purchases of ancillary services using a voucher is recommended. Vouchers are used when purchasing from approved HSA vendors.

4. Ancillary checks require receipts:

The alternative to using a voucher is writing an ancillary check to the Participant or to the store/vendor. An advance payment written to the store or vendor may be made based on an estimate from the vendor, or the Participant may be reimbursed upon show of receipts from the vendor.

Receipts for the purchase MUST be submitted to the HSA Accounting office for all ancillary checks. (Cross-reference: Handbook Section 74-7, Check Request Procedures.) If receipts are not received from the Participant within 10 days, another advance ancillary payment shall not be authorized without supervisory review.

5. EBT Issuance

In addition to voucher or check, the ancillary payment can be made via EBT issuance.

Ancillary Guidelines for Welfare to Work Activities

The Case Managers are to use the following guidelines when reviewing requests for clothing allowance while client is enrolled in subsidized, wage subsidized or unsubsidized employment activity.

GUIDELINES	
1	Review case for client's participation history. Determine whether client had received the payment via Goodwill Voucher or \$50 cash allowance previously and the date if

	issued previously.
2	If this is the first request, client is eligible for \$50 clothing allowance to be issued on the first day for example, CJP1.
3	Client may be eligible for an additional \$50 clothing allowance on a case by case basis. Supervisory approval is needed on such request.
4	Client is eligible for additional \$50 allowance without supervisory approval if the next activity is to a higher tier. For example: CJP1 to CJP
5	Any activities higher than CJP, such as, ITIP, PST, wage subsidized employment or unsubsidized employment; Dress for Success should be offered.
6	Clients in any Tier 2 or 3 activities or in full time employment may request \$100 in clothing allowance instead of Dress for Success. Supervisor’s approval is needed if the cost exceeds \$100.
8	Issuances are to be made via the EBT card, check or warrant. ALL authorizations for payment require either an the itemized estimate for purchase or actual receipts for reimbursement.
9	A WTW Ancillary Services Approval/Denial (NA 823) must be issued within TEN working days from the date ALL required documentation is received.

The Employment Specialist shall authorize ancillary services according to the following policy guidelines for welfare-to work activities:

a. Training or Education Activities

Obtain written documentation from the education or training provider of the REQUIRED course material, supplies or uniforms. Authorize up to two (2) uniforms for programs that require “whites”

In addition to REQUIRED needs, a basic miscellaneous supply allowance of up to \$50 per school year may be authorized; recognizing that most training programs are less than a year, but not all. Miscellaneous supplies include paper, pens, backpack, markers, and binders.

b. Guidelines for Job Readiness/Job Search Activities:

During the Job Readiness/Job Search Activity, on a case-by-case basis, authorize:

- Up to \$100 for interview clothes.
- Hair care for Participants with special needs
- A Miner Miracle clothing voucher for Participants with special needs

c. Guidelines for the Employed Participant:

Upon a definite offer of employment, authorize:

- Up to \$100 for clothing
- Tools
- Uniform
- Union fees

The Job Developer, the training program provider or the employer can document the need for tools and uniforms. Once employed, Participants must purchase their work clothing.

NOTE: Authorizations for clothing must be made based on the individual's case situation. If clothing has been authorized previously, it may NOT be necessary to authorize again when a new activity begins or the Participant starts work.

IV. Policy for Automobile Related Expenses

A. Car Repairs/Insurance /Registration/Renewal of Driver's License for a Job or WTW Activity?

There may be related expenses when a Participant uses a car for transportation for WTW. These costs might include car repairs, insurance, car registration, driver's license or other costs.

When the Participant requests assistance with any of these items to enable them to participate in WTW use the following guidelines to approve requests:

- Verify the car is the only way to get to work or training and use of a car and mileage reimbursement will be approved in the CalWORKs Transportation Plan (7012 CW).
- Or the car is needed to DO the job
- Or the driver's license is required for the job.
- Determine this is the ONLY activity provider the participant can use to obtain this training. Is there no provider in the city or within easy public transit distance with an equal program? Are there special needs that justify the individual driving rather than using public transit, i.e., safety or disability.
- Request estimate for car repair from a licensed repair shop. Determine if the estimate is reasonable. Additional estimate(s) may be requested.
- If insurance is needed to get the car registration, pay for the shortest period available to start the policy (i.e., a month or perhaps 3 months, as allowed by the company).

For information about a liability insurance program for low income San Francisco residents see: <https://www.aipso.com/Default.aspx>

This is a pilot program for Los Angeles and San Francisco administered by California's Low Cost Automobile Insurance Plan, phone 415-765-6767.

The Participant may wish to use this resource for liability insurance.

- Approve on a case-by-case basis.
- Approve payments for any of the items requested one time only
- Section Manager approval is required for payment of these requests.

B. Parking Tickets and Traffic Fines

CalWORKs does not pay tickets/fines from ancillary funds. Refer the Participant to Project 20 as an alternative to paying the full cost of the ticket/fine. Project-20 is a program designed for any San Francisco resident to work off the cost of traffic tickets and/or fines by doing community service.

Project 20 charges fees which can be waived or reduced for CalWORKs recipients. The reduced fees may be paid with ancillary payments.

You can also refer the participant to Bay Area Legal Aid, Legal Barriers to Employment Project, 415-982-1300 x.378 for assistance to clear her/his record.

V. Post-Aid Ancillary Benefits Policy

A family is eligible for post-aid retention ancillary services when discontinued for any reason and a Participant is employed or receiving UIB. Eligibility continues for up to one year from the date of discontinuance or until the monthly gross income exceeds 100% of the State Median Income (SMI), whichever comes first.

In a two-parent family, both parents are eligible for retention services, whether or not they were both actively participating in WTW while on aid.

The family is eligible for ancillary benefits for work, training or education.

A. Eligible Up To 100 % of the State Median Income

Use the table below to determine if the family’s monthly gross income reaches the SMI for a family of their size.

Once a family’s income reaches the SMI for their family size they are no longer eligible to receive ancillary benefits. Give a 10-day notice of discontinuance (NA 821).

State Median Income Table by Family Size											
Family size	1-2	3	4	5	6	7	8	9	10	11	12
Monthly. Gross Income	4414	5453	6491	7530	8569	8763	8958	9153	9348	9542	9737

NOTE: This chart is subject to change. See WTW HB Section 74-1 for more information.

B. Three Month Review of Eligibility for Post-Aid Benefits

Review employment and/or training status and income eligibility every three months. Use the form Request for Post-aid Supportive Services (7219 CW) to assist with the review as needed.

C. Averaging Income

If a family has a fluctuating income, you may average the income for a three-month period in order to determine eligibility.

D. Re-Applying

If benefits have been denied or terminated and there is a change in income, a post-aid Participant may request review at anytime during the 12 months of post-aid eligibility.

IV. Process

A. To Authorize by Voucher

For how to authorize and request ancillary expenses for a Participant using a HSA vendor and paying by a voucher rather than by an ancillary check, see 74-6.

B. For Cohort Request

For how a service provider may request authorization and payment for ancillary services for a cohort or group of participants all at one time through the Ancillary Services Clerk, see 74-6.3.

C. To Authorize by Check

For how to authorize and request ancillary expenses for a Participant using the ancillary check procedure see: 74-7.

VII. Forms

Form #	Form Name	Purpose	Language
WTW 2 (12/12)	WTW Plan Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW2A	Employment Plan and Activity	(On the reverse side of the WTW 2) Basic	Chinese

	Assignment	objectives and strategies of the Employment Plan; describes the method(s) for monitoring the Participant's progress in the activity(s) in the WTW 2.	Russian Spanish Vietnamese
7012 CW (4/08)	CalWORKs Transportation Plan	Form for the Employment Specialist and the Participant to complete recording the type and cost of transportation approved for WTW participation. Required for all types of transportation, except tokens or Fast Pass.	Chinese Russian Spanish Vietnamese
7023 CW (4/98)	CalWORKs WTW Ancillary Check Request Log	Unit record of Ancillary check requests (7010 CW) for a given month, maintained by Unit Clerk	
NA 823	Ancillary Expenses Approval/Denial	NOA sent to approve or deny requested Ancillary Expenses.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 02/22/17

74-6.4: Ancillary Expenses: Vendor - A Miner Miracle

I. Introduction

A Miner Miracle (AMM) is a nonprofit organization providing professional clothing and image counseling for male and female CalWORKs Participants seeking employment.

When a Participant has completed training or school, or is otherwise ready to begin intensive job search, and lack of suitable clothing is identified as a barrier to employment s/he can be referred to AMM.

The Employment Specialist must consider available resources and authorize a referral to AMM when appropriate.

II. Policy

What does A Miner Miracle Provide?

Information regarding the organization and their services is available at their website at www.aminermiracle.org.

For CalWORKs Women, The Finishing Touch Program is provided for \$110. The women are served at AMM retail and accessories boutique, SHOP, at 418 Sutter Street.

The one-hour appointment includes:

- One interview-appropriate outfit, this includes a skirt or pants, blouse and coat or jacket. All clothing is new, famous maker from sizes 4 - 24;
- Accessories and Shoes (black/work appropriate) upon availability. All shoes are new and available in sizes 6 -11. Additional clothing will be substituted if shoes are not available or not needed by the participant;
- Private makeup lesson and products;
- One-on-one consultation on grooming and image counseling by a counselor; and
- AMM 90-day Membership card - Good for additional discounts at AMM store.

For CalWORKs Men, the following package is provided for \$150. The men are served at 414 Mason Street, Suite 501.

The one-hour appointment includes:

- One interview appropriate outfit - this includes (depending on the type of employment being sought): a suit and 2 dress shirts or 2 casual shirts and slacks with sports coat/jacket or sweater;
- Alterations (as needed);
- Accessories - including socks, belt, necktie and a pair of shoes. All shoes are new and available in sizes 7-14; and
- One-on-one consultation on grooming and image counseling by a counselor.

III. Referral Process

Who to Refer:

A CalWORKs Participant may be referred to A Miner Miracle when she/he is:

- Job ready
- Actively interviewing for a job AND
- Needs guidance in business dress/ make-up/haircut and will benefit from counseling on appropriate standards of business attire

As part of determining whether to refer the participant:

- Discuss this referral as a one-time appointment which will give the Participant a chance to learn about a professional appearance, grooming skills and to receive clothes that are appropriate for interviewing. Determine whether the Participant will benefit from the opportunity.
- Reinforce that the appointment is NOT a "shopping trip", rather a one-time opportunity for the participant to receive a coordinated business outfit. AMM is limited to the inventory on hand, but the selection is varied and the Participant ultimately chooses his/her outfit.
- A consideration when referring to AMM is that very small and extra large sizes are especially difficult to find in Goodwill or many retail stores. AMM specializes in large sizes-up to women's size 18 or men's size 60. Small sizes start at size 4 for women and at size 28 for men. 100% of the inventory is new.

The Participant's clothing size, height and weight are important referral information so the AMM counselor may prepare for the appointment with individual.

How to Refer:

If participants meet the requirements for an AMM referral, complete the following referral process:

1. Complete the CalWORKs Referral to A Miner Miracle, Form 7043CW (click on the link below to access form) including all identifying information as well as sizes, height and weight and referring worker's phone and fax number.
2. Obtain the Supervisor's signature on the form
3. Fax the referral to AMM at 415 217-7235. AMM will contact the ES within 24 hours of receipt of referral to discuss appointment slots available.
4. Once appointment has been scheduled, review the completed referral form with the Participant and obtain his/her signature.
5. Make a copy of the signed form 7043CW; give the original to the Participant.
6. Inform the Participant he/she must take the referral form to the appointment at AMM. All men's appointments are at 414 Mason Street, Suite 501 (between Post and Geary Street). All women's appointments are at the AMM boutique, SHOP, located at 418 Sutter Street.
7. Fax the form with the confirmed appointment date to AMM. AMM fax # 217-7235 (listed on the lower section of the form).
8. File a copy in the case file.

IV. The Referral and AMM

On the appointment day, AMM will complete the bottom of the form 7043CW for each participant, and will fax the completed form to the referring worker.

1. Missed appointments re-schedule

If the Participant failed to keep the appointment, can establish good cause for the failure, and would like another appointment, the appointment may be rescheduled one time.

Call to get a new appointment; inform the Participant of the new appointment. Remind the Participant to take the referral (Form 7043CW) to AMM the day of the new appointment. Update the appointment on the original referral.

No new paperwork is required for the re-schedule. Simply update the appointment date on the original referral (7043CW) and fax the form to AMM.

The referral form 7043CW will be used by AMM to bill for their services monthly

V. Processing the Referral for Payment to AMM

The vendor payment to AMM is deducted from the participant's ancillary funds. The payment is issued to AMM via check through the Administration Manager in Workforce Development Division (WDD). Payments are not issued through CalWIN.

To process payment:

- ES shall verify that an appropriate WTW activity is posted in CalWIN.
- AMM shall submit the referral and invoice to the Administration Manager in WDD.
- The Administration Manager, upon receipt of the AMM referral and invoice, shall verify that the WTW activity is posted in CalWIN. Once activity is verified, she will request a check from accounting and then mail the check directly to AMM.
- Administration Manager staff enters and approves supportive services in CalWIN, but does not authorize the supportive services.
- Once the payment is approved by Administration Manager staff, it will appear as an "Issuance Pending" on the Benefit Issuance window in CalWIN. Since the payment was made outside of CalWIN, directly to AMM, the issuance will remain pending.
- To confirm that the participant received AMM services, the ES can view the "Issuance Pending" on the Benefit Issuance window.

VI. Forms

Form#	Form Name	Purpose	Language
7043CW	CalWORKs Referral to A Miner Miracle	The form to use when referring a Participant to AMM for interview clothing and image consulting.	English Only

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Pro>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 2/7/20

74-6.5: Ancillary Expenses: Vendor - Dress for Success

I. Introduction

Dress for Success (DFS) is a non-profit vendor providing feminine professional clothing and image counseling for CalWORKs participants seeking employment.

DFS provides interviewing skills, wardrobe consultation, professional attire and an overall confidence boost to participants

II. Policy

DFS offers supportive services for eligible CalWORKs participants, including:

1 .Consultation

- 1:1 wardrobe consultation and advice regarding professional attire.
- No clothing provided.
- Takes place on-site at either 3120 Mission or 1800 Oakdale.
- Eligible participants will receive a \$50 ancillary check to purchase interview clothing wherever they choose.

2. Consultation and Suiting Service

- 1:1 wardrobe consultation and advice regarding professional attire.
- Interview skills assessment and training.
- 2 outfits/suits (may include full suits, blouses, shoes, accessories and a handbag, depending on sizing availability).
- Overall confidence boost to increase self-esteem and self-confidence.
- Participants must travel to the DFS Boutique at 500 Sutter Street (at Powell), Suite 218, and can expect to spend ½ hour at their suiting appointment.
- Vendor payment is deducted from participant’s ancillary funds.

Participants referred to DFS boutique for Suiting Services are expected to adhere to the following DFS protocol:

- Attend appointment alone (exceptions: ES may accompany participant if necessary, or participant may be accompanied by a translator or someone to help provide special assistance if needed).

- Arrive no more than 15 minutes before appointment time. Participants arriving more than 15 minutes late will not receive services.
- Personal hygiene must not jeopardize the condition of clothing. If DFS feels this is an issue, participant will be asked to reschedule appointment.
- Demonstrate professional conduct and positive attitude. Participants who do not meet this criteria may be asked to leave and will not be eligible to reschedule.
- Have an identified and appropriate need for clothing assistance (e.g. completing a job training program, starting an internship, have an actual interview scheduled, etc.) Participants may be asked to provide proof of scheduled interview.
- Contact DFS if unable to keep scheduled DFS appointment. Participants who miss their appointments will not be contacted to reschedule.

Note: DFS will contact Employment Specialist if participant misses a scheduled appointment.

III. Eligibility

Eligible participants include:

1. CJP1 participants who need professional attire.
 - a. CJP1 participants will receive information regarding DFS Services during Orientation, and will be able to choose one of the following options:
 - b.
 - i. Referral for DFS Consultation and a \$50 ancillary issuance (check) to purchase clothing anywhere (Service Activity: Women's Interview Clothing - Consultation).
 - ii. Referral for DFS Consultation and Suiting Service (Service Activity: Women's Interview Clothing).
 - iii. Opt out of DFS services and a \$50 ancillary issuance (check) to purchase clothing anywhere.
 - c. WDD staff will assist in referring CJP1 participants to the DFS activity of their choice.
2. Participants in other activities may be referred to DFS for Suiting Service if appropriate, based on their activities, plan, and employment-related goals. Prior to making a referral, Case Manager should consider:
 - a. If lack of professional attire is a barrier to participation in their training or work activities, career advancement, or moving forward in their WtW program.
 - b. If the participant is in a higher tier activity than CJP (e.g. PST, wage subsidized employment, etc.) or has a scheduled job interview.
 - c. Whether the participant has previously used DFS services.

- d. Whether participant is eligible for an ancillary clothing payment for work or interview clothing (vendor payment is deducted from the participant’s ancillary funds). Refer to WtW HB 74-6: Ancillary Services for detailed ancillary guidance.

NOTE: Case Manager should consult with their Supervisor prior to making a referral to DFS. It is the responsibility of the Case Manager to ensure that participants are screened and referral is appropriate before it is initiated.

IV. Referral

All DFS referrals will be made through Launchpad (LP).

1. CJP1 participants will be referred by WDD staff for the DFS service they choose.
2. Carrying Case Manager may refer other eligible participants, as appropriate, with Supervisor approval.
3. DFS Referral Form should be uploaded to LP and sent with the referral.
4. Generally, referral to DFS will be one-time only. Participants should be notified that if more clothing is needed to continue job search, Goodwill Clothing Vouchers may be authorized.
5. DFS Client Information Sheet should be reviewed with and provided to participants.

V. Forms

Form #	IC	Title	Use
N/A	N/A	Dress for Success Client Referral Form	Used by WDD and CW staff to refer participant for DFS suiting services.
N/A	N/A	Dress for Success Client Information Sheet	FAQ provided to participants referred by Case Manager.

Section 75 - Case Management

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 4/1/15

75-1: Case Management for Welfare-to-Work

I. Introduction

The Employment Specialist (ES) will provide the case management function in San Francisco's Welfare-to-Work Program (WTW). The ES works with WTW participants to move them from Welfare-to-Work. The ES is the major point of contact for participants in the Human Services Agency and the ES coordinates and facilitates the constellation of services and communications that are the participant's Welfare-to-Work world.

These can include job search, education and training providers, counselors, the Childcare Program Specialist, client advocates, other City and County Departments (e.g., Public Health, Child Protective Services, Housing Authority, Probation), Employment Development Department, school district personnel.

The ES must know all the parts of the WTW system and how they function.

The ES must balance a variety of roles while keeping focused on the participant and movement from Welfare-to-Work. This is an extremely difficult journey for most participants and the ES can make an essential difference in how the participant fares. The ES is a coach and a champion for the participant, and at the same time it is the ES who triggers the actions that can reduce or cut off the participant's grant.

Both the participant and county are dependent on the ES for the success of Welfare-to-Work. It is an awesome responsibility; however, the ES is not alone. They are a part of a collegial team that includes six or seven other Employment Specialists and a Unit Supervisor, as well as a Childcare Program Specialist, Vocational Specialist, Mental Health, Substance Abuse and Domestic Violence Specialist.

II. Reference

A. References from the Law and Regulations

All County Letter (ACL): 97-72, VI, C, and D, VIII

B. Reference from San Francisco's Welfare-to-Work Operations Plan

Section III, (E), IV, (B),(5),(6), (C), (D), (E); VI (A); VIII, XI, (d)

C. Cross-References to Other Section in this Handbook

Section 75-2: Referral Procedures

Section 75-3: Confidentiality and Code of Ethics

Section 76: Non-Compliance, Good Cause Determination, Conciliation and Sanctions

D. Other

UC Davis Training Module on Casework, February 1998.

III. Policy

To assist individuals on welfare to address the obstacles they face in preparing for, obtaining and retaining employment, they must navigate through a maze of problems and opportunities. Case management is the mechanism whereby all these elements and logistics are coordinated on behalf of the client.

A. Goal

The goal of case management is to effectively assist and facilitate individual's move from welfare to work.

B. Objectives

Case management objectives are to:

- Assist CalWORKs recipients to engage in the welfare to work process - to take "ownership" of their own program path
- Monitor participant's activities so that the worker can anticipate problems and opportunities, and employ effective methods for dealing with them.
- Link welfare to work participants to the community resources that will meet their needs
- Do the work in such a way that the participant's capacity for "case managing" their own life is strengthened - their own capacity to effectively plan and manage the tasks of daily life and work. (Remember the strengths-based philosophy of S.F.'s welfare to work program and that people respond much more effectively to positive feedback and encouragement than they do criticism.)

- Remember that the participant is part of a family constellation - recognize the concerns and needs of other family members as the participant is making the transition from welfare to work.
- Carry out the above and at the same time maintain complete and accurate records, keep current with new resources and regulations.
- Maintain collegial relationships with peers, supervisors and other in the unit, the department, other governmental agencies and the community.

IV. About Case Management

What follows are several lists of advice for case managers. It is likely that none of this is new information, but they are good reminders.

A. Case Management Tools

Keep clear and concise records, which include:

1. Case Narrative Entries

- a. Dates of contact
- b. Accurate description of the nature and content of the contacts by the worker with the participant and with others (family members, service providers, employees, etc.)
- c. Dated references to agreements, contracts, etc. which are signed by the participant.
- d. Approval actions by the supervisor and date

2. Forms, documents

File all agreements, forms in assigned sections of the case file.

3. CalWIN Entries

Workers can access reminders by participant's SSN, worker number, or date. Overdue action dates are highlighted. Workers can create their own reminders.

B. Eight Essential Interviewing Skills

1. Focusing - listening and attending
2. Effective Inquiry - asking open and closed questions
3. Reflecting feeling - accurately identifying and reflecting the client's emotions
4. Reflecting Content - understanding the client's statement and showing that they are understood

5. Self-Disclosing - sharing personal experience in a way that does not intrude upon the interview or put the focus on the interviewer
6. Information Giving - orienting, advising, suggesting, informing or giving feedback
7. Confronting Effectively - requires identifying inconsistencies and stating them without value judgements
8. Summarizing - stating the main themes of the client's statements over a period of time

C. Skills and Knowledge of Case Management

<p>RELATIONSHIP BUILDING</p> <p>ACTIVE LISTENING</p> <p>ACCEPTING</p> <p>BUILDING ON THE CLIENT'S CHOICE</p> <p>RESPECT FOR THE CLIENT</p> <p>GIVING ENCOURAGEMENT</p> <p>BEING SPECIFIC AND CLEAR</p> <p>BUILDING ON STRENGTHS</p> <p>INTERVIEWING</p> <p>ASSESSMENT</p> <p>KNOWLEDGE OF APPROPRIATE RESOURCES</p> <p>AGREEMENT IN CASE PLANNING AND DEVELOPMENT</p>	<p>MONITORING</p> <p>EVALUATING A PLAN</p> <p>CONFLICT RESOLUTION SKILLS</p> <p>MOTIVATION</p> <p>PROBLEM SOLVING SKILLS</p> <p>ASSERTIVENESS</p> <p>MANAGING INDIVIDUAL, RELATIONAL AND ORGANIZATIONAL BARRIERS TO CHANGE</p> <p>RESISTANCE - UNDERSTANDING THE DYNAMIC AND MANAGING IT</p> <p>NEGOTIATION</p> <p>TERMINATING THE RELATIONSHIP - WHEN THIS IS NECESSARY, HOW TO DO IT EFFECTIVELY</p>
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V. Tasks and Processes of the Employment Specialist

A. Making Referrals and Following Up

The actual processes for specific referrals are contained in Section 75-2, Referral Procedures.

B. Managing Overlapping Agency Involvements

Participants will come into the welfare to work system having existing relationships with various entities.

These include their families and friends, the Housing Authority, school district, Children's Protective Services (CPS), Food Stamps, Probation Department, institutions where they live

(churches, community centers), employers, service providers. Some of these will be helpful in the welfare to work journey and some may be problematic and pose obstacles.

During the welfare to work process, participants will be thrust into relationships with new entities, again, with the potential for being helpful and/or problematic.

It is one of the tasks of the ES to help the participant sort through and manage these affiliations in ways that are helpful and productive. The ES too, must know how to navigate among these in the best interests of the participant.

1. Follow protocols where they exist - with some, such as CPS, Public Health, and the Children's Council, there are written protocols regarding confidentiality and sharing information. (see Section 75-3, Confidentiality)
2. Where there are no protocols, the ES may have to chart his/her own course based on professional standards, communications with the Unit Supervisor, the relationship with the participant and the participant's needs.

C. Troubleshooting, Barrier Remediation

A great deal of the ES's and participant's time will be taken up with a variety of problems and crises that interrupt the participant's smooth transition from welfare to work.

If the ES has a good relationship and good communication with the participant, this can make a considerable difference in both the number and resolution of problems.

D. Bay Area Legal Aid access to iFiles case records

A network I.D. has been established for each Bay Area Legal Aid client representative to access case records in the iFiles application. An access folder ("Bay Legal") has been created on the O: drive for storing and reviewing of the client's iFiles case records and documents.

The Bay Area Legal Aid client representatives will use a single point of contact to request access to the case record (CalWORKs@sfgov.org) by entering the subject line "iFiles case record request" and attaching Bay Area Legal Aid's Authorization to Release Information form.

Full Case Review Process

1. When Bay Legal requests a full case review through calworks@sfgov.org, Supervising Worker #C240 sends the request to the Bay Area Legal Liaison, Worker #E207 and Clerical Worker, #CX2D.
2. Clerical Worker #CX2D will retrieve the case file from iFile and place in the "Bay Legal" folder on the O: drive for review.

3. Once the case file has been placed in the "Bay Legal" folder, Worker #E207 or the designee,
 - will arrange a date and time for Bay Legal rep to come in and review the case file on the computer
 - submits a task on the "day of" to have an EW available to answer any questions the Bay Legal rep may have

Specific Requests

When Bay Legal does not request a full case review, but requests specific documents or information through calworks@sfgov.org in order to see any of these: benefits history, TOA review, OP/OI review, MFG and/or DV research or any exemptions, etc., the following process will apply:

1. Supervising Worker, #C240 sends a TMT request for an EW to print out the documents and provide them to Bay Legal.
2. Clerical Worker, CX2D (or his staff) will assign this task to an EW.

Bay Area Legal Liaison (Worker #E207 or designee) would not be involved in this process. Unless the request is for a full case review, the requests should not require Bay Legal to sit down with an EW, but rather the EW should be tasked to do the research and send the materials and/or answer the questions for Bay Legal.

If the review is on a WTW Case;

- The Bay Area Legal Aid Liaison will notify the Employment Specialist or his/her supervisor to assist the Bay Area Legal Aid reviewer.
- If needed, any documents or information needing printing should be printed on the network printer mapped to that PC that is being used for the review. The Bay Area Legal Aid Liaison, alternate or the ES/EW will assist in printing any information needed.

Once the review is completed;

- The Bay Area Legal Aid reviewer will "check-out" with Bay Area Legal Aid liaison or alternate to ensure the network files are close and any printed documents left are destroyed.
- The ES or EW will enter into the case comments that the request was made and date of review.

It is important that any confidential information and/or documents that are printed and that are not taken by the Bay Area Legal Aid client representative be immediately discarded in the confidential documents bins in the location or area where the review is completed.

E. Language Interpretation Requests for Non-English or Limited English Speaking Clients

For interactions with clients who speak less common languages in less complex interactions (such as scheduling a meeting) and when bilingual staff is not available:

Language Line Over-the-Phone Interpretation Service

From any phone follow the instructions below, if you have conference calling features be sure to use it before you place your call.

1. Dial **1-888-419-0164**

2. Select the language you need:

- a. Press 1 for Spanish
- b. Press 2 for all other languages and state the name of the language you need
- c. Press 0 for assistance if you do not know the language

3. Provide your 3 digit access code: **159**

4. Provide your worker number to the agent

5. You will be connected to an interpreter who will provide his/her name and ID number

Brief the Interpreter. Summarize what you wish to accomplish and give any special instructions.

ADD THE CLIENT to the line.

Say "End of Call" to the Interpreter when the call is completed.

*** If you are asked for your Client ID # please provide 501641**

IMPORTANT INFORMATION:

INTERPRETER IDENTIFICATION - Interpreters identify themselves by name and ID number. Feel free to note this information for future reference if your organization requires it for their records or to comply with regulatory requirements.

WORKING WITH AN INTERPRETER – At the beginning of the call, briefly tell the interpreter the nature of the call. Speak directly to the limited English speaking speaker, not to the interpreter, and pause at the end of a complete thought. Please note, to ensure accuracy, your interpreter may sometimes ask for clarification or repetition.

CUSTOMER SERVICE– To provide feedback, commend an interpreter, or report any service concerns, please contact the Office of Civil Rights at (415) 557-5576.

F. Avoiding Sanctions

The best way to avoid getting involved with sanctioning the participant is to cultivate and nurture good communication. Maintain regular and clear communications. Listen carefully to what the participant is saying - and not saying, and maintain the focus on the goal of unsubsidized employment. Remember that people respond best to positive feedback and supportive interactions.

For more information, see Section 76, Non-Compliance, Good Cause Determination, Conciliation and Sanctions.

VI. Forms

Form #	Form Name	Purpose	Language
8014(15)	Authorization to Release Information	Standard HSA form for client signature – ES must have a client’s authorization before communicating with any agency or party outside HSA about the client.	
Form L1	Request for Interpreter	For requesting language interpreters or interpretation services for Non-English speaking or Limited-English speaking clients	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 75-2 Referral Procedures	Effective: 9/21/18

75-2: Referral Procedures

I. Introduction

This Handbook section discusses the use of the CalWORKs Employment Services Referral Form (7006 CW). It also addresses the referral steps and other forms that are required for specific Welfare to Work activities or providers.

II. References

A. References from the Law and Regulations

WIC §11325.1, §11325.22, §11325.25(a), §11325.25(b), §11325.4, §11325.5, §11325.7, §11325.8(c)(2)

Education Code §33117.5

All County Letter (ACL) 98-41: 42-711.58, # 08-03

B. References from San Francisco's Welfare to Work Operations Plan

Sections III (I), IV (A, C, G), V (D), VIII (B)

C. Cross-references to other sections of this Handbook

Section 72-2: Assessment

Section 72-3: Employment Plan

Section 72-4: Self-Initiated Programs

Section 73: Welfare to Work Activities

Section 73-16: Mental Health and Substance Abuse Services

Section 73-17: Domestic Violence Services as WtW Activity

Section 74: Supportive Services

Section 75-1: Case Management

Section 75-5: Evaluation

Section 75-6: Reappraisal and Extensions

Section 77: Grievance Procedures

D. Other references

CalWORKs PIM #98-10: Domestic Violence

WTW PIM 12-47 DOR Referral Process

WTW PIM 13-21 Updated Enrollment and Monitoring Processes for WTW DOR Participants

III. Policy

A. Refer to programs that are free to Participants

It is the policy of the San Francisco Department of Human Services to refer CalWORKs Participants to publicly funded programs to optimize services that are free to CalWORKs Participants. (Some programs have received funds specifically to work with CalWORKs Participants.) Providers include community based organizations (CBOs) and City College of San Francisco (CCSF). Programs that serve low-income individuals through the Private Industry Council (PIC) are another free resource. Participants should be discouraged from applying to institutions or programs for which they must take out loans to pay fees or tuition.

B. Limit gaps between activities

The urgency presented by the 48-month and the 18-24-month time clocks requires that Participants must maintain a steady involvement in WtW activities to achieve the goal of unsubsidized employment. If there is more than a one-month gap in time between the completion of the Employment Plan and the start date of a specific activity, the Participant must enroll in an interim WtW activity.

IV. Process

A. The CalWORKs Employment Services Referral Form (7006 CW)

This form is the primary tool to refer a Participant to most WtW activities.

1. Referral section

The Referral section at the top of this form introduces the Participant to a service provider, and it records the referral appointment information for the Participant. The form identifies the person being referred as a CalWORKs participant who may be eligible for Department of Labor (DOL)-funded programs, San Francisco Housing Authority programs, or other special services.

a) DOL-WtW eligibility

This refers to the qualifications required for entry to programs that receive special funding from the Department of Labor (DOL) Welfare to Work program. The Employment Specialist should record the results from the CalWORKs Employment Referral Form, Substantiation of Eligibility for Part "A" and/or Part "B" (Form 7004 CW), if the Participant is eligible for Part A and/or B, whenever the individual is referred to a CalWORKs provider for a WtW Activity. (See Section 72-2: Assessment.)

b) Non-custodial parent (NCP)

Protocols are not yet in place to determine non-custodial parent (NCP) DOL-WtW eligibility.

c) Housing Authority resident

The San Francisco Housing Authority (SFHA) has employment services for residents. Check "YES" if the Participant is a tenant of the SFHA.

d) Refugee

To determine if an individual is a refugee, refer to the permanent records section of the case file. There are some specially funded programs for refugees.

e) Participant signature and Authorization to Release Information

Have the Participant sign the form to authorize sharing the identifying information and DOL eligibility with the provider.

When a Participant chooses a provider and the referral is finalized, the Authorization to Release Information (Form 8014) must be completed and signed for the specific provider.

2. Program Acceptance section

The service provider returns the form to the Employment Specialist. The Program Acceptance section at the bottom of the form informs the Employment Specialist whether the Participant has or has not been accepted into the program, the expected starting and completion dates, and the hours of participation per week.

The Employment Specialist obtains the Participant's confirmation and incorporates the program information into the WtW Employment Plan.

B. CalWORKs Providers

"CalWORKs providers" are Community Based Organizations (CBOs) who are funded exclusively to serve CalWORKs Participants. The Private Industry Council (PIC) manages all CalWORKs provider contracts through a cooperative arrangement with DHS. The DHS Special Assistant for Workforce Development is the liaison between DHS and PIC for this program. Employment Specialists are responsible for making the referral to CalWORKs providers.

1. Employment Specialist Responsibilities

Complete the CalWORKs Employment Services Referral, (7006 CW), including the Participant eligibility information when making the initial referral to a CalWORKs provider.

When the Participant is accepted into the program, the Program Acceptance portion of the 7006 CW is filled out by the CalWORKs provider and the top copy of the form (white) is returned to the Employment Specialist.

The Employment Specialist then:

- a. Meets with the Participant and confirms that she or he wishes to enroll in the program, and
- b. Incorporates the program and necessary supportive services into the Employment Plan (WTW2)
- c. Calls the program and notifies them that the Participant is enrolling in their program.
- d. If the Participant was accepted at more than one program, a courtesy call should also be placed to those programs the Participant will not enroll in.
- e. Note the program selection on the last line of the referral section of Form 7006 CW for the record.
- f. Complete and sign the Authorization to Release Information (8014) for the specific provider.
- g. Fax the Enrollment Packet to the provider. The Enrollment Packet includes:
 - WTW2 (side 1 only, Employment Plan – Activity Assignment)
 - WTW 8014 (Authorization to Release Information)
 - 7024A CW (CalWORKs Attendance Report - Contract), fill in the top line with the Employment Specialist's Worker #.

C. Referrals Targeted to Vocational Assessment

1. Employment Specialist Responsibilities

a) Prepare a Referral Packet

1. CalWORKs Employment Services Referral Form 7006 CW
2. Copy of Participant Background Form (Form 7000 CW)

3. Summary information from any attempted/started WtW activities (e.g., employment plans, progress reports, summary information from job readiness program, etc.).

b) The Appointment

1. Each Vocational Assessor has a sign-up sheet at his/her desk with time slots allotted for pre-assessment meetings. Reserve an appointment date and time for the Participant to meet with the Vocational Assessor by writing in the Participant's name, the Employment Specialist's name and phone extension on the Referral sign-up sheet.
2. Leave the completed referral packet on the Vocational Assessor's desk.
3. Inform the Participant of the appointment date, time and location, and the Vocational Assessor's name and telephone number.
4. The appointment will take between 30-60 minutes.
5. Instruct the Participant to call the Vocational Assessor from the house phone (if available) upon their arrival.
6. Inform the Participant that if they are more than 15 minutes late, the appointment will need to be rescheduled. (Rescheduling means signing the Participant up for another pre-assessment appointment time, and informing him/her of the appointment.)

2. Vocational Assessor

- Upon completion of the pre-assessment appointment between the Vocational Assessor and the Participant, the Employment Specialist will immediately be informed of the outcome of the meeting via e-mail.
- If the appointment did not take place (no-show, cancelled, arrived too late, etc.) the Employment Specialist must re-schedule. Flag a rescheduled Participant as such on the referral sign-up sheet. No additional forms are needed.

D. Referrals to City College of San Francisco (CCSF)

City College of San Francisco (CCSF) has received special CalWORKs funding and has programs that prioritize enrollment of CalWORKs Participants. The programs are identified as "priority" because the course of study takes one year or less and a strong demand for workers is projected in the industries for which people will be trained.

The Office of Workforce Education (OWE) at the CCSF Evans Campus has been established to coordinate the college's services exclusively for CalWORKs and PAES (San Francisco's welfare to work program for GA recipients) Participants.

The OWE staff includes CalWORKs Counselors, Job Developers and Guidance Aides. The referral and monitoring procedure for CalWORKs Participants has been agreed upon by DHS CalWORKs and CCSF-OWE administration.

Some CalWORKs Participants already have an Education Plan and an Employment Plan (WTW2/2A) for their City College activity; other Participants are being referred to CCSF for the first time. All CalWORKs students must be referred to the CCSF-OWE CalWORKs Counselors. These Counselors will provide the agreed-upon services.

1. Employment Specialist Responsibilities

A summary of the referral steps:

- Prepare the Referral Packet for faxing or delivery to CCSF
- Make an appointment with the CCSF CalWORKs Counselor (include authorization of supportive services as needed for the Participant to go to the appointment)
- Once the Education Plan has been finalized with CCSF and the Participant has enrolled in classes, prepare the Employment Plan (continuing students will already have an Employment Plan).

These steps are detailed below:

a) Complete the CalWORKs Employment Services Referral, 7006 CW.

1. In the "Program Name" box, include
 - The course or program
 - Whether the course is credit or non-credit,
 - If the Participant is a SIP
2. Specify the "Vocational goal"
3. Give the CCSF Counselor an idea about the time clock for the Participant. In the comments section, note how many months of the 18-24 month time clock remain?

b) Complete the Authorization to Release Information (8014)

Include in the purpose sections:

- To "Develop" or "Update" the Education Plan
- To share information about attendance and progress in class (and/or CalWORKs Work-Study, if applicable).

c) Complete the Assistance Verification Letter (8023 or CDS 998)

d) Make a copy of the Education Plan if this is a continuing student. The four items above (a-d) comprise the Referral Packet.

e) Make the appointment

1. Call the CCSF CalWORKs Counseling Office at 550-4474 for an appointment for the CalWORKs Participant.
2. Allow two hours for the appointment.
3. Appointments will be held at: City College Evans Campus Office of Workforce Education
1400 Evans, 2nd Floor, Room 224

The Evans Campus is accessible by the following bus routes: 44 O’Shaughnessy, 19 Polk, 15 Third.

NOTE: Participants may request to see counselors at other campus sites.

CITY COLLEGE OF SAN FRANCISCO CAMPUSES	
Alemany Campus, 750 Eddy Street	John Adams Campus, 1860 Hayes Street
Chinatown-Northbeach Campus, 940 Filbert Street	Main Campus, 50 Phelan Ave
Downtown Campus, 800 Mission Street	Mission Campus, 106 Bartlett Street
Evans Campus, 1400 Evans Street	Southeast Campus, 1800 Oakdale Ave
Adult Learning Center, 31 Gough Street	

4. Inform the Participant of the appointment and give/mail them the Referral Packet.

f) Send the Referral Packet with the Participant or fax it to CCSF at 550-4379.

g) Authorize Child Care and Transportation for the appointment as needed.

- Child Care may be authorized using the CalWORKs Short-term Child Care Form (7020CW).
- There may be several trips to City College for testing, registration, and orientation. It is appropriate to authorize a Fast Pass to facilitate this enrollment process.

h) Complete the Employment Plan

The Education Plan and the class schedule are required before an Employment Plan can be completed. The CCSF CalWORKs Counselor will fax the Education Plan to the Employment Specialist.

2. Length of time before classes begin

A one-month gap between the completion of the Education Plan and the start of classes is acceptable. If the gap is going to be longer, the Participant shall enroll in an interim WtW Activity. The CCSF CalWORKs Counselor and the Employment Specialist may confer about appropriate activities to fit the Participant’s needs.

Suggested activities might be Work Experience, CalWORKs Work-Study, Other Job Skills Training Directly Related to Employment, such as short-term classes at the Computer Lab at 50 Van Ness or a soft skills class.

3. Services offered by CCSF-Office of Workforce Education CalWORKs Counselor

- a) Review of the Referral Packet and the employment goal.
- b) Assistance with completion of the City College applications for credit or non-credit programs.
- c) Referral to testing. Examples of available tests are:

City College	Program Participant	Required Testing
Non-credit	Native English speaking	CASAS
	ESL	ESL Read/Speaking
Credit	Native English speaking	CCSF Placement*
	ESL	ESL Placement*
*Allow one week between test date and follow-up counseling appointment.		

- d) Preparation of a CCSF-CalWORKs Education Plan.
- e) Placement in CalWORKs Work-Study for additional participation hours, if needed.
- f) Completion of application for Extended Opportunity Programs and Services, EOP&S (services to low-income students and students who have not traditionally had access to college who are in full-time credit programs).
- g) Completion of financial aid application.
- h) Completion of the CCSF tuition fee waiver.

- i) Send a copy of the Education Plan to the Employment Specialist by fax or other electronic delivery method.
- j) Give the Participant a copy of the Education Plan.
- k) Referral to CCSF Orientation as needed.
- l) Discussion of progress monitoring procedures (see Section 75-4).
- m) Ongoing counseling appointments.

4. When CCSF and DHS disagree

When the CCSF CalWORKs Counselor or the Employment Specialist has questions about an employment goal or CCSF program referral, a phone call shall be made to resolve the problem, preferably while the Participant is present.

A case conference that includes the Participant, CCSF and DHS staff may be required. If there are continued differences of opinion that cannot be resolved, the DHS and CCSF Office of Workforce Education Supervisors shall be consulted.

E. Supportive Services Referral Procedures

Referral procedures for supportive services are described in detail in their respective sections of this Handbook.

1. Referrals for Substance Abuse Services, refer to Section 73-16, or Section 74-2.
2. Referrals for Mental Health Services, refer to Section 73-16, or Section 74-2.
3. Referrals for Domestic Violence Services, refer to Section 73-17.
4. Referrals for Child Care, refer to Section 74-1.

F. Job Search Referral Procedures

Job search services are delivered by several CalWORKs providers. These procedures are discussed in this section. Job search services are also provided by HSA Job Developers, the Express to Success Center, and the Employment Development Department.

G. Department of Rehabilitation (DOR) Referral Procedures

I. DOR Referral Process for WTW Participants

The Referral process has changed and is outlined below and in PIM 13-21 "Updated Enrollment and Monitoring Processes for WTW DOR Participants":

A. Intake appointment for WTW participants:

ES's will be able to schedule participants for Wednesday Intake appointments to be held at 3120 Mission Street as follows:

1. CalWORKs participants may be scheduled:
 - Wednesday 11am to noon OR
 - Wednesday 1:30pm to 2:30pm
2. All appointments are scheduled in CalWIN under DOR Intake Appointment

B. WDD Responsibilities:

1. WDD clerical support, 8E7X, 401-4913, shall print DOR Intake Appointments scheduled from CalWIN each week for DOR Counselor, Grace Cha for all WTW participants scheduled for intake appointment for the week.
2. WDD clerical support, 8E&X, shall prepare documents faxed by ES for DOR Counselor, Grace Cha, including:
 - Green DOR Information Sheet (Form 7057)
 - 8014/8015 Client Authorization to Release Information between HSA and DOR
 - DOR Appointment Letter (Form 8107)
 - Copies of WDD summary , test / assessment results (Career Scope, JobSkills, etc.) if included

C. ES Responsibilities:

1. Have participant complete the Green DOR Information sheet (Form 7057CW).
2. Have participant sign an HSA Form 8014/8015 Client Authorization to Release Information between HSA and DOR
3. Schedule DOR intake appointment in CalWIN
4. Give participant a copy of the DOR intake appointment letter (Form 8107) to take to the appointment
5. Fax the following to 415-401-4887 at 3120 Mission Street attn: Grace Cha by Monday COB of the week in which the appointment is scheduled:
 - Green DOR Information Sheet (Form 7057) (index code 4803)
 - 8014/8015 Client authorization to Release Information between HSA and DOR (index code 3600)
 - DOR Appointment Letter (Form 8107) (not indexed)

- Copies of all WDD summary , test / assessment results (Career Scope, JobSkills, etc.) when available.
6. Advise the WTW Manager (C600) via email the date that the referral was faxed to keep a record of the DOR referrals.
 7. Enter the information in CalWIN as follows:
 - a. Registration Status: Exempt: Mandatory:
 - b. Start date is the day of the referral
 - c. Duration of the exemption: 8 weeks
 - d. First reason: caregiver of Ill or Incapacitated Household member
 - e. Second reason: Unable to Maintain Employment
 - f. The dates on the Maintain Registration Status Reason are:
 - 1) Begin date: is the day of the referral
 - 2) Review date: is the first of the months of when the last week of exemption falls (8th week)
 - 3) End date: is the last working day of week 8.
 8. Refer and schedule the DOR assessment activity outside of a WTW Plan in CalWIN:
 - a. Activity: DOR assessment
 - b. Duration: 8 weeks
 - c. Hours of participation in DOR Assessment: 20 hours
 - d. Planned start date: the date of the referral
 - e. Planned end date: last working day of week 8
 - f. Provider: DOR
 9. Extension: The duration for the WTW DOR assessment is 8 weeks, with possible extension of 4 weeks if DOR or the participant is unable to obtain medical records within the 8 week period. DOR will request the extension.

II. DOR Enrollment Process for WTW Participants

A. DOR Responsibilities:

1. Review faxed DOR packet
2. Email the ES, with a cc to the Welfare-to-Work Manager, at end of business day of the appointment to notify whether participant has kept the appointment.
3. Contact participant to reschedule appointment if no show
4. Follow-up as needed with a telephone call to the participant
5. Email the ES, with a cc: to the Welfare-to-Work Manager, within two (2) working days if the participant does not respond to DOR's contact, misses the subsequent appointment, or does not participate in DOR-assigned activities.

6. Advise the ES, with a cc: to the Welfare-to-Work Manager, that DOR has determined that the participant is eligible for DOR services and that DOR has accepted the participant as a DOR client.

B. ES Responsibilities:

1. Upon notification from DOR that the participant failed to show for the DOR appointment, the ES shall refer the participant to the CalWORKs Social Work Unit.
2. Upon notification from DOR that an extension (up to 4 weeks) is needed for assessment, the ES shall:
 - a. Extend the review date and the end date (up to 4 additional weeks) of the Caregiver of Ill or Incapacitated Household member exemption reason and the Unable to Maintain Employment exemption reason that were entered when the participant was referred to DOR.
3. Upon notification from DOR that the participant has completed the assessment process and an activity has been agreed upon, per county policy, the ES shall:
 - a. Schedule an appointment to meet with the participant to complete the WTW Plan
 - b. Enter the information in CalWIN as follows:
 1. Extend the review date and the end date of the Caregiver of Ill or Incapacitated Household member exemption reason and the Unable to Maintain Employment exemption reason that were entered when the participant was referred to DOR.
 2. The new exemption reason review date is the first of the month of the last month of the Supported Employment activity.
 3. The new exemption reason end date is the last day of the last month of the Supported Employment activity.
 4. Activity: Supported Employment
 5. Duration: As stated by DOR Counselor
 6. Provider: DOR

C. WTW Manager Responsibilities:

The WTW Manager shall maintain a spread sheet on all DOR participants, which tracks referral date and progress.

III. Monitoring Process for WTW DOR Participants

A. DOR Responsibilities:

DOR shall send monthly DOR Client Status Report to the referring WTW ES and the WTW Manager by the tenth of each month.

B. ES Responsibilities:

ES shall enter and track the attendance in CalWIN

For PAES clients, refer to PAES Handbook Section 142-5.7 DOR HSA Contracted Services.

V. CalWORKs Referral Summary Chart

The process for making a referral varies, depending on the activities and the provider. The chart below provides a summary of the kinds of referrals and the forms required for each, as well as Handbook cross-references.

Referral To:	Referral Form	Other Documents	For Process, See Handbook Section:
CalWORKs Providers, including CJJ	7006CW	WTW 2 (p.1); 8014; 7024A	73; 75-2 CalWORKs Employment Services Directory
CASAS Testing At HSA	Call 557-6346		72-2
Department of Rehabilitation (DOR) Grace Cha Fax: 401-4887	7057	8014/15 8107 Copies of WDD Summary, assessment/tests results if necessary	75-2
Child Care Children's Council: Phone: 243-0700 Fax: 869-3678	7020CW 7021CW		74-1
City College OWE CCSF Counselors Phone: 550-4474 Fax: 550-4379	7006CW	8014 8023 (CDS 998) Education Plan copy (if available)	75-2
DHS Job Developer or EDD		7006CW, 7000CW (p. 1, 2, 4); (EDD: 8014)	
Domestic Violence Assessment DV Service Provider	Call 557-5348	As needed	73-17
Mental Health Assessment RAMS Counseling Services	7008CW	7007CW	73-16 74-2
Substance Abuse Assessment RAMS Counseling Services	7008CW	7007CW	73-16 74-2
Targeted Vocational Assessment	7006 CW	7000 CW Summary case activity to	72-2

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The Unit's assigned Vocational Assessor		date	
Third-party Assessment Schedule with the Vocational Assessment Unit Clerk	WTW 10 (Call 557-6346)		72-2, 72-3
Work Experience – DHS	Call 557-6483	7000 CW Resume if available	73-3

VI. Forms

Form #	Form Name	Purpose	Language
WTW 2	Employment Plan - Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
WTW 10	Request for Welfare to Work Third Party Assessment	When the participant does not agree to an employment plan, this form is used to formally request a party not on staff at DHS to complete an assessment and make a recommendation.	Chinese Russian Spanish Vietnamese
7000CW	Participant Background	This captures Participant background information relating to securing employment, e.g., work and education history.	Chinese Russian
7004CW	CalWORKs Workplace Verification	Document required in case file for every Participant. Results recorded on the 7006 CW.	
7006CW	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WtW status and eligibility for DOL-funded training (7004 CW).	
7008CW	CalWORKs Client Request for Counseling Services Referral Form (RAMS)	The ES completes this form when referring a participant for Mental Health or Substance Abuse Services, through on-site counselors at DHS.	
7020CW	CalWORKs Child Care Short Term Child Care	A form to authorize up to 5 days of child care for a WTW Activity. The Participant has the Provider confirm hours of care and sign the 7020 CW; it is mailed directly to Children's Council who pays the provider.	
7021CW	CalWORKs Child Care Referral and Authorization (R&A)	The form used by the ES to authorize childcare for a WTW activity. Communication from ES to Children's Council.	
7024A CW	CalWORKs Attendance Report - Contract	CalWORKs service providers shall report attendance and absences on this form. The ES shall fax/mail a form with identifying information completed at the start of the Activity (with the WTW2).	
7024B CW	CalWORKs Attendance	CalWORKs service providers shall report	

	Report - Non-Contract	attendance and absences on this form. The ES shall fax/mail a form with identifying information completed at the start of the Activity (with the WTW2).	
7057	Green DOR Information Sheet	Participants complete this form to provide personal information on service needs. This form is fax to the DOR Counselor	
8014(15)	Authorization to Release Information Standard	DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	
8107	DOR Appointment Letter	This letter notifies participant that an appointment for a "DOR intake session" has been scheduled.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 75-3: Confidentiality, Confidential Documents and Code of Ethics	Effective: 9/21/18

75-3: Confidentiality, Confidential Documents, and Code of Ethics

I. Introduction

A. Confidentiality

CalWORKs staff must always maintain the confidentiality of information disclosed by the individual in the course of participation in Welfare-to-Work.

A release of information signed by the Participant is required before the Employment Specialist and service providers may share information, except in the exchange of information regarding child care services with Children’s Council of San Francisco, Wu Yee Children’s Services, and Family Support Services of the Bay Area. An authorization to release information is also not needed to exchange information with Family and Children’s Services (within the agency).

Since confidentiality policy is covered in detail in the CalWORKs Eligibility Handbook and in other sections of this WTW handbook, this information is not repeated here. Cross-references direct the reader to these important references.

This handbook section includes summary policy and procedure for confidentiality in relation to Welfare-to-Work service providers.

The section includes the rules of confidentiality related to domestic violence.

This section contains information regarding the handling, distribution, tracking, and retention of confidential document in the service center iFiles environment. Refer to PIM 12-43 Updated Confidential Document Protocol.

B. Code of Ethics

Policies and procedures regarding Human Services Agency workers’ Code of Ethics are from the HSA Personnel Procedures Handbook.

II. References

A. References from the Law and Regulations

- ACIN: 1-52-08, I-48-09

- MPP Section: 42-715.3
- Senate Bill 1491
- WIC §11495.1, §11525(a)
- WIC § 10850
- CDSS Regulations, AB 1542, Chapter 270, Statutes of 1997

B. References from San Francisco's Welfare to Work Operations Plan

- Section IV (B)(6), IV (G)(4), VIII

C. References in CalWORKs Handbook, 56-2

For general, overall policies and procedures regarding confidentiality in operating the CalWORKs program, see the CalWORKs Handbook, Case records, Confidentiality, Section 56-2.

D. References for RAMS Community Services

For specific policy and procedures for CalWORKs and RAMS Community Services see the WtW Handbook:

Section 73-16 WtW Activity: Mental Health and Substance Abuse Services

Section 74-2: Mental Health and Substance Abuse Services.

E. Cross-references to other sections of this Handbook

Section 71-1: Diversion

Section 72-2: Assessment

Section 72-3: Employment Plan

Section 73-17: Domestic Violence Services as a WtW Activity

Section 75-2: Referral Procedures

Section 75-4: Progress Monitoring

Section 75-5: Evaluation

F. Cross-references to Program Information Memos (PIM)

PIM # 00-02: CalWORKs Department of Labor WtW Eligibility Determination and Referral Procedures

PIM # 12-43 Updated Confidential Document Protocol

III. Policy

Generally, information about a client shall not be shared with anyone outside of the Department without the client's written, dated and signed permission.

The HSA generic Authorization to Release Information (Form 8014/15) is to be utilized in most case situations.

However, because of the sensitive nature of information to be shared with some providers the program has designed several service-specific release forms and has developed protocols for the sharing of information.

These special protocols and release forms include:

- Authorization to refer Participants to CalWORKs WTW employment programs (Form 7006CW).
- RAMS Counseling Services Assessment Summary (Form 7007CW).
- No written authorization form is needed for WTW staff to share information with Family & Children's Services staff (Form 80-32 is now obsolete).
- No written authorization form is needed for WTW staff to share information regarding the provision of child care with the following child care service providers: Children's Council of San Francisco, Wu Yee Children's Services, and Family Support Services of the Bay Area.

A. HSA Authorization to Release Information (8014/15)

The department-wide form Authorization to Release Information (8014/15) is designed for release of information from HSA to an outside agent as well as for release of information from an outside agent to HSA. When obtaining the Participant's signature, both parts of the form must be completed and signed for the release to allow communication by the Employment Specialist and the outside agent.

In CalWORKs Welfare to Work, a separate release must be obtained for each and every service provider with whom the Employment Specialist expects to communicate about participation, attendance, and/or progress. In no event should the Employment Specialist obtain an open release or a release with more than one agency listed. Each signed form must be specific to one party or provider.

EXAMPLE: When completing an Employment Plan for vocational training at City College (CCSF), the Employment Specialist must complete a release (8014/15) for CCSF for the Vocational Training activity.

B. CalWORKs Employment Services Referral (7006CW)

This form includes the Participant's signature but the information to be released is very specific. It states "I authorize SF HSA to share the information on this form with the Service Provider noted above." Please see the Handbook Section 72-2 Assessment and WTW PIM #00-02 for policy and procedure on the use of the referral form.

When a Participant is subsequently accepted in the program, the Employment Specialist must obtain the signed Authorization to Release Information (8014/15) in order to obtain attendance and progress information from the provider. Please see Handbook Section 75-2: Referral Procedures and Section 75-4: Progress Monitoring for policy and procedure for referral and monitoring.

EXAMPLE: Two referral forms (7006 CW) are completed for the Participant to explore Job Readiness services at Arriba Juntos and Job Network. The Participant is accepted by Arriba Juntos. When completing the Employment Plan, an 8014/15 must now be completed for Arriba Juntos.

C. CalWORKs Client Request for Counseling Services Referral Form (DPH) (7008 CW)

This release is designed specifically for CalWORKs RAMS Community services. Note the release is limited to the information necessary for monitoring the Employment Plan or granting exemptions from work activities. Please see Handbook Section 74-2: Mental Health and Substance Abuse Services for policy and procedure on use of this release form and procedure.

EXAMPLE: When referring a Participant to RAMS Community Services for assessment, complete the referral and the release (7008CW) forms.

D. HSA Inter-Program Release of Information (8032)

Effective 3/25/09, the policy was made official that communication between CalWORKs and Family & Children's Services staff does not require a signed release. **Form 8032 is obsolete.**

E. Confidential Medical/Psychiatric Documents

Any confidential medical and/or psychiatric information regarding diagnosis must be redacted (blacked out) before the document is scanned into iFiles.

See Section V. below on handling documents with confidential medical information in the iFiles environment.

F. Form WTW 37: Permission to Release Domestic Violence Information when Moving to Another County

The inter-county transfer process becomes highly sensitive in nature when working with recipients who have domestic abuse issues. In these instances, information with respect to domestic abuse victims and their dependents must not be released to any outside party, other governmental agencies, or to any employee in either the sending or receiving county who is not directly involved in the recipient's case in order to avoid endangering the lives of these victims.

This information can only be released by the sending county if the recipient has signed a WTW 37 form in either the sending or receiving county. At a minimum, the WTW 37 form should be

provided to the recipient at application and at each subsequent waiver review meeting with an explanation that she or he has the right to terminate the release at any point.

The WTW 37 form is valid for a maximum of one year after it is signed by the recipient. Recipients should also be informed that if they move to a new county and have not signed a WTW 37 form, any information regarding their domestic abuse situation, such as waiver determinations, cannot be transferred to the receiving county unless they sign a new WTW 37 form in the receiving county. (See WTW Handbook Section 71-6, ACIN I-02-06 and ACIN I-60-90)

IV. Confidentiality and Domestic Violence

Strict adherence to the rules of confidentiality in domestic violence cases cannot be over-emphasized. Following is a discussion of confidentiality issues in relation to domestic violence.

See Section V. below on handling documents with confidential information regarding domestic violence documents sworn statements in the iFiles environment.

A. Identifying information is confidential:

Any identifying information pertaining to any applicant/recipient of aid who claims to be a past or present victim of abuse, and their dependents, whether provided by the victim or by a third party, shall be kept confidential.

This information shall be used by HSA solely for the purpose of referral to services, determining eligibility for waivers, or developing an individualized plan. (also see Form WTW 37, Permission to Release Domestic Violence Information When Moving to Another County).

B. To be shared ONLY as follows:

Information with respect to victims of abuse or anyone who claims to be a victim of abuse shall not be released to any outside party or parties or other governmental agencies, or to any other employee of HSA who is not directly involved in the applicant's/recipient's case, unless the information is required by law to be disclosed, or unless authorized in writing by the applicant/recipient.

This includes but is not limited to:

- Information on the applicant's/recipient's current address, workplace or work placement or training site
- That the individual has been identified as a victim of abuse or any details concerning the abuse

C. HSA staff shall discuss how to communicate with the survivor about HSA business:

Whenever an applicant or recipient self-identifies or is otherwise identified as an abuse victim, HSA staff shall discuss with the applicant or recipient how to direct any future communications and correspondence, including notice of sanctions and denial of waivers, in a way that does not jeopardize the safety of the applicant or recipient. If an alternative mailing address is requested, the actual address must be periodically verified.

EXAMPLE: A recipient might want mail directed to an address, and/or phone calls directed to a phone number, of a friend rather than her/his own home where the batterer might see it.

D. Communication between HSA and Victim Service Providers

State Law limits the personally identifying information that counties may request from nongovernmental service providers who service victims of domestic abuse, dating violence, sexual assault, stalking, or the children of such victims. It is unlawful for any entity to do either of the following:

- Request or require that a victim service provider disclose personally identifying information regarding any of the persons to whom it is providing services, it has provided services, or it has considered or is considering providing services.
- Request or require that a victim service provider use any computer software, computer program, computer protocol, or other computer system that requires the disclosure of personally identifying information regarding any of the persons to whom it is providing services, it has provided services, or it has considered or is considering providing services.

1. Definition of "Personally Identifying Information"

1. First and last name or last name only.
2. Home or other physical address, including, but not limited to, a street name or zip code, other than an address obtained pursuant to the California Safe At Home program or a business mailing address for the victim service provider.
3. Electronic mail address or other online contact information, such as an instant messaging user identifier or a screen name that reveals an individual's electronic mail address.
4. Telephone number, other than a business telephone number for the victim service provider.
5. Social Security Number.
6. Date of birth, with exception of the year of birth.
7. Internet protocol addresses or host name that identifies an individual.
8. Any other information, including, but not limited to, the first and last names of children and relatives, racial or ethnic background, or religious affiliation, that, in combination with any other non-personally identifying information, would serve to identify any individual.

2. The Use of Individual Case Numbers

Counties are allowed to use an individual's case number, his or her first name and year of birth, and/or the service provider's client file number.

3. Collection of Information for Statistical Purposes

Counties are allowed to collect information for statistical purposes that are necessary for the proper administration of a grant, program, or financial assistance, provided that collection does not require the disclosure of information that would serve to identify any specific individual.

In addition, the county may review a service provider's records, which may include confidential information, in the course of conducting a financial audit of one of its contractors.

V. Confidential Documents Protocol in the iFiles Environment

Refer to PIM 12-43 Updated Confidential Document Protocol.

A. The Disclosure of Confidential Information

Access to confidential documents must be limited to HSA personnel on a need-to-know basis. In the course of performing duties related to establishing eligibility, work readiness or referrals, staff must also restrict availability to confidential documents from third party vendors or unauthorized relatives.

B. What are considered confidential documents?

Overview: Reports, evaluations, or any statements providing detailed descriptions regarding incidents or history of domestic abuse (DV) are considered confidential. Similarly, any document describing a physical, mental or learning impairment is also considered confidential. Confidential documents may include all documents that describe sensitive information.

Staff is advised to check with your immediate supervisor before releasing or imaging any information that may be considered confidential.

There are two main categories of confidential documents:

1. Documents that are entirely confidential and are which are not to be indexed and scanned: Below are listed the types of confidential documents that must NOT be indexed and scanned but should be handled according to the Index Corrections Workflow Process for Confidential Documents outlined below:
 - Domestic Violence Sworn Statements (Form 4127)
 - Learning Needs Assessments

- Court Documents/Court Orders relating to sexual, physical or mental abuse
 - Restraining orders
 - Documents/Statements regarding criminal background
 - Linkages Family Meeting Plan
2. Documents that contain medical information which should be redacted before indexing and scanning: Below are listed the types of documents which may contain a medical diagnosis. The medical diagnosis must be redacted (blacked out) BEFORE the document is indexed and scanned:
- Any information on the CW 61 which identifies a participant's medical diagnosis
 - Any letter or statement provided by a medical profession which identifies a participant's medical diagnosis

C. ES and EW Responsibilities upon receipt of documents that are entirely confidential:

- Domestic Violence Sworn Statements (Form 4127)
- Learning Needs Assessments,
- Court Documents/Court Orders relating to sexual, physical or mental abuse
- Restraining Orders
- Documents/Statements regarding criminal background
- Linkages Family Meeting Plan

The above documents are entirely confidential and should never be iFiled. They shall be sent to Clerk C20X for confidential filing according to the Index Corrections Workflow Process for Confidential Documents:

Upon receipt of one of these documents, the EW or ES shall:

1. Place the document in an interoffice mail envelope
2. Fill out the Confidential Document Transfer Cover Sheet (Form 7500).
3. Address the envelope to worker C20X, 170 Otis, third floor.
4. Write "CONFIDENTIAL" on the outside of the envelope and send or hand-deliver in a timely manner.
5. Enter a case comment in CalWIN, noting the type of document received, and the date that the document was sent to C20X. The case comment should describe the nature of the document received, but must not include any confidential information contained in the document.

D. ES and EW Responsibilities when one of the following entirely confidential documents is found ALREADY SCANNED in iFiles (see list of documents in Section III above):

The EW or ES shall send the document to the confidential files:

- a. Print the confidential document(s)
- b. Place the document in an interoffice mail envelope
- c. Fill out the Confidential Document Transfer Cover Sheet (Form 7500) to indicate date sent, case name, case number and worker number or caseload number
- d. Address the envelope to worker C20X, 170 Otis, third floor.
- e. Write "CONFIDENTIAL" on the outside of the envelope and send or hand-deliver in a timely manner

The EW or ES shall also initiate the Index Corrections Workflow Process for Confidential Documents to have the document removed from iFiles.

1. Identify the iFiles file name that contains the document
2. Use the Request Corrections icon to the right of the file name to initiate the workflow request.
3. Complete the Correction Request Workflow Initiation Form, checking the drop down menu item "Incorrect Document Type" with the explanation: "confidential document should be deleted."
4. Enter a CalWIN case comment immediately that the document was identified, printed and sent to C20X, and that a Correction Request Workflow was submitted to have the document deleted from iFiles.

E. Staff Responsibilities upon receipt of documents that contain medical information that should be redacted before indexing and scanning:

- Any information on the CW 61 which identifies a participant's medical diagnosis
 - Any letter or statement provided by a medical profession which identifies a participant's medical diagnosis.
1. Redact (black out) the diagnosis information with a marker or a black pen to ensure that the medical diagnosis information will not be visible when the document is scanned into iFiles
 2. Index the document and place it in the unit scanning box for scanning into iFiles.
 3. Document actions in case comments in CalWIN:
 - the date that the confidential document was received,
 - that the diagnosis information was redacted (blocked out), and that the document was indexed and sent to be scanned into iFiles

F. ES and EW Responsibilities when documents that contain medical information are found ALREADY SCANNED in iFiles (see list of documents in section V above):

Staff shall initiate the Index Corrections Workflow Process for Confidential Documents:

1. Identify the iFiles file name that contains the document
2. Use the Request Corrections icon to the right of the file name to initiate the workflow request.
3. Complete the Correction Request Workflow Initiation Form, checking the drop down menu item "Incorrect
4. Document Type" with the explanation: "confidential document should be deleted."
5. Print the document
6. Redact (black out) the diagnosis information with a marker or a black pen to ensure that the medical diagnosis information will not be visible when the document is scanned into iFiles Index the redacted document and place it in the unit scanning box for scanning into iFiles
7. Document the following in CalWIN Case Comments
 - that the Correction Request Workflow Initiation Form was submitted to delete the document with the confidential information from iFiles,
 - the date the action was taken
 - that the Confidential information has been redacted and
 - that the redacted version of the document has been indexed and placed in the unit scanning box to be scanned into iFiles

G. Management Processes for storage and retrieval of confidential documents:

- a. CalWORKs Manager C400 and WTW Manager C600 shall oversee the proper handling, storage, and retrieval of confidential documents.
- b. Keys to the locked cabinet shall be held by C400, C600, and Clerical Staff C20X.
- c. Managers C400 and C600 will review any requests for document retrieval and will address each request on a case-by-case basis.

H. Clerical Staff Responsibilities for storage of confidential documents:

A. Under the supervision C400 and C600, Clerical Staff C20X shall:

1. Maintain a locked file cabinet to store all confidential documents received from staff.
2. Keep a copy of the key to the file cabinet
3. Upon receipt of the confidential document(s) in the interoffice envelope, prepare a file folder (to be filed by case name (last, first)), along with the Confidential Document Transfer Cover Sheet (Form 7500)
4. Maintain a limited access spread sheet on the O-drive to track the storage of confidential documents, with the:
 - Case name
 - Participant name
 - Case Number,
 - Document Type
 - Date Filed

I. Authorization of Bay Area Legal Aid (BALA) access to IFiles case records

A network I.D. has been established for each Bay Area Legal Aid client representative to access case records in the iFiles application. An access folder (“Bay Legal”) has been created on the O: drive for storing and reviewing of the client’s iFiles case records and documents.

The Bay Area Legal Aid client representatives will use a single point of contact to request access to the case record (CalWORKs@sfgov.org) by entering the subject line “iFiles case record request” and attaching Bay Area Legal Aid’s Authorization to Release Information form.

Full Case Review Process

1. When Bay Legal requests a full case review through calworks@sfgov.org, Supervising Worker #C240 sends the request to the Bay Area Legal Liaison, Worker #E207 and Clerical Worker, #CX2D.
2. Clerical Worker #CX2D will retrieve the case file from iFile and place in the “Bay Legal” folder on the O: drive for review.
3. Once the case file has been placed in the “Bay Legal” folder, Worker #E207 or the designee,
 - will arrange a date and time for Bay Legal rep to come in and review the case file on the computer
 - submits a task on the "day off" to have an EW available to answer any questions the Bay Legal rep may have

Specific Requests

When Bay Legal does not request a full case review, but requests specific documents or information through calworks@sfgov.org in order to see any of these: benefits history, TOA review, OP/OI review, MFG and/or DV research or any exemptions, etc., the following process will apply:

1. Supervising Worker, #C240 sends a TMT request for an EW to print out the documents and provide them to Bay Legal.
2. Clerical Worker, CX2D (or his staff) will assign this task to an EW.

Bay Area Legal Liaison (Worker #E207 or designee) would not be involved in this process. Unless the request is for a full case review, the requests should not require Bay Legal to sit down with an EW, but rather the EW should be tasked to do the research and send the materials and/or answer the questions for Bay Legal.

If the review is on a WTW Case;

- The Bay Area Legal Aid Liaison will notify the Employment Specialist or his/her supervisor to assist the Bay Area Legal Aid reviewer.

If needed, any documents or information needing printing should be printed on the network printer mapped to that PC that is being used for the review. The Bay Area Legal Aid Liaison, alternate or the ES/EW will assist in printing any information needed.

Once the review is completed;

- The Bay Area Legal Aid reviewer will “check-out” with Bay Area Legal Aid liaison or alternate to ensure the network files are close and any printed documents left are destroyed.
- The ES or EW will enter into the case comments that the request was made and date of review.

It is important that any confidential information and/or documents that are printed and that are not taken by the Bay Area Legal Aid client representative be immediately discarded in the confidential documents bins in the location or area where the review is completed.

VI. Other References

A. Employee Code of Ethics

The HSA Personnel Procedures Handbook Employee Code of Ethics outlines appropriate employee-client interactions.

VII. Forms

Form#	Form Name	Purpose	Language
WTW 37	Permission to Release Domestic Abuse Information When Moving to Another County	For a participant who has domestic abuse issues and is being processed for an Inter-County transfer.	
7006CW	CalWORKs Employment Services Referral	For referring a client to a training or other program, indicating client's WtW status and eligibility for DOL-funded training (7004 CW).	
7007CW	RAMS Counseling Services Assessment Summary	This form is to assess for Mental Health and Substance Abuse Services, through the RAMS.	
7008CW	CalWORKs Client Request for Counseling Services Referral Form (RAMS)	The ES completes this form when referring a participant for mental health or substance abuse services, through RAMS on-site counselors at HSA.	
7500	Confidential Document Transfer Cover Sheet	To transfer confidential documents to the locked file	
8014(15)	Authorization to Release Information	Standard HSA form for client signature – ES must have a client's authorization before communicating with any agency or party outside HSA about the client.	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

VIII. Other References

A. Employee Code of Ethics

Taken from the HSA Personnel Procedures Handbook, 4 pages, the Employee Code of Ethics outlines appropriate employee-client interactions.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 75-4: Progress Monitoring	Effective: 9/21/18

75-4: Progress Monitoring

I. Introduction

Participants who are in an employment plan must meet the CalWORKs work participation requirements and make satisfactory progress in their assigned activities.

CalWORKs Employment Specialists (ES) are required to monitor work participation on a monthly basis. When progress is unsatisfactory, the Employment Specialist shall assist the Participant to get back on track. If participation is not satisfactory and there is no good cause, the compliance process shall be initiated.

Measurements of progress include:

- Attendance
- Meeting projected start and completion dates for the activity
- Level of achievement
- Grades
- Raises
- Promotions

II. References

A. References from the Law and Regulations

- Assembly Bill 1542; SEC 106, Section 11325.2 (f); SEC 107, Section 12325.22 (e); SEC 109, Section 12325.23 (a), (b), and (e); SEC 110, Section 12325.25 (a); SEC 18, Section 12327.4 (a)(2).
- ACL 97-72: III.B.4, 7, 10, 11; III.C.4; XI A., ACL 06-06, ACL 07-03, ACL 08-08 ACL 94-41: 42-711.541 (a), .545 (a), 42-711.547 (a), (b), (c), 42-711.58, 42-711.635, 42-711.8; 42-714.3 (h)(1)(A)1; 42-716.111 (d)(1)(A), 42-716.111 (p); 42-721.221.

B. References from San Francisco's Welfare to Work Operations Plan

Sections IV (F)(2), IX (A)

C. References from Department Program Information Memos

CalWORKs Program Information Memo #98-10

D. References to other sections of this Handbook

Section 70-7: County Work Participation Rate
Section 71-3: Participation Requirements
Section 72-3: Employment Plan
Section 74-1: Child Care
Section 74-2: Mental Health and Substance Abuse Services
Section 74-3: Domestic Violence Services
Section 74-5: Transportation
Section 72-2.5: Evaluation
Section 75-6: Reappraisal and Extensions
Section 76-2: Good Cause Determination
Section 76-3: Cause Determination and Compliance

III. Policy

Monthly Attendance and Progress Monitoring is essential to prepare the participant to obtain unsubsidized employment.

CalWORKs requires that Participants show "satisfactory progress" in the WTW activity(ies) they have agreed to participate in. It is the Employment Specialist's role to monitor this monthly progress in order to ensure that the activity(ies) will lead to the goal of the Employment Plan: unsubsidized employment. When the Participant is not making satisfactory progress in an activity, intervention is required to remedy the situation. It is the role of the Employment Specialist to intervene in such situations.

The criteria for satisfactory participation in an assigned education or training activity include regular attendance and satisfactory progress. "Satisfactory progress" can be assessed through indicators such as attendance, grades or progress reports. Monthly progress verification must be in the participant's case folder.

A participant who fails or refuses to comply with program requirements for participation in the activities assigned, and whose failure to make satisfactory progress is not due to a learning, mental health, substance abuse or domestic violence problems, shall be subject to compliance and sanction requirements.

IV. Process

A. Monitoring Tools

1. CalWIN

CalWIN Reports will be issued monthly by caseload. The report will be used to monitor receipt of progress reports for each participant that is actively engaged in a WTW activity or

employment. (Also see "Part X., CalWIN Entries" below for link to "How to Monitor and Enter Actual Hours")

2. Monitoring Forms

- a. The CalWORKs Attendance Report, Form 7024A – Contract (due to WDD Support Staff by the third day of the month following the report month) shall be used with CalWORKs providers and other providers who agree to use it. City College (CCSF) and DHS have developed specific forms for CalWORKs Participants.
- b. The Monthly Attendance/Progress Verification Request Form (7053CW) shall be mailed monthly to participants who are participating in WTW activities and/or employment.

3. Employment Plans, Written Agreements, Letters, and Emails

Keep these filed in the case folder for reference when needed.

4. Case notes

Enter all information on Participants and participant contacts in the CalWIN Case Comments in a timely manner. This documentation is essential for recording details.

B. What is Satisfactory Progress?

Satisfactory progress is set by the provider and is part of the CalWORKs providers contract agreements.

The Employment Specialist may consult the CalWORKs Employment Services Directory, the CalWORKs provider liaison at HSA, PIC monitors, CCSF counselors, the provider or RAMS Community Services about satisfactory progress issues.

C. What to Monitor

The following are indicators that can be measured:

- Attendance
- Meeting projected start and completion dates for the activity
- Level of achievement
- Grades
- Raises
- Promotions
- Time-limited WTW activities; JRT/JCL, VTR
- Excused absences
- Holidays

D. How Often

Staff checks daily attendance and records absences on the 7024A CalWORKs Attendance Report – Contract (due to WDD Support Staff by the third day of the month following the report month).

E. Monitoring Information - Determining Who is Responsible

1. Employment Plan includes the plan for reporting progress

The WTW Employment Plan Activity Assignment and Activity Assignment Detail (WTW 2 and 2A) specifically outline the way progress is to be monitored, the time frames and who is responsible.

F. Employment Specialist Responsibilities - Follow up

1. Monthly Progress Report from Provider - Satisfactory Progress

If the report is satisfactory, the ES should contact the Participant through a phone call to commend him/her or by mail, and file the report in the case folder.

a) Supportive Services

- Extend the child care authorization with a Child Care Change Notice (7019 CW), as appropriate.
- Extend transportation authorization in CalWIN as appropriate.

2. Monthly Progress Report from Provider - Problems

If the report includes problems, call the Participant and the provider to get more information and plan next steps.

- When a phone call does not resolve the issues, a case conference with the provider, Participant and Employment Specialist should be scheduled. The Client Advocate may also participate in this case conference at the request of the Participant, and with his/her permission.
- In the phone call or conference with the Participant and the provider, as appropriate:
- Review the WTW Activity Assignment to see if the Employment Plan is being followed, or if changes have occurred that need to be addressed.
- Discuss the identified performance problem to determine what the difficulty is.
- If suspected learning, mental health, substance abuse or domestic violence reasons appear to be impairing satisfactory progress, schedule an "evaluation" or a "targeted assessment" as appropriate (see Sections 72-2 (Assessment) and 75-5 (Evaluation)).

- Review the participation requirements and the consequences of not meeting them, including initiating the noncompliance process.
- Explore more appropriate alternatives available within Welfare to Work (WTW).
- Document all information obtained and decisions made in the CalWIN case comments.
- If changes in the current WTW Activity are agreed upon, complete the current employment plan and create a new plan with the appropriate modifications.
- Complete a NEW Employment Plan (WTW 2, 2A) if it is agreed the Participant will change his/her plan and start a NEW Activity, e.g. changing from Job Readiness/Job Search to Work Experience.

3. Monthly Report Progress Report from Provider - Unsatisfactory Progress

The Employment Specialist should arrange an appointment with the Participant to:

1. Explain the good cause determination and non-compliance processes;
2. Ask why the Participant did not comply with program requirements;
3. Refer to the examples of good cause and determine if the participation problem was due to one of these examples or any other good reason. If yes, and that reason is verified, good cause exists;
4. Determine if the Participant is repeatedly experiencing barriers to participation. If yes, the Participant has an ongoing problem and should be evaluated to determine if he or she should be exempt or a referral to mental health, substance abuse, domestic abuse, or learning disability services is necessary.
5. If the Participant cannot attend a scheduled face-to-face interview, the ES should send Form WTW 27, Request for Good Cause Determination for the Participant to complete and return via mail or bring to next scheduled appointment. The interview appointment should be rescheduled to discuss any WTW participation problems or non-compliance with WTW plan. (See WTW HB Section 76-2, Good Cause Determination; WTW HB Section 76-3, Cause Determination and Compliance.)

4. No progress report received

A. Responsible party(ies) must be held to their agreement(s)

This applies to CalWORKs providers and the CCSF Office of Workforce Education, which are bound through their agreements with HSA to keep and convey Participant progress records.

When these reports are not received, inform the HSA Liaison for the provider who will call and request the report. If there is no liaison, inform the Unit Supervisor, who will in turn call the provider to request the report.

If the problem continues, the Unit Supervisor or Liaison will inform:

- For CalWORKs providers: The Special Assistant for Workforce Development

- For CCSF: The Program Manager for Employment Support Services (ESS).

B. When the Participant is the Responsible Party

When it is the Participant who has agreed to provide the progress report:

1. Contact by phone is the first step; leave messages but direct contact is most successful.
2. Contact in writing is the next step. Use the notice Attendance Progress Verification Required (7216 CW, for languages other than English).
3. To avoid miscommunication and to assist the Employment Specialist in the event of grievance and appeals, document in the case comments all efforts to obtain the information.
4. If the problem of obtaining progress reports from the Participant cannot be resolved, proceed with non-compliance measures.

C. Supportive Services

Participation in a WTWActivity is often tied to having a child care provider and/or a Fast Pass. The Employment Specialist does not want to cause a Participant to stop attending an Activity by withholding authorization.

In such situations the Employment Specialist should authorize child care and/or transportation for up to one month. Agree on an interim period of authorization, PENDING receipt of documentation.

When the reports have NOT been received, the Employment Specialist shall stop the child care authorization (CalWORKs Child Care Change Notice, Form 7019 CW) and transportation (See WTW HB Section 74-5, CalWORKs Transportation Policy, for appropriate transportation NOAs.)

V. Monitoring Employed Participants, including Work Study and Community Jobs Program (CJP)

The SAR7 is used to report all earnings whether or not they are exempt from consideration as income for CalWORKs budgeting. For example; earnings from CalWORKs Work Study are exempt from CalWORKs budgeting, but are budgeted for Food Stamps.

The hours of employment are usually found on the pay stub and are also reported on the SAR7. Community Job Program (CPJ) earnings are also reported on the SAR7.

A. Documentation of Hours of Participation in the Case File

It may be necessary for the Employment Specialist to verify actual hours of participation, unless all participation is verified in the Participant's case file on a monthly basis.

The availability of current data and documentation of monthly participation in the individual's case file is necessary in meeting the Federal participation rate without additional efforts to secure verification of work participation hours. **(See WTW HB Section 70-7, County Work Participation Rate, ACL 06-06.)**

VI. CalWORKs Providers and Monitoring

The Monthly Attendance Report, Form 7024A CalWORKs Attendance Report – Contract (due to WDD Support Staff by the third day of the month following the report month) has been designed for CalWORKs service providers to report on the attendance status of each Participant in their program on a monthly basis.

A. Employment Specialist Responsibilities

After a Participant has been accepted for an activity by a CalWORKs provider, the Employment Specialist sends the referral packet to the CBO.

Included in this packet is the completed:

- Employment Plan (Form WTW 2 - side 1 only),
- Authorization to Release Information (Form 8014)
- CalWORKs Attendance Report, Form 7024A CW – Contract. Be sure to write all information legibly. WDD Support staff will post the 7024A on the O-drive in the participant alpha folder by the seventh business day of the month following the report month.

B. CalWORKs Provider Responsibilities

CalWORKs providers are required to complete the CalWORKs Attendance Report, Form 7024A CW – Contract which are due to WDD Support Staff by the third day of the month following the report month. WDD Support staff will post the 7024A on the O-drive in the participant alpha folder by the seventh business day of the month following the report month. The form can be mailed or faxed. This form is used to monitor Participant attendance and absences by indicating the hours spent daily in each class/activity.

Form 7024A CW, Attendance and Absence Report Entries

The Form 7024A CW consists of weekly date and hours attended in an activity, absence and reason for the absence by code. Hours spent in an activity are indicated in the boxes (daily) and totaled in the box with the asterisk. The name of the instructor and/or supervisor should be printed in the area provided.

- If the Participant has two (2) absences, the provider is to CALL the Employment Specialist immediately and not wait for the next written report. This requires immediate

action on the part of the Employment Specialist, who shall, for example, convene a case conference between the CBO, the Participant and the Employment Specialist.

- The signature of the Participant is not required.
- Excused Absences shall be recorded in the "Excused Absences" column using the appropriate code listed on the 7024A CW. Unexcused absences shall be denoted by "U" and "NC" in the appropriate columns.
- The CalWORKs provider shall make copies of the CalWORKs Attendance Report (7024A CW) with the Participant and the Employment Specialist information and keep on file for future reference.

The receipt of the forms from the provider shall be logged and the forms distributed to the Employment Specialist in a timely manner.

C. Participant Responsibilities (if provider is not a CalWORKs provider)

See Part VII, "Other Education and Training Providers and Monitoring".

D. Monthly Attendance/Progress Verification Request Form 7053 CW

This form is used to request that participants provide proof of their monthly work or participation hours in their WTW Activity/Program. Participants are reminded that ancillary supportive services may not be authorized without the requested documentation.

VII. Other Education and Training Providers and Monitoring

Once the Participant has signed the Authorization to Release Information (8014), the Employment Specialist should ask the education or training provider (other than the CalWORKs contracted providers or City College) to use the CalWORKs Attendance Report (7024A CW) to report attendance and absences directly to the Employment Specialist.

However, some institutions may have their own reporting procedure that can be used in lieu of this form, as long as attendance and progress information is received by the Employment Specialist within the appropriate reporting period.

When a Participant is attending a provider other than the CalWORKs contracted providers, the Employment Specialist must be very specific with the Participant when completing the Employment Plan (WTW 2A). How will progress (including attendance) be monitored?

For these "other providers", the Participant shall be required to bring attendance and/or progress reports to the Employment Specialist, unless the provider has agreed to send reports directly to the Employment Specialist.

It may be necessary for the Employment Specialist to verify actual hours of participation and attendance with non-CalWORKs providers.

VIII. City College of S.F. - Monitoring Progress of Participants

The CalWORKs Center coordinates the college's services exclusively for CalWORKs Participants. Center information is included in Section 74-20 City College of San Francisco Collaboration.

A. CCSF Monitoring Methods

The Collaborative Case Management System (CCMS) provides information to the WTWCCSF ESs regarding each participant's:

1. Monthly Attendance

- Classes/Courses
- Work Study
- Excused Absences
- Holidays

2. Grades/Achievement

Credit Students:

- Drop-Add reports showing class registration
- Midterm grades
- End of semester grades
- Counseling Report

B. WTWCCSF Employment Specialist Responsibilities

In routine monthly contacts with the participant, the Employment Specialist shall discuss the attendance and any other progress reports received from CCSF.

IX. Monitoring Progress in Supportive Services when WTWActivities

A. Mental Health and/or Substance Abuse activities

See Section 73-16: Mental Health and Substance Abuse Services as a Welfare to Work Activity, and also Section 74-2: Mental Health and Substance Abuse Services.

B. Domestic Violence Services

See CalWORKs Program Information Memo #98-10 and Addendum. See handbook Section 73-17: Domestic Violence Services as WTW Activity and Section 74-3: Domestic Violence Services to be issued before or by July 1999.

C. Monthly RAMS and DV Progress Reports

Monthly reports from RAMS Community Services and Homeless Pre-Natal Program are received by the 10th of each month.

X. CalWIN Entries

Please go to "How To's" on the intranet for procedures on "How To Monitor and Enter Actual Hours" in the CalWIN Information Network.

XI. Forms

Form #	Form Name	Purpose	Language
WTW2	Employment Plan – Activity Assignment	This specifies up to two welfare to work activities that the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7019CW	CalWORKs Child Care Change Notice	Use this form to change an authorization, which was submitted on a 7021 CW.	
7024A CW	CalWORKS Attendance Report- Contract	CalWORKs service providers shall report attendance and absences on this form.	
7053CW	Monthly Attendance/Progress Verification Request	Mail this form to participants monthly to request proof of monthly work participation hours in WTWActivity/Program or employment.	
8014	Authorization to Release Information	Standard DHS form for client signature – ES must have a client’s authorization before communicating with any agency or party outside DHS about the client.	
7216CW	For Non-English Languages Attendance Progress Verification	Required A letter to the Participant: 1) Requesting a progress report; or 2) Making an appointment to discuss progress; or 3) Making an appointment to bring in the new semester class schedule.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
	Effective: 5/5/05

75-6: Reappraisal

I. Introduction

Reappraisal is a formal review of an individual’s participation in the WTW Employment Plan (WTW 2A) required when a change in the plan is determined to be needed or is requested by the participant.

Reappraisal is required by State regulation and county policy to ensure that any changes in the employment plan are thoroughly considered and evaluated prior to the development of a new WTW Employment Plan (WTW 2A). The

Reappraisal for Employment Plan Change form (7002 CW) is a tool to ensure program consistency in the reappraisal process.

II. References

A. References From Law And Regulations

1. Welfare and Institutions Code: SEC. 110. SEC 11325.25(4); SEC. 116. SEC 11326 (a); SEC. 62. SEC 11320.1(c); SEC. 144. SEC 11454 (d)
2. CalWORKs Regulations: 42- 710.3, 42-711.7, 9; 42-7161, 75-6 Reappraisal section
3. All County Letter: ACL 04-41 & Errata
4. References from San Francisco's Welfare-to-Work Operations Plan II. A. 1

C. Cross-references to Other Sections of this Handbook

- Section 72-2: Assessment
- Section 72-2.3: Criminal Records and Background Checks
- Section 73-14: Other Job Skills Training Related to Employment
- Section 75-5: Evaluation
- Section 77-1: Grievance

III. Policy

Reappraisal is the process undertaken to generate a subsequent Employment Plan when a participant has completed all activities in their current plan without obtaining employment, or when the current Employment Plan activities need to be interrupted or changed.

Reappraisal involves a formal review of the individual's participation in WTW to date. Reappraisal must be documented. Service needs and barriers identified during reappraisal must be addressed in the revised WTW Employment Plan (WTW 2A).

A. The Purpose Of Reappraisal

The reappraisal process determines whether there are special circumstances that:

1. Prevent the participant from obtaining employment within the local labor market and/or
2. Support a change in employment goal and/or the assigned WTW activity(ies).

B. Reappraisal Required

Reappraisal is required in the following case situations.

1. When the participant asks to interrupt assigned activities and change employment goal and/or WTW activity assignment after preciously signing the WTW 2A.

Exception: Please note, regulations allow a one-time-only change in the participant's first training activity within the first 30 days of that activity assignment. The reappraisal is not required in this situation. Consult with participant, Vocational Assessor, and Unit Supervisor as needed to determine an appropriate alternative activity, in keeping with the employment goal and barrier remediation.

Additional assessment may be necessary, depending on the reason for the participant's request to interrupt the training activity.

2. A participant has not obtained unsubsidized employment upon completion of all activities included in the WTW Employment Plan (WTW 2A). The assignment of WTW activities in this instance is limited to work related activities unless special circumstances apply.

The complete list of these special circumstances and limited activity assignments are discussed in the following pages.

3. When a participant is not making satisfactory progress in assigned activity(ies) with no "good cause" conditions.

4. A former participant who is reapplying for aid and has WTW participation history.

C. Special Circumstances and Reappraisal

The special circumstances listed below are criteria to assist the Employment Specialist during reappraisal to determine:

1. Whether to approve the request for a change in employment goal and/or
2. Selection of WTW activity(ies) to be included in the new employment plan.

Documentation is required to verify the special circumstance. If no Targeted Vocational Assessment (TVA) has been completed to date, a TVA is required for the reappraisal. Other targeted assessment(s), service referral(s) and/or consultation may also be necessary to complete the reappraisal. The written results of these efforts will provide the documentation for the reappraisal.

The following chart lists the CalWORKs special circumstance criteria and the suggested documentation:

Special Circumstances	Recommendation Documentation/Verification
A. Previous occupational goal is for an occupation that is no longer in demand	Has demand changed since approval of this employment goal? Written statement from Employment Services Representatives, Vocational Assessor and or EDD statistics.
B. Cannot obtain a license to work in the occupational goal	Legal consultation required: resource Bay Area Legal Aid. See form 7042 CW and Handbook Section 72-2.3 regarding background checks.
C. Change in the capacity to perform work	CW 61 or similar documentation from a provider; TVA to identify other occupations the individual can do now.
D. Language or literacy needs	CASAS test results and Learning Needs Screening results; progress reports if engaged in ESL or ABE activity
E. Mental health, F. Substance abuse or G. Domestic violence issues	Report from targeted assessment and/or service provider
H. Other compelling reasons	Case conference required to determine the reappraisal outcome.

If "H." Other compelling reasons is checked, a case conference is required. Review and evaluate the participation history and determine whether a new employment goal or Plan should be approved. The conference shall determine the individual's barriers/needs and service referrals and/or WTW activities that address the barriers/needs.

D. No Special Circumstances and Choice of WTW Activity

CalWORKs regulations limit the activities that may be assigned when there are no special circumstances AND the participant has completed all the activities in the WTW Employment Plan (WTW 2A) and is not working.

If so the WTW activity choice is limited to one or a combination of the following activities:

1. Unsubsidized employment
2. Self-employment
3. Work experience
4. Job skills training directly related to employment
5. Mental health, substance abuse, and/or domestic violence services

E. When Is Job Search the Next Activity?

Job search may be an assessment tool and/or the best way for the individual to connect with the labor market.

The following chart suggests times when participation has been interrupted that referral to structured job search is recommended. If job search is not successful, subsequent referral to Work Experience - or the Community Jobs Program (CJP) - may be appropriate.

Job Search for Whom	Referral
<p>If the participant:</p> <p>*Has completed training and has not been placed or is not working</p> <p style="text-align: center;">or</p> <p>*Is not in an activity or not progressing in an assigned activity and the last job search was at least one year ago</p> <p style="text-align: center;">or</p> <p>*Is CURRENTLY appraised at the Low or High Market Connection</p> <p>If at the end of the job search the individual still has no job,</p>	<p>Refer and enroll the individual in a structured, 30-day job search to afford another chance to find Unsubsidized Employment.</p> <p>(JRT or JCL provide the structured setting required) before referring to Work Experience</p> <p>or</p> <p>before considering further training.</p> <p>Refer to Work Experience</p> <p style="text-align: center;">or</p> <p style="text-align: center;">CJP</p> <p style="text-align: center;">or</p> <p>Have a reappraisal case conference in order to determine the next assigned activity(ies).</p>

F. The Reappraisal Form is Required.

Complete the Reappraisal for Employment Plan Change (7002 CW) form and obtain required signatures. Consult with the Section Manager if agreement is not reached.

G. Make the Appropriate Activity Assignment

Following reappraisal, include the recommended activity(ies) and supportive service referrals in the WTW Employment Plan (WTW 2A).

Attach the completed reappraisal form to the new employment plan.

The Employment Plan-Activity Assignment (WTW 2) must be completed and signed for the next assigned activity(ies).

H. Grievance

Occasionally after consultation with the participant, Employment Specialist, Vocational Assessor, Unit Supervisor, and others as appropriate to the individual case, agreement with the proposed WTW activity assignment(s) cannot be reached.

Encourage the individual to speak with a Client Advocate. If there continues to be no resolution, a Third-Party Assessment may be the appropriate step **OR** the participant may file a grievance.

IV. Grievance Process

To complete a reappraisal and develop a WTW Employment Plan (WTW 2A) that addresses the individual's barriers to employment follow the steps outlined in the form Reappraisal For Employment Plan Change (7002 CW).

A. 7002 CW Section I:

Note the reason a change in the employment plan is needed.

B. 7002 CW Section II:

List the activities from the most recent WTW 2A that did not result in the expected outcomes. Record the reasons for this result. Print an updated TRAK screen from GIS for a complete picture of the activity history.

C. 7002 CW Section III:

Determine whether or not there are special circumstances.

Is there indication of any of the special circumstances ("A. - G.") reflected in the activity analysis, or from the Employment Specialist's experience with the participant? If so, take the steps necessary to obtain the required documentation of the circumstance. Note the source of the documentation on the form and attach it to the form.

D. Review completed 7002CW with Vocational Assessor and Unit Supervisor.

If the participant never completed CASAS testing, Learning Needs Screening (7001 A), or TVA, determine, with the Vocational Assessor, whether to refer to JRA or schedule individual appointments for these assessment requirements.

E. Case Conference

1. A case conference is required if none of the special circumstances apply (H. "Other Compelling Reason" on the form).
2. In order to assure the development of quality employment plans, conferencing either formally or informally with the Unit Supervisor and the Vocational Assessor is encouraged for all cases.
3. Conferencing can occur by scheduling a time slot at one of the weekly Combined Case Conference sessions, or making a Reappraisal appointment with the Vocational Assessor. In either case, all documentation (see C. above) and background materials must be in place before the conference is held.

F. Determine Reappraisal Outcome

Together the Vocational Assessor and Employment Specialist (and Unit Supervisor as needed) determine the outcome of reappraisal. The outcome recorded in the 7002 CW Section IV. will be a new WTW Employment Plan (WTW2A) with:

1. Same goal, new activity(ies)
2. New goal and new activity(ies) **OR**
3. Other outcome

H. Limited activities if no Special Circumstances

Remember, there are limited activities that may be assigned -- if there are no special circumstances and reappraisal is required because all the activities on the employment plan are completed.

I. Signatures Required

The signatures of the Employment Specialist, Vocational Assessor and Unit Supervisor mean all parties have reviewed the information and agree with the outcomes. Space is provided for signers to comment on concerns.

J. Disagreement

If agreement cannot be reached between the parties, after a case conference, review the reappraisal with the Section Manager. A case conference to include the Section Manager and perhaps the participant and Client Advocate may be beneficial.

V. Process - Complete Employment Plan Forms

Based on the results of the reappraisal complete

A. WTW Employment Plan (WTW 2A)

Include all the WTW activities to be assigned either concurrently or consecutively to reach the employment goal.

AND

B. Employment Plan-Activity Assignment (WTW 2)

Include the next activity(ies) to be engaged in by the participant.

VI. CalWIN Entries

(This will be included in this section once a CalWIIN "how to" has been created)

VII. Forms

Form#	Form Name	Purpose	Language
WTW2 (12/12)	Employment Plan – Activity Assignment	This SDSS required form specifies up to two Welfare-to-Work activities the Participant is committing to engage in.	Chinese Russian Spanish Vietnamese
7001A CW	Learning Needs Screening	A questionnaire for the Employment Specialist to administer during assessment to determine if a Participant would benefit from a Learning Styles Assessment.	English Only
7002CW	Reappraisal for New Employment Plan	A form required prior to completing a second or subsequent WTW Employment Plan (WTW 2A). The reappraisal process and outcomes are documented on the form.	English Only

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be

available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
75-8: CalWORKs Family Reunification (AB429 - Linkages)	Effective: 10/21/09

75-8: CalWORKs Family Reunification (AB429 - Linkages)

I. Introduction

A. Overview

Assembly Bill 429 allows continuation of CalWORKs services for the parent or parents of children who have been removed from the home. If the county determines that services are necessary for Family Reunification (FR), AB 429 provisions allow the parent(s) to receive CalWORKs Welfare-to-Work (WTW) Supportive Services (i.e., WTW plan), substance abuse, and mental health services, if it is determined that such services are necessary for family reunification.

The bill also provides continuation of CalWORKs benefits after reunification.

AB 429 (aka "Linkages") services promote safety and permanency for children and the well-being of the family by reducing the number of children re-entering Foster Care. Linkages services are an interdepartmental collaboration between Family and Children’s Services and CalWORKs to address the common barriers that limit parents’ ability to work and keep their children safely at home.

CDSS All County Letter (ACL) 02-36 informs counties of the changes required by passage of AB 429 and summarizes eligibility, case management and reporting requirements.

B. Purpose

Linkages Family Reunification services allows the CalWORKs case to remain open while the client is receiving reunification services. The Protective Services Worker initiates Linkages services between FCS and CalWORKs when children are removed from their home.

Advantages

1. Allows CalWORKs case to remain active without children in the home.
2. CalWORKs can provide services needed for reunification such as substance abuse, mental health, and DV counseling, transportation.
3. CW Social Work Unit intervention as well as work and training related services.

4. CalWORKs services can be incorporated into the FCS Family Reunification Case Plan.
5. CalWORKs services use of federal and state funds instead of county funds.
6. CalWORKs services promotes positive outcomes

C. Acronyms

AB429 - California State Assembly Bill 429

AU - Assistance Unit is the group of persons in the household receiving aid

CAAP - County Adult Assistance Program

CalWORKs WTW-ES - CalWORKs Welfare to Work Employment Specialist

CalWORKs - California Work Opportunity and Responsibility to Kids

E&E - Eligibility and Engagement

ES - Employment Specialist

EW - Eligibility Worker

FCS - Family Children Services

FCC - Foster Care Coordinator

FR - Family Reunification

LC - Linkages Coordinator

LCCM - Linkages Case Coordination Meetings

MAP - Maximum Aid Payment

NNI - Net Nonexempt Income

PAFS - Public Assistance Food Stamps

PSW - Protective Services Worker

TANF - Temporary AID to Needy Families formerly known as AFDC

Welfare to Work Handbook

TFS - Transitional Food Stamps

WTW - Welfare to Work

II. References

A. References from the Law and Regulations

Welfare and Institution Code (WIC) §11203

California State Assembly Bill (AB) 429

CDSS All County Letters (ACL): 02-15, 02-36, and 03-52

Manual Policies and Procedures (MPP): 22-071.1, 40-181.2., 82- 812.5.

III. Policy

A. Definitions

1. Linkages Case Coordination Meeting (LCCM)

Workers in FCS and CalWORKs are required to establish a collaborative case management process that includes 1) determination of the family's need for CalWORKs services to support Family Reunification (FR) plans, and 2) the coordination of CalWORKs services with other child welfare services needed for FR.

The FCS-PSW and CalWORKs staff must work together for the best interest of the family and program, and within a framework of team building and communication. Team building and communication are realized through the Linkages Case Coordination Meeting (LCCM). The LCCM brings the family, FCS-PSW, CalWORKs staff, other community providers and family members together for case planning and coordination.

LCCMs are scheduled by the designated Linkages staff person who sets the date and time, and disseminates all relevant information for the LCCM.

Every LCCM is preceded by a pre-staffing meeting which is organized by the Linkages Coordinator. This pre-staffing meeting is held to clarify logistics, participants, and roles and responsibilities of PSWs and CalWORKs staff at the meeting.

2. CalWORKs Eligibility

a) Definition of a CalWORKs Reunification Case

1. The child(ren) has/have been removed from the parent(s) and is placed in out-of-home care.
2. The parent(s) and child(ren) remaining in the home are ineligible for cash aid.
3. The Protective Service Worker (FCS-PSW) has determined that the provisions of CalWORKs services are necessary for Family Reunification.
4. FCS-PSW has initiated a request for continuation of FR services.

b) CalWORKs Eligibility for Reunification Services

Eligibility for CalWORKs reunification services exists when:

1. All children are removed from the home and placed in out-of-home care or,
2. Some children are removed from the home but the case becomes ineligible for cash grant due to excess income that resulted from the CalWORKs Assistance Unit (AU) reduction.

Examples of support services include:

- Transportation
- Work/Training related costs
- Mental Health and Substance Abuse services
- Domestic Violence Services
- Goodwill vouchers for work clothes
- Transitional Food Stamps (TFS)
- CalWORKs Social Work services
- Childcare for children remaining in the home

Clients who had their aid suspended due to sanctions or who have been exempt from Welfare-to-Work activities and services are also eligible to receive CalWORKs services as defined in FR cases. Clients under sanction may be reinstated to CalWORKs services immediately. Children need to be discontinued the day before Foster Care payments begin.

3. Food Stamp Eligibility

CalWORKs Family Reunification cases are eligible for five months of TFS after the case has been discontinued. In the fifth month parents/caretakers need to apply for NAFS.

The Employment Specialist assigned to CalWORKs Family Reunification case should remind client to apply for NAFS before the end of the five months period.

4. Medi-Cal Eligibility

After the CalWORKs case has been discontinued, cash linked Medi-Cal eligibility ends. Medi-Cal eligibility will have to be re-determined.

5. CalWORKs AB 429 Family Reunification Cases and Other Linkages Cases

Linkages cases are opened in both programs and AB 429 cases are a subset of Linkages cases.

If after separation one or more children remain in the home and cash eligibility continues for the remaining family members, the case is considered a Linkages case not a CalWORKs Family Reunification Case.

Family Reunification AB 429 Case	Linkages Case
All children are separated from the home and placed in out-of-home care and CalWORKs case becomes ineligible for a cash grant.	Regular Linkages case when the case is open in both CalWORKs and Family Children’s Services. See Linkages Policies and Procedures Handbook
Some children are separated from the home, but CalWORKs case become ineligible due to excess income that resulted from the AU reduction.	Some Children separated from the home, but eligibility for CalWORKs cash grant continues

During the Family Reunification period, the parent(s) in the case may be issued cash aid through the CAAP Program. The CalWORKs WTW Employment Specialist will issue the necessary supportive services to the parent(s). Parents are eligible for Transitional Food Stamps, as the family is receiving CalWORKs services. Cash-linked eligibility to Medi-Cal during the FR period stops and medical eligibility will have to be re-determined.

IV. Process

A. Identification of Linkages Cases

1. Identification of CalWORKs Reunification Families by Foster Care Unit

Whenever the FCS-PSW in the Emergency Response Unit (ERU), Court Dependency Unit (CDU), or Family Service Unit (FSU) removes a child or children from the home of any biological or adoptive parent for placement out of the home, the PSW completes Form 1501 and forwards it to the Foster Care Eligibility Unit for determination of Foster Care eligibility.

The Linkages Coordinator (LC) also identifies AB 429 cases and sends e-mail alerts to all staff involved.

2. Identification of CalWORKs Reunification Families by designated Linkages Staff

The Linkages Coordinator or designated staff identifies CalWORKs Family Reunification cases from the monthly report and e-mail alerts are sent by the CalWORKs Social Work Unit clerk to FCS-PSWs and Supervisors alerting them on potential cases identified.

B. Roles and Responsibilities

1. Responsibilities of the Foster Care Application Coordinator - Supervisor

1. Forward one copy of Form 1501 with the Form 8102 (PSW Requesting CW Services) to the assigned FCS-PSW, and a copy of the Form 1501 to the CalWORKs EW/ WTW ES within two working days. Send a CalWIN Case Alert to the CalWORKs worker and Supervisor and CalWORKs Social Work Unit Clerk to inform them that the Form 1501 has been sent.
2. Forward one copy of Form 1501 to the CalWORKs Social Work Supervisor if the case is active in CalWORKs.
3. Forward one copy of Form 1501 to the Linkages Coordinator if the case is active in CalWORKs.
4. For potential CalWORKs Family Reunification cases The Foster Care Application Coordinator will fill out Section 2 of Form 1501 and will distribute as above.
5. Upon receipt of the Foster Care Change Notice, Form 1502, complete a case search of CalWORKs and CAAP status and forward copies of Form 1502 to the CalWORKs and CAAP worker, if applicable.

2. Coordinated Service Delivery for CalWORKs Reunification Cases

The following actions must be completed to request and coordinate continuing CalWORKs services for Family Reunification families. The responsibilities involved are described for Family & Children Services- Protective Service Worker FCS-PSW and CalWORKs workers.

a) Protective Service Worker's Responsibilities

Refer to "FCS Handbook Section 54-3, AB429-CalWORKs/Family Reunification Cases" for more information.

b) Responsibilities of the CalWORKs Staff

CalWORKs Reunification cases, in general though not always, may be on discontinued or inactive status in CalWIN. Even though cash aid has been discontinued, CalWORKs supportive services will continue for CalWORKs Family Reunification cases.

3. Prior to Initial Linkages Case Coordination Meeting

A. Upon receipt of Forms 1501 and 8102 from FCS, CalWORKs EW staff shall:

1. Discontinue the cash aid with appropriate notice if no eligible children are left in the home and maintain WTW programs.
2. Convert PAFS to Transitional Food Stamps case and issue all other services as requested. (See "How to's" posted on Intranet)
3. Notify CalWORKs client about the case status, the possible continuance of CalWORKs services, and refer client to CAAP.
4. Give copies of 1501 and 8102 to assigned WTW-ES. If there is no assigned WTW ES then ask clerk to assign WTW-ES and provide to newly assigned ES copies of 1501 and 8102

B. CalWORKs WTW Staff shall:

1. If an eligible child or children are left in the home, but there is a zero cash grant due to income, notify the parent(s) that Supportive Services will be issued through CalWORKs.
2. Request from records management the client's case file to be used at ongoing case planning and coordination
3. WTW-ES keeps the case as long as it is in Family Reunification status, including any extensions.
4. Continue all the CalWORKs services being requested by the FCS-PSW on the CalWORKs Reunification Services Request for a period of up to 180 days from the separation date. A CalWORKs Reunification case will be 180 days from separation date and may be extended. The table below explains who is eligible for CalWORKs Family Reunification service:

Type of Cases	Eligibility for Reunification Services
Non-Needy Payee	No
Timed Out	No
SSI Recipients	No
Undocumented	No
Excluded	No
Penalty	Yes
Exempt	Yes - (Exempt cases must be transferred to CalWORKs/WTW ES in order for services to be provided)
Sanctioned	Yes
All cases carried by the ES	Yes

4. After Initial Linkages Case Coordination Meeting

1. Make referrals for CalWORKs supportive services requested by the FCS-PSW that are not currently provided.
2. Monitor participation in requested CalWORKs services
3. Coordinate services for the family by working closely with the Linkages Coordinator and the FCS-PSW.
4. Participate in follow up Linkages Case Coordination meetings or other joint case staffing as scheduled.
5. Amend welfare-to-work plan, if applicable, to include all or part of the activities of the required FR plan
6. Initiate monthly contacts with the FCS-PSW to discuss progress of client's participation in FR services and WTW plan, if applicable.
7. Form 1502 indicates reunification of children with parents or caretakers. Upon receipt of Form 1502, refer client to intake as soon as PSW recommends that child be placed back in the home. Doing CalWORKs intake before child/ren return home will ensure that no break in aid occurs.

5. Linkages Coordinator's Responsibilities

- The Linkages Coordinator sends e-mail alerts, facilitates and monitors the processing of AB 429 cases.
- The Linkages Coordinator sends e-mail alerts to CalWORKs and FCS staff when a copy of the 1501 is received from Foster Care indicating separation of children from CalWORKs case. E-mail shall alert staff in both programs about potential eligibility for CalWORKs Reunification services, the steps to be followed by FCS-PSW to request CalWORKs supportive services, and the procedural steps to be followed to coordinate services between CalWORKs, FCS and CAAP. For case specific questions about AB 429 contact Linkages Coordinator.
- Track compliance with AB 429 regulations by preparing a monthly tracking report of all potential AB 429 cases. The report shall indicate status of each AB 429 case and compliance on the part of all assigned workers.

V. Reporting and Redetermination Requirements

1. Quarterly Reporting

A CalWORKs reunification parent is required to submit a QR 7 if he or she is receiving TFS. If the AU reports changes resulting in loss of eligibility during the Quarter, the Eligibility Worker (EW)/ Employment Specialist WTW-ES will follow QR regulations.

CalWORKs Family Reunification parent(s) are not required to submit a QR 7 for cash during the period when the case is in FR status.

2. Six-Month Eligibility Redetermination

An eligibility redetermination for CalWORKs reunification services should be completed at six-month intervals in coordination with court review hearing dates. If the annual eligibility redetermination was due at the time of removal, the redetermination should be postponed to coincide with court hearings. If court review intervals are extended beyond the six months or shortened, the eligibility determination should be changed to coincide with the court date.

Follow-up LCCMs shall be held prior to all court hearings, including hearings to determine the return of children.

3. Eligibility Redetermination Calculation

The following calculation shall be used to determine income eligibility, in the context of no cash aid payment, at the six-month redetermination:

1. Determine the AU that includes the eligible parent or parents, any remaining children, if applicable, and each child who has been placed in out-of-home care and considered temporarily absent.
2. Determine the AU's Net Nonexempt Income (NNI) after applying all disregards
3. Compare the NNI to the MAP for the family size
4. If the NNI does not exceed the MAP, the AU would remain eligible for continued CalWORKs FR services.

Example: Client works full time earning \$775 per month. She has two children who are placed in out-of-home care. There is no need to average her income since it is received monthly and is expected to remain the same throughout the QR payment quarter. No other income was reported.

\$775	Averaged Monthly Earned Income
- 225	<u>Income Disregard</u>
\$550	Earned Income
- 275	<u>50% Earned Income Disregard</u>
\$275	Total Net Nonexempt Income (NNI)
\$723	Nonexempt MAP for 3

Compare the MAP for 3 (\$273) to the NNI (\$285). Since the NNI does not exceed the MAP, the AU remains eligible for CalWORKs services but not a cash grant.

1. Eligibility determination after Family Reunification occurs

CalWORKs eligibility determination shall be required to restore cash aid to the CalWORKs case when a family is reunified after the children are returned to the home.

Once the children have returned, Foster Care Eligibility Unit clerk will forward a copy of Form 1502 to the assigned CalWORKs reunification worker and also to the CAAP worker if the parent(s) were receiving CAAP assistance during the reunification period.

1. For parent(s) without CAAP cash assistance: upon receipt Form 1502, the assigned CalWORKs worker will send out a renewal packet and will meet face-to-face with the family to review the SAWS 2. Once the family is found to be eligible for CalWORKs, the beginning date for re-issuance of cash benefits is the first day of the month following the return of the child or children to the home.
2. For parents with CAAP cash assistance: If the parent(s) were receiving CAAP cash assistance during the reunification period, CalWORKs cash assistance shall be reinstated after discontinuance of CAAP assistance. CAAP assistance can be discontinued mid-month or end of the month with a ten-day notice and on any date upon client request without a ten-day notice.
3. When the CAAP discontinuance occurs mid-month or any date during the month, the portion of CAAP cash benefits for the month is budgeted to determine the CalWORKs cash benefit. Once the likely date of return of children are known, the CalWORKs WTW ES should inform the parent to request CAAP discontinuance so that CalWORKs cash aid can be restored after CAAP is discontinued.

2. Good Cause Extensions of the 180-day Period

AB 429 allows for continued CalWORKs services during a 180-day period. Good Cause extension of this period may be granted in two situations:

1. When the court ordered six-month reunification plan begins some time after the child's removal and the plan will then extend beyond the initial 180 days of removal, an extension can be granted.
2. A Good Cause extension may also be granted when the PSW determines that additional time is necessary to complete the court-ordered reunification plan and as long as the family reunification plan remains in effect.

VI. WTW Sanctions, Work Participation Requirements and Exceptions

A. Welfare-to-Work Sanctions

Individuals who have received a WTW sanction, including a second or third instance sanction, are not precluded from receiving CalWORKs services for purposes of FR, and may participate immediately regardless of the time remaining in the sanction period. Participation also counts toward any required sanction period, since an individual is not receiving a cash grant while receiving CalWORKs services under a FR plan. Individuals who fail to participate in WTW activities or any other activities required under the FR plan are not subject to the WTW non-compliance or sanctioning process. CalWORKs services that are part of an individual's FR plan shall be provided to these individuals until the FR plan is terminated by the CWW.

B. Work Participation Requirements

When any client volunteers to participate in a WTW plan, the court-ordered reunification plan could be used in lieu of the WTW plan and non-compliance/sanction process would not apply. When the court-ordered reunification plan is used in lieu of the WTW plan, the client must be noticed in writing that the FR plan will take the place of the WTW plan. If the participant has signed a WTW plan, the court-ordered reunification requirements could become part of the WTW plan, and the non-compliance/sanction process apply, but only to the work and training activities. Even when sanctioned, the FR case will remain an active CalWORKs case and support services must be continued.

C. Welfare-to-Work Good Cause Exemption

CalWORKs services are provided in conjunction with child welfare services as part of the FR plan. If participation in activities required under the FR plan interferes with an individual's ability to comply with the WTW hours of participation requirements, the parent must be granted Good Cause for not participating in his or her WTW activities.

VII. Time Limits

A. CW 48 Months

Supportive Services would not be counted toward the CW 48-month time limit as no cash assistance is being issued.

B. TANF 48 Months

1. Supportive services that are provided by TANF funds to an unemployed parent are considered "assistance" and count toward the federal TANF 48-month time clock, as long as services are being provided.
2. Supportive services that are provided to an employed parent are not considered "assistance" and do not count toward the federal TANF 48-month time clock.

3. A service/payment that is intended to meet recurrent and ongoing needs and provides for needs that extend for more than four months, is considered "assistance" whether or not the parent is employed. Therefore, any month in which that type of service/payment is provided would count toward the federal TANF 48-month time clock.
 - A service/payment that provides for the need for a period that is four months or less, is not considered "assistance" and would not count toward the federal TANF 48-month time clock.

VIII. CalWIN Process

For the "How to's" cheat sheets that gives the step-by-step process to set up supportive services in CalWIN, please go to the "How To's" link on the intranet: for CalWORKs Family Reunification (AB429).

IX. Forms

Form #	Form Name	Purpose	Language
1501	Placement Notification	Initiated by the PSW after removal of children to alert the Foster Care unit	
1502	Foster Care Change Notice	Initiated by the PSW to notify the Foster Care Unit about a change of placement including return of child(ren) to parent	
8102	CalWORKs Reunification Services Request	Utilized by PSW worker for requesting CalWORKs services	

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 75-9: CalWORKs Social Work Services	Effective: 7/21/14

75-9: CalWORKs Social Work Services

I. Introduction

Many clients face barriers that hinder their success in the course of enrolling in CalWORKs to fulfill the requirements of a Welfare to Work (WTW) Plan. Clients who do have WTW Plans, but are not in compliance with them, are subject to sanction.

II. References

A. WTW Handbook Cross-references

Section 73-8: Community Service
Section 75-3: Confidentiality and Code of Ethics
Section 75-8: Linkages Services
Section 76-1: Compliance Protocol

B. Program Information Memos (PIMS)

PIM 00-18: New School Verification Requirements
PIM 03-08 Identifying and Helping CalWORKs Participants with Disabilities Apply for Assistance and Maintain Eligibility
PIM 12-34 Updated Forms ADA Accommodation Needed
PIM 12-36 Process for Assisted CW Intake from Social Worker
PIM 12-43 Updated Confidential Document Protocol
PIM 12-61 CW Information Session for CW Applicants
PIM 13-04C Processes for OCR 2 (HSA ADA Form) for WTW and PAES Participants
PIM 13-05 Service Center Face to Face Meeting Requirements

C. CalWORKs Eligibility Handbook Cross-references

Section 51-22: CalWORKs WTW for Pregnant and Parenting Teens (Cal-Learn)

D. CDSS- Manual

EAS 42-762-780 Introduction to the Cal-Learn Program

III. Policy

It is the policy of HSA to provide social work assistance to participants, as appropriate, to enable participants to reach self-sufficiency. As such, there are several types of social work and supportive services available to participants, both internally by HSA staff, and with contracted providers who provide assistance with issues such as behavioral health, substance abuse, and domestic violence.

IV. Social Work Services - Roles and Responsibilities

A. CalWORKs Social Work Unit

1. Overview

- a. The following section represents a general guide to the processing of all referrals to the Unit. However, flexibility and the ability to respond quickly to client needs are two of the most important characteristics of the Social Work Services Unit response process. Each client is unique and the referrals made to the Unit are made only on difficult cases or after normal CalWORKs eligibility and WTW procedures have not been effective. Because of this, many of the Unit's cases have special circumstances and require creative solutions, so it is possible that in some cases departures may be made from this process.
- b. The CW Social Work Unit is supervised by Supervisor C450, who also serves as a Linkages Family Team Meeting (LFTM) Facilitator and supervises the Linkages Coordinator. The Unit provides services at 170 Otis, 3120 Mission, and 1800 Oakdale. Within the CalWORKs Social Work Services Unit, two are stationed at 170 Otis, five out-stationed – three at the Career Link Center, at 3120 Mission Street and two at the Southeast Career Center, at 1800 Oakdale Avenue. A Spanish-speaking SW is stationed at 3120 Mission and a Chinese-speaking Social Worker is stationed at 170 Otis. Social Workers arrange for interpreters through HSA's Employment Labor Relations, as needed.
- c. CW Social Workers participate in CW Collaborative Case Conferences and Linkages Case Conferences, as requested.
- d. In addition to supervising the Linkages Coordinator, the Supervisor participates as a Linkages Family Team Meeting Facilitator, a process which brings together parents and providers to discuss mutual concerns and develop a single plan that will satisfy both CalWORKs and Family and Children's Services (F&CS) requirements.
- e. Social Work services are provided to participants to overcome barriers to employment, who are sanctioned or pre-sanctioned, or who are struggling with other issues, such mental health, domestic violence, substance abuse, homelessness, in danger of becoming homeless, or who have unique child care, medical, or housing needs, whose

children's GPA falls below 2.0, have truancy problems, or who have need for SSI application assistance. (See attached Reasons for Social Work Referral List.) Social Workers provide information and referral, make home visits as well as visits to participants and children at work sites or schools or other community locations. SWs work with both children and adults on an individual basis and with nuclear and extended families. Beginning at the Intake stage, SW services are available to all CalWORKs recipients, whether or not they are participants in Welfare-to-Work.

When a worker's resources are exhausted, and a participant is still noncompliant, that worker refers the case to the SW Services Unit. The primary role of the pre-sanction intervention is to interview and assess pre-sanction participants, and to engage them in developing and carrying out steps to bring them into compliance with their WTW plans.

NOTE: Pre-sanction outreach services are provided by RAMS Counseling Services for English-speaking and Spanish-speaking participants. The CW SW Unit provides these services to all other participants. If any participant is already engaged in an active referral with an assigned CW Social Worker, the pre-sanction referral is addressed by the CW Social Worker.

NOTE: While the CW Social Work Unit provides information, referral, and some transportation services, the Unit does not provide services that participants are expected to complete for themselves. For example, SWs may provide transportation to help a client feel comfortable at an initial contact with a therapist; the SWs do not provide ongoing weekly transportation for a participant to meet regularly with a therapist or other service provider.

2. Referral Processes to CW Social Work Unit

a. Access to Social Work Services

All CalWORKs clients are eligible to be referred to the Social Work Services Unit. Participants are eligible to receive services whether or not they are participants in WTW. This includes CalWORKs intake clients, persons exempt from WTW, other households not required to participate in WTW, and clients engaged in the post-aid retention services period.

b. Referral Process to CW Social Work Unit

1. Social Work Services are accessed through a referral from a CalWORKs Employment Specialist (ES) or Eligibility Worker (EW). All referrals for social work services must be made electronically. Although any provider involved with a client/family can suggest that such a referral be made, **the ES or EW must complete the on-line CalWORKs Social Work Services Referral Form (7045 CW).** The on-site Public Health Nurse, Domestic Violence Advocates, and Legal Advocates also make Social Work Referrals.
2. The referring party shall notify the participant that a social work referral has been made.

3. Once Form 7045 CW is completed, the ES shall receive supervisory approval and then forward Form 7045 CW to the Supervisor of the Social Work Services Unit (C450) and the Unit Clerk (CX27).

As soon as the Supervisor accepts a referral, it is assigned to a Social Worker in the Unit. The “assigned” referral form is given to the Unit Clerk CX27. The Clerk keeps the original referral form and makes a copy of it to initiate a Social Work file folder for the case which is provided to the assigned SW. The Clerk also indexes and arranges for the scanning of the Form 7045 CW into iFiles, and enters the assignment into the SW Unit database.

3. Summary of Social Work Contact Procedures

This summary is provided here so EW’s and ES’s are aware of the Social Work processes and timelines.

a. Upon receiving the case file, the Social Worker contacts the referring party. This allows the workers to review the case together and it gives the Social Worker a chance to supplement the information already in the referral. The referring EW, EW, or other staff should have already informed the participant that a referral has been made.

b. Within 48 hours of discussing the case with the referring worker, the Social Worker contacts (or attempts to make contact with) the client. This contact can be made by phone or by a face-to-face visit with the client at an HSA office, in the field, or at the client’s home.

- If the Social Worker leaves a phone message for the participant, with a person or on a message machine, and does not hear from the participant within 24 hours, the SW sends an appointment letter
- In cases, where telephone contact is not possible, the Social Worker will immediately send a letter to the participant and/or make/attempt another visit within 48 hours of discussing the case with the referring worker.
- If the participant fails to show for the appointed office visit, a Home Visit appointment letter is sent.
- If a home visit is attempted and the client is not at home, the Social Worker will leave an envelope for the client containing a brief written note introducing him/herself and asking the client to contact him/her. Also included will be the Social Worker’s card, and (if appropriate) a DHS no postage-needed return envelope for the client to use to send back to the Social Worker any appropriate paper work, e.g., a child’s report card, a DHS form, etc.
- In some cases, contact with a client is not possible, or clients will inform the Social Worker that they do not want Social Work intervention. If continued

attempts to work with a client are unsuccessful over a period of three months, the case will be closed.

- If no contact can be made, The Social Worker will prepare a Progress Report identifying that contact has failed and recommending case closure. The Progress Report is submitted to C450 for review. If approved, the Progress Report is given to the CX27 for indexing and scanning to be iFiled in ic 3008. CX27 also enters the referral status in the Unit database. All Social Work Referrals and Progress Reports are to be iFiled.

c. Intake

Once contact is made with a client, the process of actual social work intervention begins with a social work intake interview. Depending upon clients' needs and their willingness and ability to cooperate with the Social Worker, the manner and direction in which a case develops will vary. Regardless, the goal of the Social Worker is to engage the client to develop goals and follow through on a plan to achieve them.

d. Intervention

After investigating a case, the Social Worker considers the availability of various options available to and appropriate for a particular client and likely discusses these with the referring worker and contracted or community providers. After such considerations, it is common for a Social Worker to make certain referrals and recommendations for action for a client, sometimes providing transportation to assure that a critical appointment is kept. However, whether success is achieved is primarily the responsibility of the client.

e. Feedback to Referring ES or other Worker

1. Regular feedback in person or by telephone or email is provided to the referring worker on an as-needed basis.
2. A written Progress Report (7046 CW) on developments in Social Work cases is provided to the referring worker on a 3-month basis on most referrals, with the due date for a report being on the day of the third month the case was accepted by the Unit Supervisor.
3. In the Progress Report, the referring worker is updated on the case status and is provided with comments and an account of the next steps the Worker intends to take. All Progress Reports are reviewed by the Unit Supervisor for approval. The SW Unit Clerk iFiles the approved Progress Reports and sends a hard copy for informational purposes to the referring worker.

f. Case Status: A Unit case can have one of two statuses: Open or Closed.

1. Open:

- a. Initially, cases have an Open status. This indicates that the case is being worked on actively by the Social Worker and that Progress Reports will be filed when due. In cases where a participant succeeds and the Social Worker feels that the participant will continue to do so, the case will be considered “closed” and will be closed insofar as social work intervention is concerned. The closure is tracked by the SW Unit Clerk on the SW Unit database.
- b. In some cases, it becomes apparent that participants have barriers to participation that they are either unwilling or unable to address. In those cases, it sometimes occurs that the investment of social work intervention has reached a point of diminishing returns.

EXAMPLE: Some clients struggle with issues of substance abuse, mental health, or homelessness that hinder their communication with a Social Worker. Often these clients do not respond to repeated attempts to contact them by phone or in writing; or, though they may agree to home visits or office appointments with a Social Worker, the result is repeated cancellations and/or “no shows” on the part of the client.

- c. The usual practice for the Social Worker in such instances is to continue attempts to contact and work with the participants to three months. If, after this time, working with the participant appears to be impossible, the Social Worker will send a “final appeal” letter to the client (or have one attached to his/her check if the client is homeless). This letter reiterates to the participant the Social Worker’s desire to work with him/her and offers the participant one final opportunity to contact the Social Worker – either by phone or through a no-postage-needed business reply envelope enclosed with the letter. If there is no reply from the participant, the Social Worker, ES and the Social Work Supervisor will discuss the case. If no feasible alternatives for additional interventions can be determined, consideration will be given to closing it in the Social Work Unit.

2. Closed:

- a. The goal of the Social Worker is to carry a case until the reason for its referral is resolved. In some situations, cases will be closed because participants are discontinued from CalWORKs, move out of county, or continue to fail and eventually withdraw from participation in a plan. In some instances, a participant refuses Unit services; if this occurs repeatedly, the social work case will be closed. In general, cases will remain open in the Unit as long as participants show some interest in participation and the Social Worker feels it is reasonable to hope for success.
- b. Participants may be referred to the CW Social Work Unit for the following general reasons, and as determined by the participant’s individual needs:

REASONS FOR SOCIAL WORK SERVICES REFERRAL

1	Anger Management	32	Impending Death In Family
2	Application for Aid – ADA	33	Ineligible
3	Apply For CAAP	34	Legal Issues
4	Birth Certificate	35	Medical Issues
5	Case Management	36	Mental Health (Adult/ Child)
6	Child Care	37	Money Management
7	Child Custody	38	Non-recurring Emergency Fund
8	Child Disability	39	Parenting
9	Child Referral Service	40	Pre-sanction
10	Clothing	41	Pregnant Teen/Minor Parent
11	Community Violence	42	Record Expungement
12	Criminal Background	43	Relocation
13	Danger to other/self	44	Resources
14	Death In Family	45	SDI Application
15	Death Threats	46	SSI Advocacy
16	Dental	47	SSI Appeal/Reconsideration
17	Domestic Violence	48	SSI Application
18	Emergency Funds	49	SSI/CAPI Application
19	Eviction	50	Sanction
20	Exemption CW-61	51	School Issues
21	Financial Management	52	School Supplies
22	Fleeing Felon	53	Storage Expense
23	Food	54	Substance Abuse
24	Funeral Arrangements	55	Summer Youth Program
25	Furniture	56	Transportation
26	Health Care Advocacy	57	Trauma Victim
27	Homeless	58	Tutoring
28	Household Management	59	Utilities
29	Housing	60	Victim of Crime
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B. WDD Social Worker Unit

1. Unit Summary

- a. WDD Social Workers (8E66 and 8E19) are imbedded in the COR, BAR, and STEP Forward Units.
- b. The primary purpose of the WDD Social Workers is to assist CalWORKs and PAES participants in overcoming barriers which otherwise may have prevented their successful completion of WDD activities.
- c. WDD Social Workers are assigned to work with specified WDD staff, including VACs, COR, BARs, STEP Forward Case Managers, PAES ESs, Jobs PLUS Trainers, etc.

- d. WDD SWs may also assist in outreach to potential WDD participants; or in re-engaging individuals who have stopped participating in WDD activities.
- e. WDD SWs may also facilitate group activities or topical workshops while participants are engaged in COR or PAES job search.
- f. The WDD Social Workers participate in Collaborative Case Conferences, as appropriate.

2. Referrals to the WDD Social Work Unit

- a. WDD staff can either email or personally consult with a WDD Social Worker prior to referral.
- b. WDD staff can also sign up participant on list placed outside the WDD SWs' cubicles.
- c. Job Seekers can also self-refer to WDD SW.
- d. The 8014 Authorization to Release Information is not used by WDD staff referring to WDD Social workers. If WDD/SW refers participants out for services, the WDD SW may request an 8014 to get information back from potential provider.

a. PAES ES Process:

- If a participant's need for an accommodation is identified, the PAES ES shall refer the participant to the WDD Social Worker at 3120 Mission or at 1800 Oakdale to fill out the OCR 2 and to develop an accommodation plan.

b. WTW ES Process:

1. At 3120 Mission Street or at 1800 Oakdale: If a CalWORKs Social Worker is not available, WTW ES's can refer the participant to the WDD Social Worker at 3120 Mission or at 1800 Oakdale to fill out the OCR2 and to develop an accommodation plan.
2. At 170 Otis Street, the WTW ES shall continue to refer participant to the CalWORKs Duty Social Worker at 170 Otis (See the Social Worker Duty Schedule on the CalWORKs Intranet page)

c. WDD Staff (COR, ACE, PAES/GEPS Trainers) Process:

1. WDD Staff shall refer a participant to the WDD Social Worker at 3120 Mission or at 1800 Oakdale when a participant's need for an accommodation has not been previously identified in the Intake or Appraisal processes, and the participant states that s/he may need an accommodation, and/or if the WDD staff determine that an accommodation might be necessary.

3. Roles and Responsibilities of the WDD Social Worker

a. Overview:

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1. Give the participant a copy of the OCR 1
2. Engage the participant in discussion and, if appropriate, assist the participant in filling out the OCR 2 and develop an accommodation plan to identify accommodations that can be provided by HSA.
3. Advise the referring WDD staff of the outcome of the discussion with the participant, and of any accommodation that may be needed.
4. Consult with the WDD staff to ensure that the accommodation is provided.

b. Process for CalWORKs participants:

1. Enter in Case Comments in CalWIN that the OCR 2 (and accommodation plan if separate) has been developed.
2. Enter a note in the Jobs Now database that the OCR 2 (and accommodation plan if separate) has been developed.
3. Forward the completed OCR 2 and accommodation plan (if separate) to the WTW Onsite Supervisor (8C60 at 3120 Mission; 7C60 at 1800 Oakdale)

c. Process for PAES participants:

1. Enter in Case Comments in CalWIN that the OCR 2 (and accommodation plan if separate) has been developed.
2. Enter a note in the Jobs Now database that the OCR 2 (and accommodation plan if separate) has been developed.
3. Forward the completed OCR 2 and accommodation plan (if separate) to the PAES ES Unit Supervisor (8E70).

4. Responsibilities of the PAES Unit Supervisor (8E70) for PAES participants upon receiving the OCR 2 from the WDD Social Worker:

- a. Arrange for the completed OCR 2 (and accommodation plan if separate) to be scanned (under ic 5801)
- b. Email the scanned document(s) to the PAES ES who will enter the need for an accommodation in Case Comments in CalWIN.
- c. Email the scanned document(s) to the CAAP EW.

5. Responsibilities of the WTW Onsite Supervisor (8C60 or 7C60) for CalWORKs participants upon receiving the OCR 2 from the WDD Social Worker:

- a. Arrange for the completed OCR 2 (and accommodation plan if separate) to be scanned and iFiled under index code 1300 (green label Case Documents – General)
- b. Initiate a task request to CWclerkalTMT@sfgov.org to change the fourth digit of the banked caseload number from “N” to “A” to indicate the ongoing need for an accommodation.

C. Cal-Learn Social Worker

1. Overview

- a. The Cal-Learn Program is mandatory for pregnant or parenting teens under the age of 19 who are on cash aid and have not earned a high school diploma or GED. If it is discovered that a pregnant or parenting teen should have been enrolled in Cal-Learn but was not, the worker should take immediate action and refer and/or enroll the teen.
- b. The Cal-Learn Social Workers are supervised by C650.
- c. The Cal-Learn Social Workers participate in the Duty rotation at 170 Otis.
- d. The Cal-Learn Social Workers interface with community organizations
- e. The Cal-Learn Social Workers participate in Collaborative Case Conferences, as appropriate.

2. Referral to the Cal-Learn Unit

- a. For full details on participation requirements, consult with CalWORKs Eligibility Handbook Section 51-22 CalWORKs WTW for Pregnant and Parenting Teens (Cal-Learn)
- b. EW's or ES's shall identify any participant who is a pregnant or parenting teen under the age of 19 who has not received a high school diploma or a GED.
- c. If a pregnant or parenting teen between the age of 19 and 20 has previously participated in the Cal-Learn program (in this or any other county) and has not yet obtained a high school diploma or GED equivalent, s/he may be referred to Cal-Learn as a volunteer until s/he reaches the age of 20.
- d. Volunteers must be participating satisfactorily in a high school or GED equivalent program.
- e. Pregnant or parenting teens participating who are enrolled in Cal-Learn and are participating satisfactorily may remain in the Cal-Learn until such time as they complete a high school diploma or its equivalent or turn 20 years-old.
- f. The referring EW enters high school student details in CalWIN.
- g. Send an email to WTW Supervisor C650 and Unit Clerk (CX29) alerting them that there is a pregnant or parenting teen to be assigned

3. Cal-Learn Social Workers Roles and Responsibilities

- a. Upon receipt of a referral, the Cal-Learn SW shall schedule an orientation and appraisal for eligible teens using the CL1 Cal-Learn Registration Program Information Orientation Appointment
- b. Cal-Learn SW's participate in the SW Duty rotation.
- c. The Cal-Learn SW shall provide case management to assist teen participants in planning and carrying out the objectives of their case plan, including:
 1. Enrollment in Cal-Learn by completing the following documents

- CL2 Cal-Learn Program Requirements
- CL3 Cal-Learn Notice of a Participation Problem
- CL4 Cal-Learn Notice to Parent/Legal Guardian (used only when participant is a minor parent in a senior parent's AU)
- CL8 Cal-Learn Notice of Report Card Submittal Schedule
- CL 9 Cal-Learn Notice of Good Cause Determination
- CL 10 Cal-Learn Notice of Exemption/Deferral
- CL 11 Cal-Learn Notice of Incomplete Grades
- CL 15 Cal-Learn Case Management Information Inter-county Transfer Form
- CL 16 Cal-Learn Case Management Inter-county Transfer Summary

2. Provide case management to support and monitor teen participation for satisfactory participation and progress, including linking teens to community resources, issuing, as appropriate, supportive services and bonuses, and implementing penalties/sanctions as appropriate.

3. Maintain and track the participant's record in CalWIN, including the high school or GED activity, progress status, supportive services, report card submittals, issuance of bonuses for satisfactory report cards and high school diploma/GED equivalent.

NOTE: See CW Eligibility HB Section 51-22 for explanation of bonuses.

4. At the successful completion of Cal-Learn, the Cal-Learn SW enters the diploma information in CalWIN in the Student Summary Window, completes Cal-Learn activities, runs exemptions, closes Cal-Learn program, and transfers case to a WTW Employment Specialist.

5. If the participant does not successfully complete Cal-Learn, at 19 and chooses not to continue or reaches 20 and has not completed his/her diploma, the Cal-Learn SW enters a Case Comment in CalWIN, ends high school/GED activity in CalWIN, runs exemptions to close the Cal-Learn program, and transfers the case to a WTW Employment Specialist.

d. Time on Aid:

1. Months of aid received by the participant or parenting teen who is 18 or 19 years old or head of household continue to count for purposes of the federal TANF 60-months time limit, unless the individual meets a federal time limit exemption. Neither the CalWORKs 48-month clock nor the WTW 24-Month clock is ticking as long as the teen is satisfactorily participating in the Cal-Learn program

2. Younger (under age 18) Cal-Learn teen parents are not subject to the CalWORKs 48-month time limit even when they are head of household. CalWORKs time limits only apply to individuals who are both age 18 and aided as adults.
3. Eighteen and 19 year-old pregnant and parenting teens who are receiving aid as children in senior parent's AU will remain exempt for the CalWORKs 48-month time clock until they turn age 20 or graduate from high school or its equivalent. All other CalWORKs time limit exemptions continue to apply. For teens under 18 who are receiving aid as children in a senior parent's AU will not have their 24-, 48- or 60-month clocks tick.

D. 170 Otis CalWORKs Duty Worker Function

1. Overview

- a. The CW Duty Worker function at 170 Otis is supervised by C200 and C650. The rotation schedule is shared by the 170 Otis CW Social Workers and the Cal-Learn Social Workers.
- b. The Duty Worker, who also acts as the ADA Duty Worker, is available to consult with other CalWORKs workers and with clients, and to intervene in emergency situations.
- c. Outstationed Social Workers from CalWORKs and WDD will share in the Duty Work. At 1800 Oakdale there are two CW Social Workers who will cover the Duty Work at 1800. The 3120 Mission office has three CW Social Workers and two WDD Social Workers who share in covering the Duty Work.

2. List of accommodations/services provided by the Duty Worker/ADA Social Worker

- Assist participants with physical or mental disabilities to fill out forms
- Provide home visits to persons with disabilities to assist with intake as needed. EW and Front Desk Clerk can do most home or hospital visits without the help of a Social Worker.
- Support applicants in the intake process for ILSP and Linkages. The designated Social Worker is the POC for FCS and for ILSP. This Social Worker will meet with the participant or arrange for an off-site intake appointment. This Social Worker will stay in contact with the PSW and ILSP regarding documents needed for the intake to be processed. This Social Worker will communicate to both the Intake Worker and FCS or ILSP the needs and status of the CW intake.
- Submit request for Food Boxes
- Make housing/shelter referrals
- Make referrals to domestic violence providers, behavioral health providers, and substance abuse providers
- Submit petty cash and transportation token requests
- The Duty Social Worker may be called by any ES or EW to assist in creating an ADA plan for a participant. Duty Social Worker will meet with the worker and participant and

guide them to an accommodation plan. The plan is to be recorded at the bottom of the OCR2. Client agreement for the accommodation plan is necessary.

- The Duty Social Worker may be called during intake or by a carrying ES/EW to help with the creation of such an accommodation plan or to amend such a plan to reflect the WTW activities participant is engaged in or plans to engage in
- Arrange verbal language interpretation by consulting the language duty schedule and Language Line to communicate with participants for the duration of the Duty SW intervention.
- Issue diapers
- Facilitate connection to CW Service Center or ES and advocate on behalf of the participant
- Assist participants in calling Service Center and/or send email to CalWORKs@sfgov.org for specific tasks
- Contact ES on behalf of participants
- Serve as mandated reporters to CPS and APS in cases of suspected neglect and abuse.
- Assist participant in requesting Medi-Cal or CalFresh review by asking for task assignment via email to CalWORKs@sfgov.org.
- Assist participants with electricity (PG&E) services
- Refer participants to Social Work Unit

E. Pre-Sanction Outreach Services

1. Pre-sanction outreach services are provided by RAMS Counseling Services for English-speaking and Spanish-speaking participants.
2. The CW SW Unit provides these services to all other participants.
3. If any participant is already engaged in an active referral with an assigned CW Social Worker, the pre-sanction referral is addressed by the CW Social Worker.
4. The pre-sanction outreach referrals is sent by the ES at start of non-compliance process to prevent sanction to be the outcome. The outreach worker will contact the ES for information needed to help the participant prevent the sanction and other important information on barriers to WTW known to the ES. Any ADA accommodation needed or known DV situation needs to be communicated by the ES to the outreach worker. If the participant agrees to comply after referral to outreach worker has been made, ES will immediately communicate this to the assigned outreach worker. No further outreach is needed.
5. The pre-sanction outreach worker will make three (3) attempts to reach the participant. Immediately upon assignment of the referral, the outreach worker will contact the participant by phone. If the participant is not reached, then an appointment letter is sent to participant to schedule a home visit. The letter states that this is a voluntary service and to reschedule the appointment if needed by calling the assigned outreach worker.
6. Outreach can be as simple as participant agreeing over the phone to attend the scheduled compliance meeting with the ES or as much as doing a home visit and assessing barriers the participant faces to engage in WTW activities. Office visits with

the outreach worker, if the participant prefers, are another venue to help participant reengage.

7. RAMS pre-sanction outreach workers do not assess for barriers, but if they learn of such barriers, they will make a social work referral for follow-up.
8. RAMS supervises the RAMS community pre-sanction outreach worker who resides at 170 Otis St.
9. The CalWORKs unit clerk will pass pre-sanction outreach referrals on to that supervisor and directly to the worker. The unit clerk will track referrals in a master list and provide the list to the RAMS supervisor and the Social Work unit supervisor.
10. Pre-sanction outreach staff will coordinate needed services with the referring ES's.
11. Pre-sanction outreach efforts and outcomes are reported back to the referring ES via Progress Reports (Form 7046).
12. Pre-sanction outreach outcomes are recorded by the Social Work Unit clerk and are shared with RAMS for the RAMS Community Outreach Worker's clients and the Social Work Unit Supervisor and with management as needed.

VI. Forms

Form#	Form Name	Purpose	Language
7045CW (ic 3008)	CalWORKs Social Work Services Referral	Form for ES or EW to request intervention from CalWORKs Social Workers.	English Only
7046CW (ic 3008)	CalWORKs Social Work Services Progress Report Form	CalWORKs Social Worker reports on service status and/or progress.	English Only
WTW 1 (ic 4807)	WTW Rights and Responsibilities		
WTW 2 (ic 4804)	WTW Plan		Chinese Russian Spanish Vietnamese
8014 (ic 3008)	Authorization to Release Information	Release of information is used in every case referral	Chinese Russian Spanish Vietnamese
Form 7029 (ic 4804)	Guidelines for Reviewing the WTW Plan		
CL 1 (ic 4804)	Cal-Learn Registration Program Information Orientation Appointment		
CL 2 (ic 4804)	Cal-Learn Program Requirements		
CL 3 (ic 4804)	Cal-Learn Notice of a Participation Problem		
CL 4 (4804)	Cal-Learn Notice to Parent/Legal Guardian	Used only when participant is a minor parent in a senior parent AU	
CL 8	Cal-Learn Notice of Report		

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(ic 4804)	Card Submittal Schedule		
CL 9 (ic 4804)	Cal-Learn Notice of Good Cause Determination		
CL 10 (IC 4804)	Cal-Learn Notice of Exemption/Deferral		
CL 11 (ic 4804)	Cal-Learn Notice of Incomplete Grades		
CL 15 (ic 4804)	Cal-Learn Case Management Information Intercounty Transfer Form		
CL 16 (ic 4804)	Cal-Learn Case Management Inter-county Transfer Summary		
OCR 1 (not indexed)	Your Disability Rights Brochure		
OCR 2CW: (ic 1300) PAES: (ic 5801)	HSA ADA Form		

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 76 - Non-Compliance

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 76-1: Compliance Protocol and Outreach to Prevent Sanction	Effective: 7/1/08

76-1: Compliance Protocol and Outreach to Prevent Sanction

I. Introduction

There are consequences for recipients/participants who do not comply with Welfare to Work program requirements. Recipients/Participants will be encouraged to acknowledge and address problems early and to resolve them with minimal disruptions to the family unit. The protocol for dealing with problems of non-compliance is designed to be sensitive to the multiple difficulties that can interfere with the smooth progression of the Employment Plan. Allowing time to re-mediate problems and partnering with recipients/participants to develop solutions, is an important aspect of preventing sanctions.

Welfare to Work is an employment program and the Employment Specialist should look at compliance problems as an employer would. Documentation of excuses is required and good cause reasons for non-compliance should be accepted so that the employment plan can continue.

A formal compliance protocol must be followed when participants have repeated problems with compliance. The Employment Specialist shall utilize the "Compliance Protocol Checklist Form 7034 CW" to begin this process. This form describes the routine steps the Employment Specialist should take in making contact with his/her CalWORKs caseload. Not all steps will be appropriate to every case. The Employment Specialist shall use his/her judgment and implement best practices as a case manager when applying the protocol to an individual case.

The Compliance Protocol Checklist shall be utilized at the start of formal notice of action procedures for non-compliance with a recipient or participant who is not cooperating.

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): 97-72, 03-59, 04-47, 06-27
2. All County Information Notices (ACIN): ACIN: 1-49-08
3. Eligibility and Assistance Standards Manual (EAS): Regulations: 42-713.1, 42-721, 42-721.23, 42-721.24

4. California Department of Social Services Manual Letters (CDSS): Manual Letter No. EAS-06-01
5. Welfare and Institutions Code (WIC): Sections: 11327.4, 11327.4(b), 11327.4(c), 11327.5
6. Cross-References to CalWORKs (CW) Handbook and/or Program Information Memos (PIMs) CW Handbook Sections: N/A CW PIM: 06-02
7. Cross-References to Other Sections of this Handbook (HB) and/or WTW PIMs: Sections: 71-4, 71-5, 72-2, 72-2.2, 72-3, 73-8, 73-16, 74-2, 75-1, 75-2, 75-3, 75-6, 75-8, 76-2, 76-3, 76-4, 77, WTW PIMs: 05-01, 05-01A, 06-02, 07-03

III. Policy

A. State Policy

1. What is Non-Compliance?

A recipient/participant may be found to be in non-compliance with welfare to work requirements whenever he/she fails or refuses to do one of the following:

- Come to a scheduled CalWORKs Welfare to Work Orientation, Appraisal or Assessment
- Attend a Welfare to Work Activity as agreed upon in the Employment Plan
- Refuse to sign a Welfare to Work Employment Plan
- Provide required proof of satisfactory progress in any assigned program activity
- Accept a job
- Keep a job
- Keep a job at the same level of earnings
- Work in an unsubsidized job or do community service for a minimum of 32/35 hours per week

B. Local Policy

1. The Compliance Protocol

When the recipient/participant is not complying with Welfare to Work, the Employment Specialist shall immediately complete the following steps:

- a. Start the non-compliance process by sending NA 840/845 20-day compliance appointment notice and attach the Request for Good Cause Determination (WTW 27). At the same time, complete a CalWORKs Social Work Services Referral (7045 CW) and forward to Unit Supervisor for approval.

The Unit Supervisor shall forward 7045 CW to the Social Work Unit Supervisor, C450 and the Social Work Unit Clerk, C45X. **Note:**The NA 845 is used to sanction a parent in a two-parent household when the other parent is already sanctioned. If 2nd parent is not

already sanctioned, send a Notice to Second Parent (WTW 4) at the same time the NA 840 is sent.

- b. Attempt to contact recipient/participant to discuss non-compliance.
- c. Consider exemption (71-4) or good cause reasons (76-2).
- d. Make referrals to specialized assessments and services as needed, including:
 - Evaluation of Learning Disabilities if indicated by Learning Needs Screening 7001A (72-2.2)
 - Targeted Vocational Assessment (72-2)
 - Mental Health/Substance Abuse (73-16, 74-2)
 - Domestic Violence (71-6)
 - Vocational Rehabilitation (75-2)
 - Client Advocate (72-2.9)
- e. Determine if there is an active case in the Family and Children's Services Division. (75-8)
- f. Discuss the case with the Unit Supervisor and consult with the Vocational Assessment Counselor as needed.
- g. Enter case comments in CalWIN regarding actions taken and follow the steps outlined in the Compliance Protocol Checklist (7034 CW).

2. The Role of the Social Work Unit in the Pre-Sanction Process

When the Eligibility and Engagement Specialist (E&E) or Welfare to Work Specialist discovers that a client has been non-compliant with an activity, a Non-Compliance Discovery Date should be entered into CalWIN. That date is the start of the 20-day pre-sanction timeline for the Social Work Unit.

Referrals made to the Social Work Unit before noon will be assigned to a Social Worker within two business days. Upon receiving the case file, the Social Worker immediately contacts the E&E or WTW Specialist via email or telephone. Dialog begins between the two and allows Social Worker to obtain additional information as needed.

The Social Worker (SW) shall contact clients no later than two business days after assignment of referral. If telephone contact is unsuccessful, the SW shall send a letter to client immediately to arrange an appointment within six business days.

Once contact is made with a client, the SW shall attempt to motivate the client to participate in his/her Employment Plan or activities leading up to the Employment Plan. After the initial

investigation into a case, the SW shall consider the availability of various resources/options for clients and discuss with referring E&E or WTW worker.

The Social Worker, within 14 days of receipt of referral, shall provide feedback to the referring worker via email with a copy to the referring worker's Unit Supervisor. Feedback shall include the following:

- SW Outreach efforts
- Response of the client
- Potential barriers that could result in good cause determination
- Any other pertinent information

It is very important that there is clear communication between the Social Workers and E&E/WTW workers at all stages of the pre-sanction process. Any information received should be communicated to all workers involved with the case.

IV. Compliance Protocol

A. CalWORKs Compliance Protocol Checklist 7034 CW

Complete the CalWORKs Compliance Protocol Checklist and file a copy in the case folder. The Checklist is a mandatory form and provides a summary of the steps taken when addressing non-compliance; however, it does not take the place of thorough case comments in CalWIN.

B. Keep Detailed Case Comments in CalWIN

Whenever the Employment Specialist and the recipient/participant are in contact, the ES should always explain the consequences of non-compliance. Remind the recipient/participant of the compliance process and consequences of financial sanctions. Always document any contact with participant whether it is over the telephone or in person.

Case Comments shall include but are not limited to the following:

- The date and type of contact (including missed appointments)
- Contact with whom: client, service provider, client advocate, etc.
- The reason for the contact
- What problem-solving occurred
- The action of the worker

C. Are there good reasons for non-compliance?

The Employment Specialist shall always inquire about the reason(s) for non-compliance. Determine if the reason is "good cause" according to the Welfare to Work regulations in Section 76-2 of this Handbook, "Good Cause Determination."

D. Interruptions and ongoing case management

During the lifetime of any one participant in welfare to work, the compliance protocol may need to be implemented many times. The Employment Specialist must be patient, consistent and supportive at each interruption.

E. Set Limits

- Explain to the recipient/participant that he/she is expected to keep the compliance appointment (either over the phone or in person) and agree to a Compliance Plan.
- Explain that sanction is not the goal.
- Remind recipient/participant of the 60-month time limit on aid and the impact on the family's benefits.

IV. Forms

Form #	Form Name	Purpose	Language
7034CW (7/08)	Welfare to Work Compliance Protocol Check List	A mandatory tool for the ES: steps to take when starting the formal NOA process for non-compliance (NA 840)	English Only
7045CW (12/04)	CalWORKs Social Work Services Referral	For ES or EW to request intervention from CalWORKs Social Workers.	English Only
7204CW (7/08)	CalWORKs Employment Rights Notice	Reviewed with job-ready or employed participants during the 20-day compliance appointment. Describes possible good cause reasons for not accepting or not continuing a job.	English Only Translations pending
NA 840 (5/08)	Non-Compliance NOA	30-day Non-compliance NOA. Notice sent to recipient/participant at first sign of non-compliance. Includes 20-day compliance appointment information.	English Only Translations pending
NA 845 (5/08)	Non-Compliance NOA (2nd parent)	30-day Non-compliance NOA for 2nd parent in a two-parent household when the other parent is already sanctioned	English Only Translations pending
NA 1242 (6/08)	Sanctions Budget (new form)	Continuation Page - Sanction Budget that is to be attached to the following NOAs: NA 840, NA 845, NA 816, and NA 817.	English Only Translations pending
WTW 4 (8/04)	Notice to Other Parent	Notifies 2nd parent that other parent is not cooperating with WTW and family's cash aid may be lowered. Send with NA 840.	Chinese Russian Spanish Vietnamese
WTW 26 (8/03)	Good Cause Determination Guidelines (pg 2 of 7034 CW)	Examples of Good Cause Reasons - tool for ES/E&E to explore possible good cause reasons.	English Only
WTW 27	Request for Good Cause Determination	Mailed to recipient/participant with	Chinese

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(10/03)		the NA 840. Recipient/Participant may use this form to request good cause. Note: Form is not required in order to request good cause.	Russian Spanish Vietnamese
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NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 76-2: Good Cause Determination	Effective: 8/1/08

76-2: Good Cause Determination

I. Introduction

A participant must be excused from participation in Welfare-to-Work activities for good cause when there is a condition or other circumstance that temporarily prevents, or significantly impairs, the participant's ability to be regularly employed or to participate in WTW activities. When good cause has been established, the good cause determination factors must be reviewed at least every three months.

All good cause determinations must be made on a case-by-case basis.

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): 03-59
2. All County Information Notices (ACIN): 1-40-01
3. Eligibility and Assistance Standards Manual (EAS) Regulations: 42-713, 42-713.1, 42-713.2, 42-721.25, 42-721.31, 42-721.311, 42-721.317, 42-721.32
4. California Department of Social Services Manual Letters (CDSS): Manual Letter No. EAS-98-03, EAS-06-01
5. Welfare and Institutions Code (WIC) Sections: 11320.31, 11327.5, 11327.9
6. Cross-References to CalWORKs (CW) Handbook and/or Program Information Memos (PIMs) CW Handbook Sections: N/A, CW PIM: N/A7.
7. Cross-References to Other Sections of this Handbook (HB) and/or WTW PIMs: Sections 76-1, 76-3, 76-4; WTW PIMs: 05-01

III. What Constitutes Good Cause

A. Good cause for not participating in WTW activities include but are not limited to the following:

- Lack of necessary supportive services;
- The participant is a victim of domestic abuse;
- licensed or license-exempt child care is not reasonably available during the participant's hours of training or employment, including commuting times, or arrangements have broken down; or

- Suitable special needs child care is not available for children with identified special needs including, but not limited to, disability or chronic illness.

B. Good cause for participants failing or refusing to comply with program requirements when their employment, activity, or other training for employment:

- Discriminates on the basis of age, sex, race, religion, national origin, or physical or mental incapacity;
- Exceeds the daily or weekly hours of work customary to the occupation;
- Requires travel to and from the employment/activity that exceeds a total of two hours, exclusive of the time necessary to transport family members to a school or place providing care;
- Violates applicable health and safety standards;
- Does not provide worker's compensation insurance;
- Interrupts an approved education or job training program progress (except work experience or community service), which would otherwise lead to employment with sufficient income to be self-supporting; **or**
- Violates the terms of the participant's union membership.

IV. Procedures

A. Documentation of Good Cause

Employment Specialists may use the Good Cause Determination Guidelines (WTW 26) to assist in determining good cause. This form is currently side 2 of the CalWORKs Compliance Protocol Checklist 7034 CW. This form is not exclusive in the determination and is to be used as a guide only. Employment Specialists must consider other good cause reasons that may not be listed on WTW 26.

Participants may return the Request for Good Cause Determination (WTW 27) to Employment Specialist but it is not required in order to request good cause. They may contact their Employment Specialist via telephone or in person to request a good cause determination. Any written or verbal verification substantiating the basis for good cause is acceptable.

If a participant returns the WTW 27 but then fails to either discuss the problem on the telephone or attend a scheduled meeting with the Employment Specialist, the Employment Specialist should attempt to contact the participant. If the Employment Specialist's attempt to contact the participant fails, the Employment Specialist must make a good cause determination based on available information. If the information provided is not sufficient enough to determine good cause, the Employment Specialist does not need to attempt to re-contact the participant to ask for additional information.

In this instance, the Employment Specialist shall determine that there is no good cause.

B. Periodic Review of Good Cause

Once good cause has been established, Employment Specialists must review the continuing validity of the good cause determination at least every three months.

Employment Specialists should also review good cause conditions that are anticipated to last more than 30 days to determine if a WTW exemption applies.

C. Notification of Good Cause/No Good Cause (NA 840A)

Participants who request good cause within the 20-day compliance period, must be notified in writing of the determination of good cause or no good cause.

After a determination has been made, Employment Specialists must complete the NA 840A "Determination of Good Cause/No Good Cause" and issue the notice as soon as possible after the determination.

Participants have the right to appeal a finding of no good cause. If an appeal is made, the good cause/compliance/sanction process is suspended pending the hearing decision.

D. CalWIN Entries

All contact related to determining good cause should be documented in CalWIN Case Comments.

Once a participant has been determined to have good cause, CalWIN must be updated to reflect the good cause determination.

For step-by-step instructions on how to enter good cause determination in CalWIN, please refer to the CalWIN How-To-Guide #083.CW.1 - How to Initiate Non-Compliance - Good Cause.

V. What's Next After Good Cause is Determined

The Participant who is determined to have good cause must be referred:

- Back to the pre-WTW plan assignment in which he/she did not participate; or
- Back to the activity in his/her WTW 2, Welfare to Work Plan – Activity Assignment.

In any case, the assignment must be communicated in writing. For participants who require changes to their assignments or supportive services, the WTW 2 must be modified to note these changes.

IV. Forms

Welfare to Work Handbook

Form #	Form Name	Purpose	Language
WTW 26 (8/03)	Good Cause Determination Guidelines (pg 2 of 7034 CW)	Examples of Good Cause Reasons – tool for ES to explore possible good cause reasons.	English Only
WTW 27 (10/03)	Request for Good Cause Determination	Mailed to participant with the NA 840. Participant may use this form to request good cause. Note: Form is not required in order to request good cause.	Chinese Russian Spanish Vietnamese
7034 CW (7/08)	Welfare to Work Compliance Protocol Check List	A mandatory tool for the ES: steps to take when starting the formal NOA process for non-compliance (NA 840).	English Only
NA 840A (10/03)	Determination of Good Cause/No Good Cause	Required NOA used to inform participants who have claimed good cause within 20-day good cause/compliance period. The NOA must be completed and issued as soon as possible after a determination of good cause or no good cause has been made.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 76-3: Cause Determination and Compliance	Effective: 9/1/08

76-3: Cause Determination and Compliance

I. Introduction

When a participant fails or refuses to participate in Welfare to Work activities, there is only one penalty in the Welfare to Work program: Sanction. This gives the participant a choice between cooperation and discontinuance of aid. However, aid to the children continues. The compliance process, with sanction the ultimate penalty, is a necessary part of the program. It removes those participants who do not participate while giving them an opportunity to cooperate if they choose to do so.

Even after the Compliance Process has begun and the Notice of Action has been sent, efforts to make contact and engage the recipient/participant is to be initiated by the Employment Specialist. Whenever the Recipient/Participant is ready to participate, the Employment Specialist shall welcome the interest and proceed to develop an Employment Plan, Compliance Plan and/or a Curing Sanction Plan.

This section reviews the process that leads to a sanction, including the points at which the course of action may be changed by the participant who is not cooperating.

II. References

A. References from the Law and Regulations

1. All County Letters (ACL): 03-59, 04-47, 06-27, 07-04
2. All County Information Notices (ACIN): 1-40-01, 1-49-08
3. Eligibility and Assistance Standards Manual (EAS) Regulations: 42-712, 42-713, 42-720, 42-721, 42-721.23,.24, .43
4. California Department of Social Services Manual Letters (CDSS): EAS-06-01, 01-03, 03-08
5. Welfare and Institutions Code (WIC) Sections: 11320.3, 11325.8, 11327.4, 11327.5, 11477.04
6. Cross-References to CalWORKs (CW) Handbook and/or Program Information Memos (PIMs) CW Handbook Sections: N/A CW PIMs: N/A
7. Cross-References to Other Sections of this Handbook (HB) and/or WTW PIMs: Sections: 71-3, 71-4, 72-3, 76-1, 76-2, 76-4; WTW PIMs: 05-01

III. Policy

A. State Policy

1. Failure to comply

- A. A participant who is required to participate in program activities as a condition of receipt of aid shall be subject to sanctions whenever he or she fails or refuses without good cause to comply with program requirements; and he or she subsequently fails or refuses without good cause to:
- Agree to a compliance plan; or
 - Comply with a compliance plan agreed to by the county and the participant.
- B. Upon determination that a participant has failed or refused to comply with program requirements, the Employment Specialist shall send the participant a notice of action effective no earlier than 30 calendar days from the date of issuance.

Note: For further information on non-compliance definitions, please refer to Section 76-1 - Compliance Protocol and Outreach to Prevent Sanction, A.1.

B. Local Policy

- The Employment Specialist shall act promptly to initiate non-compliance procedures when a participant has failed or refused to cooperate with a Welfare to Work activity. He/She must keep careful controls to ensure that each timely notice deadline is met.
- CalWORKs staff shall assist participants in choosing attainable job goals so that each participant has a goal he or she feels is worth the effort to reach.
- The Employment Specialist shall carefully enter each activity in the compliance process in CalWIN so that correct statistics can be gathered to report to the State.
- The Employment Specialist shall also carefully record each activity with and on behalf of the participant in the compliance process in CalWIN Case Comments.

IV. Cause Determination Process

A. The Cause Determination Interview

The Employment Specialist shall schedule a cause determination appointment within 20 calendar days of the notice of action during which each participant who has failed or refused to comply with program requirements has an opportunity to demonstrate that he or she has good cause for the refusal or failure.

(Some possible good cause reasons can be found in Handbook Section 76-2 - Good Cause Determination)

1. Telephone Interview

This interview may be conducted by telephone at the Employment Specialist's discretion, providing it is appropriate and the participant agrees.

2. Rescheduling the interview

The participant shall be allowed to reschedule the cause determination interview appointment once within the 20-day compliance period.

3. In case of a no-show/no call

If the participant does not attend the scheduled interview and does not contact the Employment Specialist within the 20-day compliance period, the Employment Specialist shall attempt to make contact with the participant by phone.

4. Making a determination without participant contact

If the Employment Specialist is unable to contact the participant by phone, a cause determination shall be made based on information already available to the Employment Specialist.

The Employment Specialist may use information:

- From the case record
- From any source he/she deems valid
- From Family and Children's Services: Is there an open FCS case? If there is an active FCS case, contact the FCS Employment Specialist following the CalWORKs protocol. (See Handbook Section 75-3 - Confidentiality)

If no good cause is determined, the Employment Specialist shall impose a sanction.

5. The participant comes to the Cause Determination interview

During the cause determination interview, whether in the office, or on the phone, any issue that directly affects the participant's failure or refusal to cooperate with program requirements may be discussed, including additional good cause information provided by the participant. The participant may or may not provide the Employment Specialist with the form, Request for Good Cause Determination, WTW 27.

The information discussed during the cause determination interview may lead to Exemption. The Employment Specialist must also take into consideration whether the participant has a mental disability that caused or substantially contributed to the failure or

refusal to comply with program requirements. This determination must be made in consultation with Richmond Area Multi-Services (RAMS).

The Employment Specialist must review the participant's situation that caused the non-compliance and decide whether or not the participant had good cause. Remember that the goal is for the participant to become active in the program.

B. Good Cause for Non-Compliance is Determined

The Employment Specialist shall rescind the sanction if the participant had good cause for refusing or failing to comply with program requirements. In addition to rescinding the sanction, the Employment Specialist must send a notice of action, NA 840A - Determination of Good Cause/No Good Cause to the participant. This NOA notifies the participant that his/her grant will not be lowered because he/she had good cause for not complying with Welfare to Work requirements. It also informs participant that he/she must still participate in Welfare to Work unless otherwise informed. An instance of non-compliance shall not be considered to have occurred.

1. Good Cause reasons for not participating

If the participant cannot participate due to lack of childcare, domestic violence or another good cause reason provided by regulation, the Employment Specialist shall proceed accordingly to develop an Employment Plan to address those barriers or to temporarily waive participation for good cause reasons.

2. Ready to participate

If the participant had a good reason for not participating but is now able to participate in Welfare to Work, an Employment Plan (WTW 2 and 2A) shall be developed.

Note: In # 1 and 2 above, good cause is recorded in CalWIN and the compliance record is complete.

C. No Good Cause is Determined

When the determination has been made by the Employment Specialist that there was "no good cause" for the failure to comply, CalWIN is updated to reflect this decision. No good cause may be determined when:

- The participant does not respond to the non-compliance NOA and there is no contact;
or
- The participant comes to the compliance interview.

If the participant agrees to a compliance plan to correct the non-compliance, the Employment Specialist shall proceed to develop a compliance plan with the participant.

V. Compliance Plan Process

If no good cause exists, but the Employment Specialist and the participant are in contact, the Employment Specialist shall develop the CalWORKs Welfare to Work Compliance Plan (WTW 32) to correct the non-compliance. The Compliance Plan can only be signed during the 20-day compliance period.

The Welfare to Work Compliance Plan (WTW 32) form includes all of the information found on the Activity Agreement (WTW 2) and makes compliance parameters clear.

The Employment Specialist must explain to the participant his/her right to file a grievance or ask for a state hearing, if a determination of "no good cause" is made. A referral to a Client Advocate may be made if there is a disagreement.

An example of the Welfare to Work Compliance Plan (WTW 32) is found below.

A. The Compliance Plan Interview

The Compliance Plan interview should be an exchange of information between the Employment Specialist and the participant. The Employment Specialist should stress the importance of cooperation and continue to explore problems the participant may be having that stand in his/her way of cooperating. During the interview, the options for participation in Welfare to Work activities shall be explained and discussed.

B. Participation Requirements for Compliance

The participant must agree to satisfactorily perform the failed activity, or another agreed upon appropriate activity, for up to 60 calendar days from date activity begins, or for length of activity, whichever is shorter. Record this agreement in the Welfare to Work Compliance Plan (WTW 32).

EXAMPLE: "Compliance Plan" Activity Length: A CNA training class is expected to last 4 months. Since the training is expected to continue beyond 60 days, the participant is required to satisfactorily complete 60 days. The compliance ends after 60 days of participation.

C. Face-to-Face Interview

A face-to-face interview is preferred when signing a compliance plan as it facilitates discussion and improves communication between participant and Employment Specialist. However, the Compliance Plan (WTW 32) may be agreed upon via telephone and mailed to the participant for signature. In this situation, the Employment Specialist must inform the participant of his/her

compliance requirements and mail two copies of the plan to the participant (one to sign and return, and one to keep for his/her records), along with a self-addressed stamped envelope.

If the participant fails to sign and return the compliance plan, postmarked no later than the return date indicated on the compliance plan (the return date must be at least 10 calendar days from the date the Employment Specialist mails the compliance plan), or the participant fails to participate as instructed over the phone and/or as noted in the plan, the compliance process has failed and the participant shall be sanctioned.

D. Compliance Plan Fails

When a participant fails to complete the agreed upon activity(ies) as specified in the Welfare to Work Compliance Plan and the Employment Specialist determines, based on available information, that the participant did not have good cause for failure to meet the terms of the plan, the Employment Specialist shall send a notice of action to impose a sanction.

The NA 817, Sanction of Participant after Failed Compliance Plan and the NA 1242, Sanction Budget, must be mailed to participant, allowing 10-day notice. Failure to provide a 10-day notice invalidates the sanction.

E. Compliance Plan Completed

If the participant enters into a compliance plan and subsequently fulfills the terms of the plan, a sanction shall not be imposed and the event shall not count as an instance of non-compliance. CalWIN must be updated to reflect this information. A new Activity Agreement (WTW 2) may be needed once compliance plan is completed successfully and aid has been restored.

F. No Agreement: Third Party Assessment

If the compliance plan includes the signing of an Employment Plan, but the Employment Specialist and the participant, with the assistance of the Vocational Assessment Counselor, cannot agree upon the plan, a third party assessment referral shall be made. The participant shall complete form WTW 10, Request for Welfare to Work Third Party Assessment. See WTW Handbook Section 72-3. Arrange an appointment with a Client Advocate before proceeding to a third party assessment; perhaps the plan can be mediated.

The results of the Third Party Assessment are binding. The participant shall not file a grievance to appeal the results of this assessment. He/She may request a state hearing. This could be a lengthy process, but the participant remains in non-compliance status until a plan is signed.

G. Non-Compliance after the Compliance Plan is Signed

If the participant fails or refuses to fulfill the terms of the agreed upon Compliance Plan (WTW 32), the Employment Specialist must make a reasonable effort to contact the participant to determine if he/she had good cause for failure to comply with the terms of the plan. Reasonable efforts may be sending a notice or contacting the participant by phone. The participant shall be given a chance to demonstrate that he/she had good cause for failure to comply.

1. When unable to contact the participant

If the Employment Specialist is unable to contact the participant, he/she shall make a cause determination based on available information.

2. When Good Cause exists

If good cause exists, the Employment Specialist shall assist the participant to begin or resume participation in the activity agreed to in the Compliance Plan. CalWIN must be updated to reflect this process.

3. When No Good Cause exists

If no good cause exists and the participant does NOT complete the activity agreed to in the Compliance Plan, the Employment Specialist shall proceed with sanction. The Employment Specialist shall send 10-day Notice of Action, NA 817, Sanction of a Participant after failed Compliance Plan.

VI. Second Parent Notice

During the Compliance Process with a mandatory participant, the Employment Specialist must inform the second parent in writing, Notice to Other Parent (WTW 4), of his/her right to participate in order to avoid being included in the financial sanction. Send the WTW 4 at the same time as the NA 840 (Sanction of a mandatory participant) is sent to the first parent. In the event that the other parent is already sanctioned, do not send the WTW 4.

A. When second parent is already participating

The second parent may already be participating in Welfare to Work; the WTW 4 notice must be sent anyway.

B. When second parent does not participate

Once the first parent has failed to provide good cause or to complete a Compliance Plan and the sanction has gone into effect, the second parent is mandatory and is not participating; he/she is subject to the same financial sanction imposed on the first parent. Start the second

parent's compliance process by sending a Notice of Action, NA 845, Sanction and Removal of 2nd Parent.

C. The second parent and exemptions

The exemption for being the caretaker of someone in the home or of a child under age 6 months does NOT apply to the second parent when the mandatory Welfare to Work parent is being sanctioned. The second parent shall be sanctioned unless he/she agrees to participate in Welfare to Work.

D. When one parent participates 35 hours per week

If one parent is participating 35 hours per week, the second parent does not have to participate, even if both are mandatory.

VII. Exempt Volunteer and WTW

An exempt participant in an eligibility caseload, may request to participate in Welfare to Work as an Exempt Volunteer at any time. If the exempt participant requests to participate in Welfare to Work, his/her WTW program in CalWIN must be assigned to a Welfare to Work Employment Specialist.

The Employment Specialist shall determine whether or not the participant has attended CalWORKs Orientation within the last 12 months. If the participant has not attended Orientation within the last 12 months, he/she shall be scheduled to attend.

If the exempt volunteer does not attend the Orientation, the Employment Specialist shall reschedule once and if the participant does not attend, the ES shall take no further action. The exempt participant may change his/her mind about participating in Welfare to Work at any time. If the participant's exemption is less than six months, the Employment Specialist shall retain the case. Once the exemption expires, the ES shall attempt to engage the participant in Welfare to Work. If the exemption is more than six months, the ES shall transfer the case to the Exempt Unit. The ES should begin counting the six months as of the day that the participant stops volunteering.

A. The Exempt Participant and Compliance

1. Employment Plan

An exempt participant who volunteers to participate in Welfare to Work shall not be held out of compliance for failing or refusing to participate and shall not be subjected to cause determinations prior to entering into a Welfare to Work Employment Plan.

2. Non-Compliance Process

After the Welfare to Work Employment Plan is signed, an exempt volunteer participant who fails to participate is subject to cause determination and the compliance process but not to the same sanctions applied to mandatory participants. The NOA, NA 841, Suspension of Volunteer shall be sent to the volunteer.

This notice follows the compliance appointment timeframe and process. If the volunteer wishes to participate, a CalWORKs Welfare to Work Compliance Plan (WTW 32) is required. If the volunteer fails or refuses to fulfill the terms of the compliance plan, the participant is removed from Welfare to Work. Send the NOA, NA 818, Compliance Plan Failure of a Volunteer Participant. This notice tells the volunteer participant that he/she is being taken out of Welfare to Work for not following the Compliance Plan.

3. The Sanction of the Volunteer

The penalty to voluntary participants in place of cash aid sanctions is that the exempt participant shall not be given priority over the participants actively seeking to participate.

VIII. Process: Non-Compliance Notices

Ultimately, the consequence for a participant who fails to comply with Welfare to Work program requirements is a financial "sanction." In a sanction, the participant is deleted from the Assistance Unit, resulting in a decrease in the family's cash aid. If the family is also receiving Food Stamps, the participant may also be sanctioned from Food Stamps if he/she does not meet the Food Stamp Work Requirements. (See FS regulations 63-407)

There is no immediate impact on the participant's Medi-Cal eligibility. Before any sanction can be applied for a failure to cooperate with Welfare to Work, the Employment Specialist shall have sent all required notices and completed all the steps in the cause determination and compliance process as appropriate to the participant's case.

Please see [Non-Compliance, Cause Determination and Compliance Sanction Flow Chart](#)

A. Introduction to the Notices of Action:

The formal compliance process begins with the sending of the CalWORKs 30-Day Noncompliance Notice of Action (NA 840/845) or Noncompliance Notice for Volunteer (NA 841). Both notices must be sent with the NA 1242, Sanction Budget.

Note that NA 840 is for a mandatory participant or the first parent in a two parent family. The NA 845 is for a second parent when 1st parent is already sanctioned. Also note that, in a two-parent family, a Form WTW 4 Notice to Other Parent is sent at the same time as the NA 840 (See Section VI, Second Parent Notice).

The above NOAs are generated through CalWIN. NOAs for languages other than English are in hard copy on form shelves and on the HSA Intranet.

B. Notice of Action Table

Notice of Action Name	NOA #
30-Day Non-Compliance	840
Compliance Plan Failure - 10 Day	817
Good Cause - Rescission of Non-Compliance	840A
30 Day Non-Compliance- 2nd Parent	845
Compliance Plan Failure - 2nd Parent - 10 Day	816
Sanction Budget (mailed with NA 840, 845, 817, 816)	1242
Non-Compliance Notice (Suspension) of VOLUNTEER	841
Compliance Plan Failure (Suspension) of VOLUNTEER	818

C. The Initial Noncompliance Notices of Action

The first Notice of Action initiating the compliance process will be sent to the participant no later than two (2) working days after the Employment Specialist discovers that the participant is non-compliant.

The Employment Specialist must send the first Notice of Action at least 30 days prior to the date of the action. The notice states that the participant will be subject to sanction if the participant, within 20 calendar days, fails to either attend an in-person appointment with the Employment Specialist or contact the Employment Specialist by phone, and either does not have good cause or fails to agree to a compliance plan.

If participant is not exempt from Food Stamp (FS) Work Registration (see FS regulations 63-407), a food stamp sanction must be applied in addition to the Welfare to Work sanction.

IX. Forms

Form #	Form Name	Purpose	Language
WTW2 (12/12)	Employment Plan - Activity Assignment	This CDSS-required form specifies up to four welfare to work activities that the participant is committing to engage in. It also specifies activities as core or non-core.	Chinese Russian Spanish Vietnamese
WTW4 (8/04)	Notice to Other Parent	A noncompliance form – sent to the second parent when the Notice of Noncompliance (NA 840) is sent to the parent who has not been cooperating with WTW (i.e., the "first parent")	Chinese Russian Spanish Vietnamese
WTW10 (7/99)	Request for Welfare to Work Third Party Assessment	When the participant does not agree to an employment plan, this form is used to formally request a party not on staff	Chinese Russian Spanish

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		at DHS to complete an assessment and make a recommendation.	Vietnamese
WTW27 (10/03)	Request for Good Cause Determination	Mailed to recipient/participant with the NA 840/845. Recipient/Participant may use this form to request good cause. Note: Form is not required in order to request good cause.	Chinese Russian Spanish Vietnamese
WTW32 (10/03)	Welfare to Work Compliance Plan	The ES and participant agree to and sign the plan to bring the non-cooperating participant back into active status in WTW.	Chinese Russian Spanish Vietnamese
7034CW (7/08)	CalWORKs Compliance Protocol Checklist (2 pages)	A mandatory tool for the ES: Steps to take when starting the formal NOA process for non-compliance (NA 840)	English Only
7045CW (12/04)	CalWORKs Social Work Services Referral	Form for ES or EW to request intervention from CalWORKs Social Workers. Required form when starting non-compliance process.	English Only
NA 816 (5/08)	Compliance Plan Failure – 2nd Parent - 10 Day NOA	Sanction of Other Parent after failed compliance plan. This NOA must be sent with NA 1242 (Sanction Budget).	Chinese Russian Spanish Vietnamese
NA 817 (5/08)	Compliance Plan Failure – 10 Day NOA	Sanction of Participant after failed compliance plan. This NOA must be sent with NA 1242 (Sanction Budget).	Chinese Russian Spanish Vietnamese
NA 818 (10/06)	Suspend Volunteer from WTW after failed Compliance Plan – 10 Day NOA	Removes volunteer participant from WTW due to failing to complete compliance plan. No financial sanction.	Chinese Russian Spanish Vietnamese
NA 840 (5/08)	Non-compliance NOA 30-day Non-compliance NOA.	Notice sent to participant at first sign of non-compliance. Includes 20-day compliance appointment information. This NOA must be sent with NA 1242 (Sanction Budget).	Chinese Russian Spanish Vietnamese
NA840A (10/03)	Determination of Good Cause/No Good Cause	Required NOA used to inform participants who have claimed good cause within 20-day good cause/compliance period. The NOA must be completed and issued as soon as possible after a determination of good cause or no good cause has been made.	Chinese Russian Spanish Vietnamese
NA841 (10/06)	Non-compliance NOA (Suspension of Volunteer)	Compliance NOA, first notice for volunteer – No cash sanction – suspend WTW participation.	Chinese Russian Spanish Vietnamese
NA845 (5/08)	Non-compliance NOA (2nd parent) 30-day	Non-compliance NOA for 2nd parent in a two-parent household when other parent is already sanctioned. This NOA must be sent with NA 1242 (Sanction	Chinese Russian Spanish Vietnamese

		Budget).	
NA1242 (6/08)	New Form Sanctions Budget Continuation Page	Sanction Budget that is to be attached to the following NOAs: NA 840, NA 845, NA 816 and NA 817.	Chinese Russian Spanish Vietnamese
CDS657	Food Stamp Disqualification	To change Food Stamps due to CalWORKs Sanction	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

X. CalWIN Entries

For step-by-step instructions on how to initiate the non-compliance process in CalWIN, please refer to the training materials for the CalWIN Change Request 4398 - Non-compliance Manager.

Copies of the training materials are posted on the HSA Intranet. In addition, CalWIN On-Line User Manual (OLUM) will be updated in a future CalWIN Release to reflect this new process of initiating non-compliance through the Non-Compliance Manager.

Important Note: Staff must initiate non-compliance through the new Non-Compliance Manager in CalWIN. Staff must not enter any sanctions directly through CalWIN Data Collection.

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 76-4: Sanction	Effective: 3/13/13

76-4: Sanction

I. Introduction

Financial sanctions shall be applied when a non-exempt welfare to work participant fails or refuses to comply with program requirements without good cause and compliance efforts have failed. Special rules apply to two parent families. No financial sanction may be applied to a volunteer registrant/participant.

Time limits on receipt of aid are a serious implication to the well being of families. They must be taken seriously by both participants of aid and staff administering aid. For this reason, it is essential that sanctions be applied promptly, appropriately, and according to regulations. A participant can cure his/her sanction at any time. When a participant is ready to cooperate with the welfare to work program, the Employment Specialist shall assist him/her to participate and must take the required steps to restore aid.

II. References

A. References from the Law and Regulations

1. Senate Bill 1041
2. All County Letters (ACL): 03-59, 04-47, 06-27, 07-04, 12-53, 12-53-E, 12-67, 12-69, 12-72, 13-01
3. All County Information Notices (ACIN): 1-40-01, 1-49-08
4. Eligibility and Assistance Standards Manual Regulations (EAS): 42-712, 42-713, 42-720, 42-721, 42-721.23, .24, .43, .441
5. California Department of Social Services Manual Letters (CDSS) Manual Letter No. EAS-06-01, 01-03, 03-08
6. Welfare and Institutions Code (WIC) Sections: 11320.3, 11325.8, 11327.4, 11327.5, 11477.04, 11486
7. Program Information Memos (PIMs): CW 06-02, WTW 05-01, 13-15
8. WTW Handbook (HB) Sections: 71-3, 71-4, 72-2.8, 72-3, 76-1, 76-2, 76-4

III. Policy

A. State Policy

The policy described below comes from the State Regulations, Section 42-721. For related policies regarding Compliance, see Welfare to Work Handbook Section 76-3.

1. When Sanctions are applied

a) Financial sanctions shall be applied when a non-exempt welfare-to-work participant has failed or refused to comply with program requirements without good cause and compliance efforts have failed.

b) An instance of noncompliance shall not be considered to have occurred if either of the following occurs:

1. The CWD determines that the participant had good cause for failing or refusing to comply.
2. The participant did not have good cause for failing or refusing to comply, but agrees to a compliance plan and subsequently fulfills the terms of the compliance plan.

c) Any month in which a participant is under sanction and removed from the assistance unit shall not be counted as a month of receipt of aid in determining the 48-month time limit.

d) The sanctions shall not apply to a participant who is exempt from the welfare-to-work requirements and is voluntarily participating in the Welfare-to-Work Program. If an exempt volunteer engages in conduct that requires the sanction procedures described below, the participant shall not be given priority over other participants actively seeking to participate.

e) A financial sanction shall result in a reduction of the family's grant by removing the non-complying family member from the assistance unit until he/she either complies with welfare-to-work requirements or becomes an exempt participant.

f) The discontinuance from aid shall become effective on the first day of the month that the sanctioned participant's needs are removed from aid following the CWD's timely and adequate notification unless the participant appeals the sanction as specified in (3) below.

1. If the participant appeals the sanction through the state hearing process within the period of timely notification, no sanction shall be imposed until the hearing decision is reached.
2. If the CWD's action is sustained, the discontinuance shall be effective at the end of the payment month in which the state hearing decision is received.
3. If the CWD is unable to discontinue aid at the end of such month, aid shall be discontinued at the end of the following payment month.

g) In a two-parent family whose basis for deprivation is unemployment, the sanctioned parent shall be removed from the assistance unit.

1. If the sanctioned parent's spouse or the family's second parent is not participating in the program, except as provided in (3) below, both the sanctioned parent and the spouse or second parent shall be removed from the assistance unit.

2. The CWD shall notify the spouse of the non-complying participant or second parent in writing at the commencement of the compliance procedures of his or her own opportunity to participate and the impact on sanctions of that participation.
3. If a spouse or second parent is participating to avoid the sanction of the non-complying parent, the exemption criteria for care of an ill or incapacitated member of the household and the care of a child under six months of age (or age determined by the CWD) do not apply. Any other exemption or good cause criteria and compliance procedures, shall apply to the sanctioned parent's spouse or the family's second parent.
4. A spouse or second parent who chooses to participate to avoid the non-complying parent's sanction, and subsequently ceases participation without good cause and fails or refuses to agree to or fulfill the terms of a compliance plan without good cause, shall be sanctioned.
5. If the sanctioned parent's spouse or the second parent is under his or her own sanction at the time of the first parent's sanction, the spouse or second parent shall not be provided the opportunity to avoid the first parent's sanction until the spouse or second parent's sanction is completed.

h) For families that qualify due to the absence or incapacity of a parent, only the non-complying parent shall be removed from the assistance unit, and aid shall be continued to the remainder of the family.

i) If the non-complying participant is the only dependent child or one of several dependent children in the family, his or her needs shall not be taken into account in determining the family's need for assistance and the amount of the assistance payment.

2. Restoration of aid

a) The participant may cure his/her sanction at any time. He/She may contact the Employment Specialist and request to cure the sanction. Once the participant completes a Curing Plan, and subsequently fulfills the terms of the Curing Plan, aid shall be restored.

b) The sanction may be lifted and aid rescinded or restored as a result of the outcome of a state hearing or the formal grievance procedure.

3. Formal Grievance Procedures

a) The sole issue for resolution through a formal grievance shall be whether a program requirement or assignment is in violation of the welfare-to-work plan or inconsistent with the program.

b) The participant shall not be permitted to use the formal grievance to appeal the outcome of a state hearing, the requirement to sign a welfare-to-work plan, or the results of a third-party assessment.

c) The formal grievance shall not be available to a non-complying participant who has already failed to successfully conciliate.

d) The participant shall be subject to sanction pending the outcome of the formal grievance or any subsequent appeal only if he/she fails to participate during the period the grievance procedure is being processed.

B. Local Policy

The Employment Specialist must keep careful controls to ensure that timely notices are sent to the participant.

The Employment Specialist shall assist the participant to cooperate with welfare to work whenever the participant is ready to do so.

The Employment Specialist shall carefully record each activity in the compliance and sanction process in CalWIN so that correct statistics can be gathered to report to the State.

The Employment Specialist shall carefully record each activity with and on behalf of the Participant in the compliance and sanction process in CalWIN Case Comments.

IV. Process

A. When to Apply Sanctions

Sanctions are applied only when the mandatory participant has failed to cooperate without good cause and compliance has been unsuccessful.

Sanctions are applied to the Cash Aid as follows:

1. If the participant is the caretaker relative

If the participant sanctioned is the caretaker relative, only the participant is discontinued from the assistance unit (AU), and aid is continued to the remainder of the AU.

2. If the participant is one of several eligible children in the AU

If the participant is one of several eligible children, only the participant is discontinued from the AU, and aid is continued to the remainder of the AU;

3. If the participant is the only eligible child in the AU

If the participant is the only eligible child in the AU, only the participant is discontinued from the AU, and aid to the parent(s) and any Essential Person(s) in the AU is continued;

4. TANF cases where the mandatory CalWORKs parent is sanctioned

In TANF cases where the mandatory CalWORKs parent is sanctioned, the sanction shall also apply to the second parent unless that person agrees to participate in welfare to work. Aid shall continue to the remainder of the AU.

The sanction shall not apply to the second parent who is already participating in welfare to work or is exempt for any other reason.

B. The Second Parent in a Household

During compliance, the Employment Specialist must inform the second parent in writing, Notice to Other Parent (WTW 4), of his/her right to participate in welfare to work to avoid being included in a financial sanction. See Handbook Section 76-3 for more information on the participation of the second parent.

Once the first parent fails to comply and the sanction is imposed on the household, if the second parent does not choose to participate, he/she shall be subject to the same financial sanction as the first parent. The second parent can choose to participate at any time to end his/her inclusion in the sanction.

1. When the first parent is in sanction

Start the notice process in the following circumstances:

a) No response to Notice to Other Parent (WTW 4)

If the second parent fails to respond to the WTW 4 (after NA 840 sent to first parent) and does not provide good cause or agree to a compliance plan, he/she shall be sanctioned and his/her needs shall be removed from the cash grant.

b) Second parent STOPS participating

If the second parent who is participating subsequently fails to comply with welfare to work requirements without good cause and is not an exempt volunteer, he/she shall be sanctioned and his/her needs shall be removed from the cash grant.

c) Second parent no longer exempt, but NOT participating

If the second parent who is determined to no longer be exempt from welfare to work participation fails to participate while the first parent is under a financial sanction, he/she shall be sanctioned and his/her needs shall be removed from the cash grant.

C. What is an "Instance of Non-compliance"?

An "Instance of Non-compliance" is when a non-exempt welfare to work participant has failed or refused to comply with program requirements without good cause and compliance efforts have failed.

1. No contact by 20-day compliance period

If there has been no contact by the end of the 20-day compliance period, compliance has failed. If the participant contacts the Employment Specialist at any time after the 20 days, a cause determination must be made on two counts:

- a. Cause for the initial non-compliance
- b. Cause for missing the 20-day period

If there is good cause for both a) and b), this is NOT an "Instance of Non-compliance." The Employment Specialist shall enter good cause in CalWIN and take action to rescind the sanction or restore aid. If there is no good cause for the initial non-compliance this is an "Instance of Non-compliance."

2. When Compliance Plan fails

If a Compliance Plan is made and the participant fails to complete the plan, compliance has failed. This is an "Instance of Non-compliance".

3. What happens when no good cause is determined after the 20-day period?

After the 20 days, it is too late to enter into a Compliance Plan - this is an "Instance of Sanction" and the participant needs to "cure" the sanction. The curing process is described later in this handbook section.

D. The Length of the Sanction Period

An instance of non-compliance without good cause shall result in a financial sanction until the non-complying participant performs the activity(ies) he or she previously refused to perform. Since durational sanctions no longer exist, a participant can cure his/her sanction at any time.

E. Exempt Participants and Sanction

The exempt participant who volunteers for welfare to work but fails to attend the Orientation and Appraisal workshop shall not be subjected to the compliance process.

Only the Exempt Participant who signs a Welfare to Work Employment Plan and subsequently fails to participate is subjected to the compliance process and can be removed from welfare to work participation. The exempt participant is not subjected to a financial sanction. (See WTW Handbook Section 76-3)

1. The Exempt Participant removed from Welfare to Work

When the volunteer asks to participate in welfare to work again, the Employment Specialist shall consult with the Unit Supervisor. Together they shall review the Employment Specialist's and the unit's caseload in order to determine if the demand from mandatory participants to participate is being met satisfactorily at this time. If so, the exempt volunteer can again participate in welfare to work. If not, participation will be delayed until such time as unit priorities allow. Mandatory participants have priority over exempt volunteer participants.

Consultation with the Section Manager is advised when participation is denied.

F. The financial Sanction begins the first of the month for which timely notice can be given

1. The 10-day notice reduces aid for non-compliance, excluding exempt volunteer participants, as they are not subject to financial sanctions.

- a. If the participant does not contact the Employment Specialist within the 20-day compliance period, the 30-day notice of action, NA 840(845), serves as adequate 10-day notice and the effective date of the financial sanction shall be the 1st of the month following the 20-day compliance period.
- b. If the participant contacts the Employment Specialist within the 20-day compliance period and agrees to a Compliance Plan but later fails to fulfill requirements of the plan, the NA 817(816) shall be sent with adequate 10-day notice.
- c. If the exempt volunteer fails to contact the Employment Specialist within the 20-day compliance period, the 30-day notice of action, NA 841, serves as adequate 10-day notice to suspend welfare to work participation of the volunteer.
- d. If the exempt volunteer contacts the Employment Specialist within the 20-day compliance period and agrees to a Compliance Plan but later fails to fulfill requirements of the plan, the NA 818 shall be sent with adequate 10-day notice.
- e. For any termination of supportive services, a separate notice of action must be sent to the participant. (See WTW PIM 08-06).

G. Grievance or State Hearing

1. Grievance influences application of sanction

If the participant grieves or appeals the action in a timely manner, the sanction may not be imposed until a hearing decision sustaining the county's action is issued.

- a. The grievance shall not be available to a non-complying participant who has agreed to a Compliance Plan and then fails to complete the plan without good cause. This participant may only file a request for a state hearing.

2. When grievance is resolved in favor of the county

If the grievance or hearing upholds the county's action, the sanction begins the first of the month after the hearing decision is received. If it is not procedurally possible (i.e., the decision is received too late in the month to stop the check on the first of the month) to begin the sanction that month, it shall begin the following month.

Cash aid that is paid during the hearing process is not considered an overpayment.

3. When grievance is resolved in favor of the participant

If the grievance or hearing decision grants the participant's claim, the sanction action is rescinded as soon as administratively possible. Upon receipt of the hearing decision, the Employment Specialist shall contact the participant to return him/her to full participation in a Welfare to Work activity.

In addition, the county must reimburse the participant for any necessary transportation and/or work or training-related expenses that he or she paid out of pocket, or was obliged to pay, during the time the hearing decision was pending.

H. Documentation Required

Workers shall carefully document all contacts with participants during the curing process. It is very important that documentation be entered into CalWIN Case Comments on a continuous basis during this process.

I. Request to Cure/Stop Sanction

After the 20-day compliance period has passed, whether or not the grant has actually been reduced, the participant must sign a "Cure Plan" in order to stop a sanction. The Plan to Stop a Welfare to Work Sanction (WTW 29) is referred to as the "Cure Plan."

To stop a sanction, the participant must:

- Contact the worker to inform that he/she would like to cure the sanction (Participant may call the worker or complete the Request to Stop a Welfare to Work Sanction (WTW 31);
- Meet with his/her worker to determine the content of the Cure Plan;
- Sign the Cure Plan (WTW 29); and

- Satisfactorily perform the activity specified in the Cure Plan until completed or up to a maximum of 30 calendar days from the date the cure plan is signed, whichever is shorter.

Example: A participant failed to participate in a three-month vocational training program. To cure, she would normally be scheduled to participate for 30 days of vocation training from the date she signed her curing plan, however, the worker is not able to place the participant in the vocational training until ten days after she signs her plan. Therefore, she is only required to participate for 20 calendar days to cure her sanction. (10 days + 20 days = 30 days from signature date.)

1. Record Details of Cure Plan

Use the Plan to Stop a Welfare to Work Sanction (WTW 29) to record the details of the agreed upon activities of the Cure Plan. Enter both the end date of the sanction and the date aid is to be restored.

2. Instance of Non-compliance

If a participant requests to cure a sanction after the 20-day compliance period has passed, but before sanction begins, requirements to cure or stop a sanction must be met. The cure process must be used even if the non-compliance issue can be corrected before the sanction takes effect on the first of the following month. The participant is recorded as having an "Instance of Non-compliance" even though the sanction is cured.

Example: 20-day compliance period ends April 5 with no contact by the participant. The participant calls on April 8 asking to comply. It is too late to complete a Welfare to Work Compliance Plan (WTW 32) because the 20-day period has expired. The participant must sign a Plan to Stop a WTW Sanction (WTW 29).

J. Cure Plan and Supportive Services

While the participant is fulfilling the requirements of the Cure Plan, he/she is entitled to necessary supportive services, including advance payment of supportive services. If the county cannot provide these supportive services, the participant has good cause for not participating in the activities to cure the sanction and shall be considered as having cured the sanction at the time the county determines it cannot provide the supportive services.

K. Cooperation options to cure the Sanction and restore aid

The participant in sanction who is ready to cooperate is given a simple assignment to show cooperation.

1. Cooperation options are related to the initial non-compliance reasons.

a) Attend Orientation and Appraisal

If the participant has never attended an orientation, he/she shall be required to attend the CalWORKs Welfare to Work Orientation and Appraisal appointment before aid can be restored. The Employment Specialist shall reschedule the Orientation session within a week. The participant can also attend the Orientation on a drop-in basis without an appointment.

b) Agree on the Employment Plan (WTW 2 and 2A)

If the participant has failed to meet with the Employment Specialist for assessment, or needs a new Employment Plan, an interview shall be scheduled and an employment plan agreed upon before aid can be restored.

c) Participate in the welfare to work activity:

If the participant stopped attending an activity, and is now ready to resume that activity, the participant shall re-enroll in the program, or enroll with a new provider, and satisfactorily perform the activity until completed or up to a maximum of 30 calendar days from the date the curing plan is signed. The provider must provide verification of satisfactory progress to the Employment Specialist before aid can be restored.

d) Other circumstances:

Consult with the Section Manager if one of the above situations do not appear to apply; it is important to move ahead with an activity and curing of the sanction when a participant is ready to cooperate.

L. Curing the Sanction

1. Good Cause

If the participant makes contact after the 20-day period, but has Good Cause for not responding and for not participating, the sanction shall be cured and this episode is not counted as an instance of non-compliance. Documentation of good cause shall be required before cash aid is restored.

2. No Good Cause

If the participant cures the sanction before its effective date, the sanction can be rescinded (although it is still counted as an instance of non-compliance). If the participant cures the sanction anytime after its effective date, the person is restored to cash aid effective the date of the cure.

3. Exemption

If an exemption reason is presented, the Employment Specialist shall process the exemption according to regulations and restore aid upon receipt of documentation of the exemption.

4. Curing Sanction under the new 24-Month Time Clock

Starting January 1, 2013, there is a new WTW 24-Month Time Clock. This is within the CalWORKs 48-month time limit; however the WTW rules and hourly requirements have changed and may affect sanctioned clients who were receiving cash aid and participating in WTW activities. Please refer to PIM 13-15 for noticing requirements and processes.

M. Failure to Complete Cure Plan

If a participant signs a Cure Plan (WTW 29) and subsequently fails to meet the requirements without verified good cause, the sanction continues. If the participant contacts the worker again later, a NEW Cure Plan is signed and the contact date becomes the start date of the Cure Plan.

N. After Cure Plan

The WTW 29 is only used to cure a sanction and does not replace the WTW 2, Welfare to Work Plan Activity Agreement. Once the Cure Plan is no longer in effect, complete a new WTW 2, as appropriate, to indicate any changes in the participant's WTW requirements and supportive services.

O. Ending Sanction in CalWIN

For step-by-step instructions on how to end sanctions in CalWIN, please refer to the training materials for the CalWIN Change Request 4398 - Non-compliance Manager. The training was conducted in July 2008. Copies of the training materials will be posted on the HSA Intranet. In addition, CalWIN On-line User Manual (OLUM) will be updated in a future CalWIN Release to reflect this process.

V. Forms

Form #	Form Name	Purpose	Language
WTW2 (12/05)	Welfare to Work Plan Activity Assignment	This specifies up to four WTW activities that the participant is committing to engage in. It specifies core and non-core activities.	Chinese Russian Spanish Vietnamese
WTW4 (8/04)	Notice to Other Parent	A non-compliance form - sent to second parent when the Notice of Non-compliance (NA 840) is sent to the parent who has not been cooperating with WTW (i.e., the "first parent")	Chinese Russian Spanish Vietnamese
WTW29 (9/03)	Plan to Stop a Welfare to Work Sanction (also known as the Cure Plan)	This form is used to cure a sanction after the 20-day compliance period has	Chinese Russian

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		passed. The ES and participant agree to and sign the plan to bring the non-cooperating participant back into active status in WTW.	Spanish Vietnamese
WTW31 (10/06)	Request to Stop a Welfare to Work Sanction	This form instructs participants on the steps to take to cure their sanction. Participants may use this form to request to cure sanction or they may contact ES via phone.	Chinese Russian Spanish Vietnamese
7059CW (10/06)	How to Lift your Sanction	This form is to be reviewed with all sanctioned participants during Intake and RR appointments. The form must have participant and worker signatures and filed in Section 3 of the case folder.	Chinese Russian Spanish Vietnamese
NA 816 (5/08)	Compliance Plan Failure – 2nd Parent	10 Day NOA Sanction of Other Parent after failed compliance plan. This NOA must be sent with NA 1242 (Sanction Budget)	Chinese Russian Spanish Vietnamese
NA 817 (5/08)	Compliance Plan Failure	10 Day NOA Sanction of Participant after failed compliance plan. This NOA must be sent with NA 1242 (Sanction Budget)	Chinese Russian Spanish Vietnamese
NA 818 (10/06)	Suspend Volunteer from WTW after failed Compliance Plan	10 Day NOA Removes volunteer participant from WTW due to failing to complete compliance plan. No financial sanction.	Chinese Russian Spanish Vietnamese
NA 840 (5/08)	Non-compliance NOA	30-day Non-compliance NOA. Notice sent to participant at first sign of non-compliance. Includes 20-day compliance appointment information. This NOA must be sent with NA 1242 (Sanction Budget).	Chinese Russian Spanish Vietnamese
NA 841 (10/06)	Non-compliance NOA (Suspension of Volunteer)	Compliance NOA, first notice for volunteer – No cash sanction – suspend WTW participation.	Chinese Russian Spanish Vietnamese
NA 845 (5/08)	Non-compliance NOA (2nd parent)	30-day Non-compliance NOA for 2nd parent in a two-parent household when other parent is already sanctioned. This NOA must be sent with NA 1242 (Sanction Budget).	Chinese Russian Spanish Vietnamese
7223-S (2/13)	WTW Informing 2013 - Sanction Letter	By 3/31/13, ES's are responsible to contact and conduct a Comprehensive Discussion with all currently sanctioned participants. ES's shall send to all their sanctioned participants Form 7223-S, WTW Informing – Sanction letter to invite participants to contact the ES to discuss their options and/or to arrange an appointment.	Chinese Russian Spanish Vietnamese

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "*CalWORKs Forms*". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

Section 77 - Grievances

CalWORKs Welfare-to-Work Division	Welfare-to-Work Handbook
Section 77-1: Grievance Process	Effective: 9/27/18

77-1: Grievance Process

I. Introduction

CalWORKs Welfare-to-Work Applicants, Recipients and Participants may grieve at any stage in the process of the development of their Employment Plans, from application to termination. Only decisions made by a Participant's Employment Specialist or other Department employee as they relate to the clients' Employment Plan are grievable. The Grievance Process is prescribed within the bylaws of the Welfare-to-Work Oversight Committee.

A parallel grievance process is through a State Fair Hearing. The State Fair Hearing process may be used in place of the local process or after the local process has been exhausted.

If Participants have a grievance with a service provider or employer or other Welfare-to-Work (WTW) assignment, the Participant must exhaust that grievance procedure prior to making a grievance with the Department.

Under CalWORKs, there are other grievance procedures for regular employees who have been displaced by WTW Participants. This is against state policy. These kinds of disputes are between the displaced employee and the employer and are not included in this handbook section.

If a client's complaint appears to fall outside of the Employment Plan issues that are grievable within the CalWORKs/PAES Grievance Process, staff will provide to the client the Form 7035CW/ Form 4621PS (formerly PAES Form 2665), Avenues for Filing Various Employment-Related Complaints.

If a client's complaint appears to be about discrimination, staff will provide to the client the HSA Form 8019, Complaint of Discriminatory Treatment.

II. References

A. References from the Law and Regulations

All County Letter 97-72: Section IX, XI. D, III. B(5)(d)

WIC §11324.5, §11324.6, §11324.7, §11325.4, §11327.8

B. References from San Francisco's Welfare to Work Operations Plan

Sections IV. B (3); IX. C.

C. Cross-references to other sections of this Handbook

Section 72-1: Orientation and Appraisal

Section 72-2: Assessment

Section 72-3: Employment Plan

Section 76: Noncompliance, Good Cause Determination, Cause Determination and Compliance, Sanctions

III. Policy

It is assumed that Participants and Employment Specialists will attempt to resolve all disputes informally. However, if disputes are not resolved informally, the following procedure will be followed.

A Grievance Panel composed of members of the WtW Oversight Committee is convened when mediation between the Participant and the Employment Specialist staff has been unsuccessful. It is recommended that the Participant shall attempt to exhaust the first two levels of mediation prior to requesting a grievance. However, the Participant may choose to move to Level 2 mediation at any time.

A. Grievable Issues

Grievable issues appropriate for hearings are:

- Issues which directly relate to the development of, or to an established Welfare-to-Work Employment Plan and,
- Issues that have been addressed through mediation levels 1 and 2 but remain unresolved. Specifically, the Employment Plan decisions made by a Participant's Employment Specialist or other Department employee are grievable and appropriate for Grievance Committee Panel Hearings. See the examples below.

1. Examples

a) Example 1

A Participant is interested in pursuing education to become a registered nurse, however, the Employment Specialist determines the client is better suited to be a Certified Nurse's Assistant.

b) Example 2:

A Participant needs childcare during study hours to successfully complete academic pursuits but the childcare is not granted by the Employment Specialist.

a) Issues not related to the Employment Plan

Personnel matters and other issues not related to the Employment Plan are not grievable through the grievance committee process. These concerns must be addressed through the internal process of HSA.

b) Grievances with another agency

Dissatisfaction with a contracting agency is not grievable through the grievance committee process and must be addressed through the internal process of the contracting agency.

B. Client Advocates and other Representation

Participants should be encouraged to utilize the services of a Client Advocate, and Participants have the right to have an authorized representative of their choice. Participants are not required to have representation and may choose not to be represented.

C. Mediation

Mediation is an attempt to resolve the problem prior to moving on to a Grievance Panel Hearing. The difference between Level 1 and Level 2 Mediation relates to the point at which the Participant submits a written grievance request.

1. Level 1 Mediation

The Participant, with the assistance of a Client Advocate or supporter of his/her choice, presents a grievance request to the Employment Specialist to resolve the dispute. If the problem is not resolved within five (5) business days, it will/can be referred to level 2 Mediation.

2. Level 2 Mediation

The Participant, with the assistance of a Client Advocate or supporter of his/her choice, presents the issue to the Employment Specialist Supervisor who may also consult with the Section Manager. If the dispute is not resolved, the issue is referred for a Panel Hearing.

A written Grievance Request Form (7013CW/4616PS) is completed with the Advocate, and this initiates the five (5) business days for resolution of the grievance.

A Grievance Panel is convened by the WtW Oversight Committee when a Participant is not able to resolve an issue regarding the Employment Plan after having attempted to resolve this conflict with the Employment Specialist, the Supervisor, and, after the case has been reviewed, by the Section Manager. Participants may request a grievance at any point during the Mediation process described above.

A panel will be convened only for issues which meet the criteria of grievable issues (see Grievable Issues in A, above).

D. Composition of the Grievance Panel

The Grievance Panel is composed of three persons selected from the WtW Oversight Committee members who may be members of City Departments, advocacy groups, service providers, and current or former recipients of aid. The panel must have at least one advocate or recipient. All panel members must not have a conflict of interest if they have a contracting role with HSA.

E. Continued WTW participation during the grievance process

When a Participant uses the grievance process, he/she must continue to meet all WTW requirements, except for the requirement, which is the subject of the grievance. When the Participant continues to meet all other WTW requirements, non-compliance procedures will not be applied while the grievance is being decided.

F. Further appeals to the Department of Labor

In grievances that concern on-the-job working conditions or workers' compensation coverage, Participants may appeal unsatisfactory results of the state hearing process with the U. S. Department of Labor.

IV. Process

A. Request for a Panel Hearing

Requests can be made by phone or by completing a written request form (CalWORKs/PAES Grievance Request Form (7013CW/4616PS)). The request may be made by the Client Advocate or by the Participant.

Grievance Panel Hearings are convened within seven (7) business days of the written request.

1. Written requests

Request forms (CalWORKs/PAES Grievance Request Form (7013CW/4616PS)) are available from the Client Advocates.

The written request can be delivered to or faxed to the WTW Director's office (Workforce Development Division, 170 Otis Street, third floor) . The requests will be date stamped if hand delivered.

2. Verbal Requests

Verbal requests may be made by calling 557-5441 or by making a request with the Client Advocate. The CalWORKs Client Advocates can be reached at 557-5907. A message can be left at these numbers. The request must include the name of the participant, the social security number, address and phone number (if available). If the Advocate is calling, the Advocates' name and telephone number must also be included.

B. Scheduling the Hearing

The panel hearing will be held within seven (7) business days of the receipt of the hearing request unless the Participant requests an extension of up to three (3) business days. The Grievance Committee Coordinator will contact the panelists and schedule the hearing.

It is the responsibility of the panelists to advise the Participant of the possible consequences in delaying and rescheduling the hearing. If there is more than one request for rescheduling, the panelists will evaluate cause for the rescheduling and document this in the hearing file.

C. Hearing Notification

Notification of the date and time of the panel hearing (CalWORKs/PAES Notice of Grievance Panel Hearing 7030CW/4629PS), will be issued to the Participant, the Advocate and the Grievance Panel within three (3) business days of receipt of the hearing request. Notification shall contain language to remind the Participant of the right to representation and the right to request translation services or any kind of special assistance.

1. Notifying the Participant

The Participant will be notified of the time and date of the panel hearing by mail on the CalWORKs/PAES Notice of Grievance Panel Hearing 7030CW/4629PS, or, at the request of the Participant, by having the notice hand-delivered to one of the designated places noted below. If the Participant requests that the notification be hand delivered, it will be available for pick up at the front desk of 170 Otis, 1235 Mission, or at the Workforce Center designated by the Participant by 10a.m. of the third business day. In addition, the Participant may request a reminder telephone call from the Advocate regarding the date and time of the hearing.

2. Notifying the Advocate

The Department will advise the Advocate by telephone of the time and date of the panel hearing. Written notification will also be hand delivered or faxed.

3. Notifying the Grievance Panel members

The Department will advise the WtW Oversight Grievance panel members by telephone of the time and date of the panel hearing. Written notification will also be faxed.

4. Notifying HSA staff

The Employment Specialist and the Employment Specialist Supervisor will be notified by e-mail of the time and date of the panel hearing.

D. Hearing Attendees

1. The Participant

The Participant must attend the hearing and may bring a representative, one support person, and other witnesses who have a direct connection to the issue of the hearing. It is recommended that the number of representatives and witnesses not exceed four (4) persons, however, it is up to the panel members to make a decision as to whether or not to allow (based on relevancy) all potential witnesses to attend the hearing.

2. Participant Advocate or other support

It is the Participant's choice whether or not to have representation. If the Advocate, support person or other witnesses are scheduled to attend the hearing but do not attend, the Participant has the choice as to whether or not to proceed. If the Participant chooses not to proceed, the hearing will be re-scheduled within three to five (3-5) working days.

3. Grievance Panel

Each panel will be composed of three (3) members of the WtW Oversight Committee. A panel of three will include at least one recipient or former recipient and/or advocate. All panel members must not have a conflict of interest if they have a contracting role with HSA.

4. HSA Staff

CalWORKs staff (Employment Specialist, Employment Specialist Supervisor or Section Manager) may attend the hearing. The CalWORKs staff may also have other representatives from the Employment Support staff (for example, job developers and/or assessors may attend). The number of Employment Specialist staff (DHS staff) attending the hearing is not to exceed four (4) persons.

E. The Panel Hearing

The grievance panel hearing the complaint needs to have the "Request for Grievance" form. The intention is to provide a safe and calm environment for all.

1. Before the Hearing

- a facilitator
- a timekeeper
- a recorder (note taker)

2. Ground Rules

- Please be on time
- If there is a delay, parties will have 20 minutes to arrive.
- If there is a delay, and 20 minutes have passed, the Participant will need to request a time for the hearing to be rescheduled. The request will be reviewed for good cause and a determination made based on the reasons given for being late.
- Childcare will be provided on site.
- Nursing babies are always welcome.
- The room provided will allow all to be seated at a table.
- The facilitator will identify the agenda, the timeline given for the hearing, and the basic ground rules.
- The Participant may authorize the Client Advocate or other representative to speak for him/her, and/or may speak for him/herself.

3. Rules of the Hearing

- No cross talking
- No swearing
- No name calling
- No personal attacks

- All will be heard
- No fighting

4. Hearing Guidelines

1. Each side will have ten (10) minutes to present their case.
2. Facilitator will invite rebuttal of each party's narrative.
3. Facilitator will facilitate the discussion, and question and answer session.
4. Each party will have five (5) minutes to summarize
5. There will be a ten (10) minute recess for panel discussion, if necessary.
6. When the panel hearing reconvenes, the panel participants may ask questions to clarify.
7. The panel will reach a decision based on the majority opinion of:
 - two (2) out of three (3) or
 - A consensus of two (2).

The panel will render a proposed decision on the CalWORKs/PAES Notice of Grievance Panel Decision Form 7031CW/Form 4620PS within twenty-four (24) hours after the hearing or by the close of business (5:00 PM) on the next business day.

If no consensus can be reached, the panel's rationale will be forwarded to the Executive Director who will render the final determination.

The San Francisco Operations Plan requires that the Executive Director (or the acting director in his/her absence) render a final determination within five (5) business days of receipt or automatically accepts the recommendation of the Committee. If a recommendation is denied, the Grievance Committee will be notified of the reason in writing within five (5) business days.

The final decision will be mailed to all parties within three (3) business days after the final determination is made by the Executive Director.

After the final decision is rendered, a summary of the decision, noting the main points, will be mailed to the committee members.

F. Suggestions for opening a hearing

Panel members will introduce themselves and explain:

- The way this hearing works is explained in the handout that was given to you. To summarize: one of us will be the facilitator, one of us will be a timekeeper, and the other will be the main note taker, although we may all take notes.
- We will give each of you an opportunity to explain your position, and we would like to keep each party to about 5 to 10 minutes. We will ask questions to clarify our understanding, and we will allow each party a time for rebuttal. We may leave the room

for up to a 10-minute recess to discuss the issues together, and to ensure that we have all the information we need to make a decision.

- We will then return and ask any more questions we need to clarify the issues.
- Our decision will be based on a consensus of 2 of the 3 panelists. If there are only 2 panelists, then we need to both agree.
- We have 24 hours from the close of the hearing to render our proposed decision. This decision will be forwarded to the Grievance Committee Coordinator, who will then forward it to all parties, and also to the DHS Executive Director. The ED will then have 5 business days to make a final recommendation. The ED's final recommendation will also be forwarded to the Coordinator who will forward it to all parties. The Executive Director can accept or reject our decision.
- The rules of the hearing need to be followed. They are in your handout, and are: no cross talking, no swearing, no name calling, no personal attacks, no fighting, and all will be heard.
- Do you have any questions before we begin?

Then the facilitator tells either the County or the Participant or Client Advocate to begin. (It is up to the panel to decide who speaks first).

G. Tips on preparing for the hearing

The County needs to explain how the Employment Plan was developed, what criteria were used in the development, and why there is a dispute.

It is a good idea to have copies from Section 72-2 of the Welfare to Work Handbook. This section talks about the Assessment as the basis for the Employment Plan. As an example, the County might need to summarize:

- a. What job or training does the client want?
- b. What education/skills/experience does the job require?
- c. What education/skills/experience does the Participant have?
- d. What education/skills/experience does the Participant lack?
- e. Can those be attained within the CalWORKs time limits?
- f. What other barriers to employment does the Participant have?
- g. Why does the Employment Specialist feel that the Participant will not be able to meet the goal within the time limits?

In summary, the Employment Specialist should have the following forms at the Grievance panel hearing:

- Relevant sections of Handbook Section 72-2 (Assessment, pp. 9-12, 14-17) and Section 72-3 (Employment Plan)
- Form 7000 CW (Participant Background)

- Form 7002 CW (Participant Overview)
- WTW 1 (Employment Plan – Rights and Responsibilities)
- WTW 2 & 2A if relevant (Activity Assignment and Activity Detail)

H. Effect of non-appearance

1. When the Participant is represented by an advocate

If a Participant who is represented by a Client Advocate or other Authorized representative fails, without Good Cause, to attend the panel hearing, written notice must be given to the participant (with a copy to the Client Advocate or other Authorized Representative) that this is a decision not to pursue the grievance.

The written notice shall explain the process to be followed to show Good Cause for the failed appointment. Both the attempt and response shall be noted in the Participant's grievance file.

2. When the Participant is not represented by an advocate

If a Participant who is not represented by a Client Advocate or other Authorized representative fails to attend the panel hearing, written notice must be given to the participant that this is a decision not to pursue the grievance. The written notice shall explain the process to be followed to show good cause for the failed appointment. The notice shall advise the Participant of the advocacy services available through the CalWORKs program. Both attempt and response shall be noted in the Participant's grievance file.

3. When Panel members are absent

If one of the three (3) panel members is absent and a substitute is not available, the hearing will be held if the composition of the panel includes one recipient or former recipient or one advocate. If the composition of the panel does not meet this requirement, the hearing will be rescheduled and every attempt will be made to hold the hearing as promptly as possible, preferably within two (2) business days.

4. When HSA staff are absent

If the Employment Specialist staff (Employment Specialist, Employment Specialist Supervisor or Section Manager) fail to attend, the panel recommendation and any subsequent review by DHS shall be based solely on what is actually presented at the hearing. Employment Specialist staff cannot submit written or documentary material if they do not attend the panel hearing.

I. Good Cause

Good Cause for a Participant's failure to attend a grievance panel hearing requires verification of hospitalization, illness or injury, death in the immediate family, arrest, incarceration, or other

circumstances beyond his/her control. Good Cause shall include lack of childcare (if the Participant was not notified that on-site childcare is available).

Good Cause is determined by a majority decision of the panel. Verification in writing or verbally, by the Participant or designated advocate, must be presented to the Grievance Committee Coordinator within five (5) business days after the scheduled hearing date. The panel, at its own discretion, may consider extenuating circumstances for failure to provide this verification for up to thirty (30) business days after the scheduled hearing date.

Good Cause information will be faxed to the panel members by the Grievance Committee Coordinator (a telephone call will also be made to the panelists). The panelists will notify the Committee Coordinator of their decision as to whether or not the hearing should be rescheduled. This decision must be rendered by the close of the next business day (by 5:00 PM).

J. The Hearing Decision

A proposed (written) decision will be rendered within 24 hours after the hearing or by the close of business on the next business day (by 5:00 PM).

The proposed decision will be reviewed by the Executive Director. The Executive Director (or the acting director in his/her absence) will render a final determination within five (5) business days of receipt or accept the recommendation.

If the proposed decision of the Committee is denied, the Grievance Committee will be notified of the reason in writing within five (5) business days.

The proposed decision of the panel and the final determination of the Executive Director will be distributed to the following parties:

- The Participant
- The Client Advocate and/or Authorized Representative if any
- The Employment Specialist
- The Employment Specialist Supervisor
- The CalWORKs Section Manager
- The CalWORKs Program Manager
- The Welfare-to-Work Director
- The Grievance Committee Panelists

K. Maintenance of Files

Files of all grievances must be maintained by the WTW Director's office. The file will contain all documents related to the case. These documents may include:

- The hearing request form

- The notice of hearing
- The denial of hearing notice
- The proposed decision of the panel
- The failure to appear notice
- The final determination of the Executive Director

V. Other Methods of Resolving Disputes

It should be noted that there are other ways for participants to dispute proposed actions of the CalWORKs program. These options can be pursued simultaneously or sequentially.

A. CalWORKs- State Hearings

If a participant disagrees with any county action (or failure to act) that affects the cash grant or Welfare-to-Work program, s/he can request a state hearing. To request a state hearing, s/he follows the instructions on the back of any County Notice of Action. If a request for a state hearing is filed before a penalty begins, the penalties will not be applied while the hearing is being decided. A request must be filed within 90 days after the date of the County's action or inaction with which the participant is dissatisfied. If the request for a hearing is filed prior to the effective date of the proposed action, the participant may be eligible to aid paid pending the hearing decision.

If a participant is not satisfied with the outcome of the grievance process, s/he may ask for a state hearing.

However, a participant may not file a grievance to dispute the state hearing decision.

B. Independent Assessment

If a CalWORKs participant does not agree with the Employment Specialist or Vocational Assessor in the CalWORKs program, s/he can request an assessment to be done by a third party who is not a county representative. If dissatisfied with the assessment, the participant cannot file a grievance; however, the participant has the right to ask for a state hearing to appeal the decision.

C. Civil Rights/Affirmative Action Office

This office is responsible for directing the investigation, response and settlement of all discrimination complaints against the department. Send complaints to either of the office below:

Attention: EEO Division, 44 Gough Street, San Francisco, CA 94103

VI. CalWIN Process

This part of the section is pending creation of "How To" guide for CalWIN entries.

V. Forms

Form #	Form Name	Purpose	Language
7013CW/4616PS	CalWORKs/PAES Grievance Request	Form for requesting hearing with Grievance Panel	
7030CW/4629PS	Notice of Grievance Panel Hearing	A notice scheduling a Grievance Panel Hearing	
7031CW/4620PS	Notice of Grievance Panel Hearing - the Panel decision	A written summary of the Grievance Panel decision.	
7035CW/4621PS	Avenues for Filing Various Employment-Related Complaints	A listing of agencies (with phone numbers) for filing grievances related to discrimination or employment conditions – a handout for participants.	
8019	Complaint of Discriminatory Treatment		

NOTE: For a copy of the form referenced above, please access the HSA intranet site and go to "CalWORKs Forms". Please note that some forms may be updated or revised and/or not be available in language translation at this time. Please check and verify that you are using the most recent version.

State forms can also be found on the California Department of Social Services (CDSS) website at: <http://www.cdss.ca.gov/inforesources/Forms-Brochures/Forms-by-Program>

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