1.1 **Background**

The California Work Opportunity and Responsibility to Kids (CalWORKs) program replaced Aid to Families with Dependent Children (AFDC) in January 1998. The Welfare-to-Work (WTW) program is the employment and training component of CalWORKs, designed to enable participants to achieve self-sufficiency through employment. The intent of the WTW program is to provide employment and training services to virtually all able-bodied adult recipients of CalWORKs and approved volunteers.

1.2 **Manual of Policies and Procedures**

Regulations adopted by the California Department of Social Services (CDSS) that govern the WTW program are found in Eligibility and Assistance Standards (EAS) section 42-700.

1.3 **Automation**

Santa Barbara County implemented the California Information Network (CalWIN) system on March 1, 2006. This system automated eligibility determination functions and created significant changes in business processes affecting every program. Business processes that apply to the WTW program are incorporated into this Desk Guide. CalWIN Procedural Help topics that outline step by step processes will be noted in this Desk Guide as a reference, but will not be duplicated in the Desk Guide. Ongoing changes and improvements to the CalWIN system often involve changes to procedural steps and instructions, so the CalWIN user is always referred to online Procedural Help (OLUM) for the most current and correct process.
2.1 **Applicants** (MPP 42-711.1, 42-711.5.52)

Santa Barbara County offers up front engagement in WTW activities for applicants of CalWORKs. WTW Orientation is incorporated into the Rights and Responsibilities presentation required for applicants, to provide required information about the WTW program opportunities, requirements, and supportive services.

Our county policy allows applicants to voluntarily participate in appraisal and assignment to Job Club while their application for CalWORKs is pending. Up front engagement enables applicants to begin working towards self-sufficiency by engaging in Job Club activities in accordance with a “work first” message. Child care supportive services can be provided for applicants who are working or assigned to Job Club.

SB 1104 and SB 68 regulations require the development of the initial WTW plan within 90 days of cash aid eligibility (with certain exceptions). Applicants are registered for WTW in order to take advantage of up front engagement in Job Club activities. The date of registration for WTW for an applicant will be the date of the Notice of Action (NOA) that informs an individual of eligibility for aid.

During **Application Registration**, the Intake Eligibility Worker (EW) will follow the **Register Client in ES Prior to Intake** Procedural Help Topic. The EW will assign the applicant to the appropriate ES caseload according to district office procedure:

- **WESA**—Santa Maria WRC WTW Applicant
- **FESA**—Lompoc FVP WTW Applicant
- **BESA**—Santa Barbara CDR WTW Applicant

2.2 **Recipients** (MPP 42-711.51)

Upon having been granted CalWORKs, recipients who are not exempt from participation must be registered into the WTW program. CalWORKs recipients who are no longer exempt must also be registered into the WTW program.

SB 1104 and SB 68 regulations require the development of the initial WTW plan within 90 days of registration. The registration date will be either the date the individual is required to participate (if known in advance) or the first day of the month following a month in which the individual’s work hours reduce or exemption is lost.
Participants requiring registration into the WTW program are to be assigned to the appropriate ES caseload according to district office procedure:

- **WESR**—Santa Maria WRC WTW Recipient
- **FESR**—Lompoc FVP WTW Recipient
- **BESR**—Santa Barbara CDR WTW Recipient

### 2.3 Exemptions from WTW Participation (MPP 42-712)

Every individual is required to participate in WTW activities as a condition of eligibility for cash aid, unless exempt or excused from participation. Recipients are required to provide documentation to substantiate claims to an exemption.

**Excused from participation** means:

- An individual required to participate in Cal-Learn (or exempt from Cal-Learn). These individuals are subject to Cal-Learn program requirements in lieu of WTW program requirements. (MPP 42-712.11)
- A second parent in a two-parent AU, whose basis for aid is unemployment, is not required to participate in WTW activities if the first parent is meeting the required participation hours. (MPP 42-712.12)

**Exemptions:**

- A child under 16 years of age is exempt from WTW participation.
- An individual who is 16, 17, or 18 years of age when attending school full time (grade 12 or below; vocational or technical school). “Full time” is defined by the school. An individual who is 16 or 17 and has obtained a high school diploma (or equivalent) and is enrolled or planning to enroll in postsecondary educational, vocational, or technical school is exempt from WTW participation.
- An individual who is 60 years of age or older is exempt from WTW participation.
- An individual who has a disability that is expected to last at least 30 calendar days, and significantly impairs the individual’s ability to be regularly employed or participate in WTW activities is exempt from WTW participation. *Disabled participants must be actively seeking treatment during the time period to which the exemption is applied.*
- An aided non-parent caretaker relative who has responsibility for a child who is a ward of the court, receiving Kin-GAP benefits, or has been determined by the county to be at risk of placement in foster care; to qualify for this exemption the care of the child must be determined to be beyond normal day-to-day parenting, and impair the caretaker relative’s ability to be regularly employed or participate in WTW activities.
• An individual whose presence in the home is required due to the illness or incapacity of another household member. To qualify for this exemption, it must be determined that the caretaking responsibilities impair the individual's ability to be regularly employed or participate in WTW activities.

• The parent or caretaker relative who has primary responsibility for providing care to a child under the age of 12 months or 12 weeks is exempt from WTW participation under the following provisions:
  o Exemption to provide care for a child under 12 months is allowed only once under the CalWORKs program (MPP 42-712.471[a])
  o An individual who previously received exemption to care for a child under 12 months shall be exemption for a period of 12 weeks upon the birth or adoption of any subsequent children (MPP 42-712.472)
  o In a two parent family, the exemption to provide care shall only apply to one parent

• A woman who is pregnant and in her last trimester is exempt from WTW participation. The only verification required for this exemption is medically-verified pregnancy. If pregnancy impairs the ability to be regularly employed or participate in WTW activities prior to the last trimester and there is medical verification of the impairment, then exemption from WTW participation shall be granted.

• An individual who is a full time volunteer in the Volunteers in Service to America (VISTA) Program is exempt from WTW participation.

2.4 Volunteer Participants in WTW Program (MPP 42-712.5)

Any individual who is not required to participate may volunteer to participate in WTW activities and may end that participation at any time without loss of eligibility for aid (unless exempt status has changed to require participation). Refer to AD-CW 05-05 regarding Services For Exempt Participants.

Volunteers must attend orientation; follow district office procedure to assign the volunteer participant to the correct ES caseload to be invited to orientation:
  • WESA—Santa Maria WRC WTW Applicant
  • FESA—Lompoc FVP WTW Applicant
  • BESA—Santa Barbara CDR WTW Applicant
  • WESR—Santa Maria WRC WTW Recipient
  • FESR—Lompoc FVP WTW Recipient
  • BESR—Santa Barbara CDR WTW Recipient
Follow CalWIN Procedural Help Topic—**To Register Volunteer Participant** in order to correctly register the volunteer in CalWIN.

This is one of the few times that a participant will have two active registration lines in CalWIN.
3.1 **Policy (MPP 42-711)**

Welfare-to-Work (WTW) Orientation is the required first assignment for recipients mandated to participate in WTW. Orientation delivers a strong self-sufficiency message and provides information regarding program requirements to include a general description of education, employment and training opportunities, supportive services available, exemptions from required WTW participation, time limits, and consequences of failure or refusal to participate. Recipients are required to attend Orientation upon registration into the WTW program. WTW Orientation has been incorporated into the mandated Rights and Responsibilities presentation for CalWORKs applicants in order to provide an up front “work first” message. Per county policy, CalWORKs applicants may volunteer to participate in Job Services; therefore, Orientation must be completed prior to referral for Appraisal and Job Services. WTW Orientation sessions in English and Spanish are conducted weekly in each District Office, by Job Services staff (currently ResCare).

3.2 **Overview**

- CalWORKs eligibility determination requires applicants to attend the Rights and Responsibilities presentation; WTW Orientation has been incorporated into this presentation to offer up front “work first” Job Services to applicants if they choose to volunteer.

- Mandatory WTW participants are identified as CalWORKs recipients who are not exempt from participation. Exemption from WTW participation may be determined during the application process or during the WTW Appraisal but is not limited to these events.

- **WTW Exemptions (MPP 42-712.41 through 42-712.49)** are outlined in the WTW Handbook that is provided during Orientation. Valid exemptions are granted to:
  - Children under 16 years old.
  - Individuals 16, 17, or 18 years old who attend school full time (grade 12 or below or post-secondary education, vocational or technical school if high school diploma received-full time enrollment is defined by the school).
  - Individuals 60 years of age or older.
  - Individuals with a disability that is expected to last at least 30 calendar days, and significantly impairs the ability to be regularly employed or participate in WTW activities. To qualify for this exemption, verification from a health care professional must be provided that indicates the expected duration of the disability, the
extent to which the individual involvement in WTW activities or employment is impaired, and whether the individual is actively seeking medical treatment.

- Aided non-parent caretaker relatives with primary responsibility for a child that the county has determined requires caretaking responsibilities beyond those considered normal day-to-day parenting responsibilities and that impair the aided caretaker relative’s ability to be employed or participate in WTW activities.

- Individuals whose presence in the home is required to care for an ill or incapacitated household member. To qualify for this exemption, the county must determine that the caretaking responsibilities impair the ability of the individual to be regularly employed or participate in WTW activities.

- Parent or other relative who has primary responsibility for personally providing care to a child; a one-time exemption under CalWORKs will be allowed for a child 12 months of age or under and subsequent exemptions will be allowed for a child 12 weeks and under. In a two parent household, only one parent may be exempt under this provision.

- A pregnant woman is exempt during the last trimester of pregnancy provided that the pregnancy has been medically verified. Pregnancy in the first two trimesters will not qualify for exemption unless medical verification is received indicating the pregnancy impairs the ability to be regularly employed or participate in WTW activities.

- Individuals who are full time volunteers in the Volunteers in Service to America (VISTA) Program.

Once Orientation is complete, volunteer applicants and recipients are scheduled for Appraisal within one week of completing Orientation. Job Services staff completes Appraisal with job-ready participants who do not have existing WTW plans; the Appraisal must be completed prior to the first day of Job Club or before referral to the Career Employment Specialist (CES). CES staff completes Appraisal with participants who are employed, have existing WTW plans, enrolled in self-initiated programs (SIPs), have less than one year of CalWORKs eligibility, or present significant barriers to employment.

During Appraisal, if it is determined that supportive services are necessary for participation in Job Club, the participant will be referred to a CES to secure appropriate supportive services. Applicants who complete Orientation and volunteer to participate in Appraisal and Job Club are eligible to supportive services needed for participation until they are determined ineligible for services.
Recipients who fail to attend Orientation will only be rescheduled one time. Failure to show for the second scheduled Orientation will be cause to begin the noncompliance process.

3.3 Procedures

WTW-AD 01-18, CalWORKs Orientation and Appraisal Procedures for Applicants and Recipients outlines the CalWORKs orientation and appraisal assignment tasks performed by office professional staff, intake eligibility worker (EW), and orientation facilitator.

A WTW screening process will be used by assigned EW or CES staff in each district office to determine:
- Mandatory referral to or exempt from WTW participation.
- Whether participant will be appraised by CES staff or Job Services staff, according to criteria:
  - Employed, attending school, 16 or 17 year olds referred due to school attendance issues, participants with barriers to employment, participants within last 12 months of CalWORKs eligibility due to timing out, or requests to cure WTW sanction, will be appraised by CES staff.
  - Participants with an existing WTW plan will be appraised by CES staff unless otherwise determined during WTW screening process.
  - All other participants not identified above will be appraised by Job Services staff.

Job Services staff will be responsible for CalWIN progress entries for orientation and for appraisals conducted by Job Services staff. CES staff will be responsible for CalWIN entries for individual orientation not conducted by Job Services staff, and for appraisals completed by CES staff and for the entering of participation hours.
- Follow CalWIN Procedural Help Topic—Assign Activities
- When an activity has been completed, CalWIN will suggest the next activity. This is a helpful tool but does not mandate what the next activity will be. See CalWIN Procedural Help Topic—Assign and Schedule Next Activity.
4.1 Policy (MPP 42-711.52 and 42-711.7)

CalWORKs regulations require that recipients referred to WTW as mandatory participants be appraised. The purpose of the appraisal is to determine the participant’s employability potential and suitability for the appropriate WTW activity. Information is gathered regarding the individual’s employment history and skills, need for supportive services, and any other information necessary to determine appropriate WTW activities.

It is our county policy to offer up front services to CalWORKs applicants, and regulations allow for applicants to voluntarily participate in appraisal.

Completing appraisals is a shared responsibility between DSS staff and the Job Services contractor (currently Arbor Education & Training).

4.2 Procedures

WTW-AD 01-18, CalWORKs Orientation and Appraisal Procedures for Applicants and Recipients outlines the Orientation and Appraisal assignments tasks performed by office professional staff, intake eligibility worker (EW), and orientation facilitator.

1. A WTW screening process conducted during the Application Registration process by assigned EW or CES staff (according to each district office procedure) determines whether the participant will be appraised by a CES or by the Job Services contractor (Arbor) according to the following general criteria:
   - Participants who are employed, attending school, 16 or 17 year olds referred due to school attendance issues, presenting with barriers to employment, participants within last 12 months of CalWORKs eligibility due to timing out, or curing a sanction, will be appraised by CES staff and assigned to assessment.
   - Participants with an existing WTW plan will be appraised by CES staff and assigned to assessment unless otherwise determined during WTW screening process.
   - All other participants not identified above will be appraised by Job Services staff and assigned to Job Club.

2. During Orientation the Welfare-to-Work Plan Rights and Responsibilities (WTW 1) will be reviewed with all participants and signatures obtained. The Orientation Facilitator will collect the WTW 1 forms to forward to the appraiser. Participants are also
provided with the *Skills and Ability History (E-7)* and asked to complete and bring to the appraisal interview. The appraisal interviews are scheduled after completion of Orientation, according to district office procedure.

3. **Appraisal Interview (E-69)** form is used to conduct the appraisal. The purpose of the appraisal is to determine employability potential and suitability for appropriate WTW activity and is not intended to be an in-depth assessment interview. The appraisal is also used to determine and document whether supportive services (including child care) will be needed to enable participation in WTW activities.

4. **WTW Referral (E-37)** may be used by the Job Services Contractor to refer participants who have been determined to be inappropriate for Job Club during the appraisal interview to CES staff for assessment.

5. Barriers discovered during the appraisal process may necessitate a referral to the Resource Support Team (RST). Refer to **WTW-AD 01-05** for **RST Referral Process**.

6. Participants are informed about voluntary screening for learning disabilities during Orientation, so referral to the RST may be appropriate when a participant consents to screening for learning disabilities. Refer to **AD-CW 02-01** for **Learning Disabilities Screening and Referral for Learning Disabilities Evaluation Process**.

7. Participants who claim medical or mental health disability that prevents participation in WTW activities must be provided with the **Authorization to Release Medical Information (CW 61)** form and appropriate corresponding forms regarding **Physical Capacities (CW 61A)** and/or **Mental Capacities (CW 61B)** for completion by their physician. Refer to **AD-CW 02-02** regarding **CW 61 Authorization to Release Medical Information**.

8. The appraisal must be recorded in CalWIN as an activity that has been referred, scheduled, satisfactory progress, and completed. CES staff and Job Services staff are responsible for CalWIN entries, depending on who conducted the appraisal.
   - Follow CalWIN Procedural Help Topic—**Assign Activities**
   - When an activity has been completed, CalWIN will suggest the next activity. This is a helpful tool but does not mandate what the next activity will be. See CalWIN Procedural Help Topic—**Assign and Schedule Next Activity**.
4.3 Reappraisal (42-711.7)

Regulations state that a reappraisal must be conducted with a participant who does not obtain unsubsidized employment upon completion of all activities assigned as part of the WTW plan. The reappraisal must evaluate whether there are extenuating circumstances (as defined by the county) that prevent the participant from obtaining employment within the local labor market.

In our county, this is referred to as a **reassessment** and the purpose is to determine whether an amendment to the WTW plan is needed to incorporate more appropriate activities, and to assess barriers that may be preventing self-sufficiency. Reassessment will be discussed further in the Assessment Section of the WTW Desk Guide.
5 JOB SERVICES

5.1 BACKGROUND

AB1542 requires counties to provide job search, training and education services to participants to best achieve their employment goals. Job Search Services include Job Club Workshops, supervised Job Search and unsupervised Job Search.

5.2 REGULATIONS

Upon completion of appraisal, all participants, except those specified below (B.), shall be assigned to participate for a period of up to four consecutive weeks in job search activities. These activities may include the use of job clubs to identify the participant’s qualifications. The county must consider the skills and interests of participants in developing a qualifications. The county must consider the skills and interests of participants in developing a job search strategy.

A. Length of Job Search.

The period of job search activities may be shortened if the participant and the county agree that further activities would not be beneficial. The county, at its option, may also shorten job search activities for a recipient if the county determines that the recipient will not benefit because s/he may suffer from an emotional or mental disability that will limit or preclude the recipient’s participation.

Job Search activities may be in excess of four weeks if the county determines that the recipient’s performance during job search indicates unsubsidized employment would result from extending the job search period. However, no more than four consecutive weeks may be counted toward meeting federal work participation rates.

The criteria used to refer out of Job Search, but not limited to, are:

- The number of interviews a participant has,
- The level of motivation as perceived by Contracor- Job Club Career Consultants,
- The quality and quantity of contacts on the quality contact sheets (job search record) completed by the job seeker,
- Self-identification by the participant as to the quality and content of interviews (For example, “I’m going to be called for a second interview,” or “The employer said it was between me and two other people”).

In addition, the criteria are impacted by such factors as the participant’s job skills (employability), the type of employment being sought, the local job market, etc.

B. Exclusions from Mandatory Job Search

An individual is not required, but is permitted, to participate in job search if:

1. The job search schedule will interfere with unsubsidized employment or participation in an approved self-initiated program (SIP).
2. The individual is required to participate in Cal-Learn or is 19 years old and has not yet earned a high school diploma or equivalent certificate. These individuals are required to participate in the job search activities as described above upon reaching age 20 or earning a high school diploma or its equivalent, if they have not already taken the option to complete these activities as their first program assignments following appraisal.

3. The CWD determines that participation would not be beneficial as the first activity based on the appraisal or assessment.

C. **Number of Weeks for Which Job Search Counts as Work**

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. 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 the participation of the 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. However, for purposes of assigning participants to this component, CES staff in Santa Barbara county may use 20 consecutive days or 30 total per year for each individual to maximize use of this component.

5.3 **DEFINITIONS**

1. **Job Search Workshops (Job Club).**

   Job search workshops are group training sessions where participants learn various job-finding skills including training in basic job seeking skills, job development skills, job interviewing skills, understanding employer requirements and expectations, and how to enhance self-esteem, self-image, and confidence.

2. **Supervised Job Search**

   Supervised job search is an organized method of seeking work which includes access to phone banks in a clean and well-lighted place, job order, and direct referrals to employers which is overseen, reviewed and critiqued by a person who has been trained or has experience as an employment counselor.

   The amount and type of activity required during the supervised job search period shall be determined based on the participant’s employment history and need for supportive services.

3. **Unsupervised Job Search**

   The participant shall independently seek work and make periodic progress reports no less frequently than every two weeks to the CES.

5.4 **POLICY**

A. **Job Services Workshop/Intensive Job Search**
Job Services Workshop/Intensive Job Search (JWJS) is a 20-day component that allows up to 5 full or partial workshop days and at least 15 working days of Job Search. In order to track the days in this component, a Job Services Attendance Calendar form must be completed for each participant throughout the time the participant is assigned to a JWJS activity. The rules allow a maximum of 4 consecutive weeks (20 calendar days) per calendar year and a total of six weeks (30 calendar days) per year to be counted towards federal participation rates.

1. Referral
   a. All participants, except those enrolled in a SIP, who are employed (any number of hours) or have a barrier to employment at Appraisal, shall be scheduled to begin as soon after the completion of appraisal as possible. The JWJS activity agreement (E-245 JWJS) must contain information as to the dates, times and location of the JWJS or a date by which that information will be provided.
   b. Participants who notify their CES that they are unable to participate in the scheduled JWJS due to delays in arranging child care or transportation may be rescheduled to a later JWJS, but as quickly as possible in light of time limits on aid. A referral letter listing the new dates and times must be sent. The dates on the JWJS activity agreement may be adjusted and initialed by the client. If the client is unable to make the rescheduled date, determine if the client is making reasonable efforts to resolve the situation. Good Cause will exist until adequate arrangements are made.
   c. Referrals to the JWJS are completed after Appraisal by CES and contracted staff.

2. Content
   a. Participants in JWJS are expected to be actively involved in Job Services activities for the full 20 working days of the assignment.
   b. Participants are required to accept any offers of full- or part-time employment at minimum wage or above unless there is good cause not to do so.
   c. The requirements for Job Workshop shall address but not be limited to:
      - Job readiness skills
      - Job search preparation
      - Resume and master application completion
      - Practice employment interviews
      - Potential employer contact techniques
      - Training in phone use for employment search
      - Motivational materials and exercises
      - Effective employment role modeling
      - Goal setting and task orientation training
      - Grooming and attitude basics for success
      - Fostering of a positive attitude toward job search and employment
d. The in-class segment of the Workshop may be full or partial days. Participants may be assigned other home- or community-based search activities to complete the scheduled hours of participation, depending on the set curriculum of Job Club.

e. Participants are expected to check in with the JWJS leader at least twice daily during the Job Services activity (Job Club/Job Search portion). The JWJS leader/CES will go over the job search plan, help with possible job leads, review techniques and skills learned during the Workshop, and identify what job search activities the job seekers will engage in during the scheduled hours of participation. This may be done in groups or individually.

f. Document participation in JWJS. Note the participant’s attitude, cooperation level and organizational skills as related to seeking employment. Clear documentation is required of the reason for ending the component, including employment or completion of assigned days without finding employment. The Job Services Attendance Calendar, is used to document the days of participation.

3. Exceptions

a. JWJS participants who display a lack of skills or education that would prevent them from obtaining even non-skilled entry level employment will be referred to their assigned CES and moved on to Assessment.

b. Any participant identified by the JWJS leader as unable to benefit by continuation in the component, may be listed as having completed the component early and moved on to assessment. Once the participant has been determined suited for JWJS, the CES may refer him/her back to complete the 20 or 30 days at any point in the participant’s WTW 24 month period.

c. If additional hours of participation in WTW are required, participants enrolled in a SIP at appraisal shall be referred directly to assessment to determine a WTW plan and assign concurrent activities in order to meet the minimum required hours of participation. The CES may refer the participant to JWJS as a concurrent activity with the SIP, if it is appropriate.

5.5 PROCEDURES

A. Referral to Job Club (JWJS)

Upon completion of appraisal, applicants and recipients determined to have Job Club as the WTW activity will be referred to the contracted agency for JWJS. The length of JWJS shall be a maximum of 20 days. The additional 10 days allowed per calendar year may not be consecutive to the first 20 days.

*CalWORKs Intake Applicants:*
1. Upon completion of the appraisal face-to-face interview the appraiser shall:
   
a. Refer all applicants (mandatory and volunteers that meet the criteria for JWJS as their first WTW activity) to the contracted agency for start of Job Club. CES staff will be responsible for securing supportive services and for determining if good cause exists to delay start of JWJS.

   b. Applicants who do not meet the criteria for JWJS shall be referred to the DSS WTW unit using form E-37 for Assessment.

**Contracted Staff:**

**Applicants**

The Appraiser signs the E-245 JWJS, Job Services Activity Agreement (the start date on the agreement may be delayed for up to a week to allow the participant time to secure child care).

1. CalWIN; Schedule the participant in the Job Club activity.

2. Once participant has completed the first day of JCL, the contractor may record the first day attended in CalWIN. Monitoring of attendance throughout the component is coordinated with the contractor and recorded on the Job Services Attendance Calendar. A participant’s absence from Job Club is communicated daily to the assigned CES via CalWIN and/or Job Services Attendance Calendar.

3. Upon completion of the JCL component (i.e., participant obtains unsubsidized employment that is expected to last more than 30 days or completes 4 week component but has not attained employment), the contractor will send the Job Services folder and documentation to the assigned CES.

4. Suspend participation of JWJS immediately upon notification from CalWORKs intake that the applicant’s cash aid application has been denied. The CES will need to issue timely 10-day notice to discontinue any authorized supportive services immediately.

**B. Referral to Unsupervised Job Search (UJS)**

A participant may be referred to UJS when there will be more than a three-week waiting period before their WTW activity is available. This includes, but is not limited to, clients waiting for Work Experience assignment and those waiting for education or training to begin.

*Note: If participant has completed 20 days of JWJS or SUS in the past 12 months, then only 10 days of this component may be used.*

**WTW Staff:**

1. Amend the WTW Plan to include this component:
a. Show beginning and end dates for UJS component. Beginning date is the date the activity agreement is being signed. End date is the date the client’s regular component is expected to start or resume.

b. Show dates on which the required progress reports need to be returned. They must be returned every two weeks.

c. Offer the client any ancillary, transportation and child care expenses that will be needed during UJS.

2. Explain purpose and requirements of UJS. Discuss job search methods and possible employment opportunities with client.

3. The participant shall be given an E-66 Work Search Progress Report form for each reporting period, and an explanation of the progress reporting procedure.

4. Assign in CalWIN the UJS activity.

C. **Referral to Supervised Job Search (SUS)**

A participant may be referred to Supervised Job Search (SUS) where appropriate to either fill required hours of participation for participants in an educational/training or in a JOB component. In addition, this component may be used in lieu of Unsupervised Job Search (UJS).

*Note:* *If participant has completed 20 days of JWJS or UJS in the past 12 months, then only 10 days of this component may be used.*

**WTW Staff:**

1. Amend the WTW Plan to include this component.

   a. Show beginning and end dates for SUS component. Beginning date is actual date the component begins. End date is the date the client’s regular component is expected to start or resume.

   b. Offer the client any ancillary, transportation and child care expenses that will be needed during SUS.

2. Explain purpose and requirements of SUS. Discuss job search methods and possible employment opportunities with client.

3. Assign in CalWIN the SUS activity.

4. Refer the participant to the contracted agency using form E-61, Job Services Referral, checking the Supervised Job Search box and indicating the length of time and schedule in the “Comments” section.

**Contracted Staff:**
The contractor will be responsible for the attendance and supervision of participants while they attend SUS. Any non-compliance issues will be promptly referred to the assigned CES. Upon receipt of the referral E-61, the contractor shall:

1. Monitoring of attendance throughout the component is coordinated with the contractor and recorded on the Job Services (Supervised Job Search) Attendance Calendar. A participant’s absence from Supervised Job Search is communicated daily to the assigned CES via CalWIN and/or Job Services Attendance Calendar.

2. Provide the assigned CES with a Job Services Attendance Calendar upon completion of the WTW activity.
6.1 **POLICY (MPP 42-711.54)**

A. A recipient who is required to participate in WTW activities and is enrolled (at the time of Appraisal) in an undergraduate degree or certificate program that leads to employment will be evaluated for approval to continue in their self-initiated program (SIP) up to the CalWORKs 48-month time limit. Specific criteria must be evaluated, and potential SIP participants must be notified of approval or denial of the SIP request.

B. When a SIP does not meet the criteria for approval, the SIP must be denied. The participant shall be permitted to participate in the unapproved SIP until the next semester or quarter break in the educational program, and will be eligible to necessary supportive services related to the classes being taken during the period remaining in the unapproved SIP.

C. SIP participants are not subject to SB 1104 core and non-core requirements and time frames. Refer to *WTW AD 07-05, CalWORKs WTW Final Amended Regulations Implementing SB 1104 and SB 68.*

D. SIP participants are required to enter into a WTW Plan that incorporates their required SIP activities (verified classroom, laboratory, internship, tutorial assistance hours), plus any additional concurrent activities needed to meet participation requirements of 32/35 hours per week.

E. An assessment is not required to complete the WTW Plan when approved SIP activities will meet participation requirements for the individual. However, if additional activities are required to reach the required 32/35 hours, the participant may be assigned to assessment to explore additional appropriate activities.

F. Necessary supportive services must be available to every participant in order to participate in their SIP; good cause exists for not participating when supportive services are not available. Supportive services can be authorized retroactively to the individual’s beginning date of aid for CalWORKs for approved SIPs; child care can be retroactively approved for up to 30 days from the date the recipient requested child care services and services were provided (Camacho v. Allenby lawsuit, ACL 08-36). Tuition for a SIP cannot be paid by WTW.
G. SIP participants should be encouraged to apply for financial aid (educational grants, scholarships, awards) if they have not done so. The availability of received financial aid must be considered and documented by the CES, but supportive services required for participation in SIP activities cannot be denied if the participant indicates that received financial aid is not available to meet the supportive services needs on the Student Financial Aid Statement (E-56). Educational loans and work study program awards are excluded from consideration when determining supportive services needs.

H. Self-initiated enrollment in Adult Basic Education (ABE) and English as a Second Language (ESL) courses for the sole purpose of obtaining basic educational skills, or enrollment in General Educational Development (GED) courses does not meet SIP criteria and will not be evaluated as a SIP. These activities can be included and supported in the WTW Plan.

I. Any person whose previously approved SIP is interrupted for reasons that meet good cause criteria (WTW CW AD 06-01) may resume participation in the same program if the participant maintained good standing in the program while participating and the SIP continues to meet approval criteria. A participant who was sanctioned for non-compliance in their SIP activity may not be considered for SIP approval when curing the WTW sanction.

J. For federal purposes in reporting for WPR, SIP participants are not differentiated from any other participant and are reportable as a work-eligible individual.

6.2 APPROVABLE SIP CRITERIA

A. The SIP must be approved if all of the following apply:

- The individual was enrolled on the date of appraisal, or on the date the individual would have been appraised, if he or she had not failed, without good cause, to attend the appraisal appointment.

- The program leads to an undergraduate degree or certificate, or California regular teaching credential.

- The program is on the county’s list of programs leading to employment. Individuals in a program that is not on the list must substantiate that their program will lead to self-supporting
employment so the CES (with supervisor consent) can determine whether the program meets approvable criteria.

- The participant is making satisfactory progress.

**B. Additional criteria to consider for SIP approval:**

- Degrees, certificates, or vocational programs offered by a **private postsecondary training provider** cannot be approved as a SIP unless the program is approved or exempted by Department of Consumer Affairs, Bureau for Private Postsecondary and Vocational Education, or accredited by the Western Association of Schools and Colleges.

- Individuals who possess a bachelor’s degree are not 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.

### 6.3 PROCEDURES

**A. Evaluation of SIP**

1. SIP evaluation may be considered at Appraisal only, during the CalWORKs Intake process or when a CalWORKs recipient loses an exemption and is registered to participate in WTW. The Appraisal Worker will refer potential SIPs to a CES for SIP evaluation and assessment.

2. Sanctioned individuals who are attempting to cure their WTW sanction may not be evaluated again as a SIP if their sanction was due to non-compliance in the SIP. **Examples:**

   - Participant in an approved SIP stops attending class and is on academic probation with the college, so the CES begins the non-compliance process that is not resolved with good cause, and a sanction is imposed. In ensuing months, the individual decides to resume class attendance at college and wishes to cure the sanction. **This is not approvable as a SIP.**

   - Participant stops attending Job Club and does not contact the CES. The non-compliance process begins and results in sanction being imposed. During sanctioned months, the individual enrolls in a certificate program through community
The individual decides to cure sanction—\textit{this individual can be evaluated as a SIP} because the previous sanction was not related to the potential SIP.

3. SIP documents must be provided to the client for completion, and can be sent by mail. The CES may schedule and conduct an interview, in office or by phone, if necessary to gather information. The SIP packet includes (all forms available in CalWIN and shelf stock):

- **Self-Initiated Training Information (E-36)**. This checklist outlines what the client needs to provide for SIP evaluation and when items are due.
- **Student Questionnaire (E-33)**. The client must answer all questions, sign and date.
- **Certificate of Financial Award (E-34)**. The client completes the release of information section and has the financial aid/EOPS office at their school complete the rest.
- **Education/Training Progress Report (E-31)**. The CES completes the top portion to request information; the client completes the Release of Information portion, and the educational facility completes the bottom portion.
- **Request for Progress Report (E-32)**. This form is completed by the CES with a due date for the client to provide the E-31 progress report.
- **Student Financial Aid Statement (E-56)**. This form provides information to the client about their choices regarding the use of financial aid and must completed to reflect the option they select.

4. Evaluate the potential SIP using approval criteria:

- SIP enrollment date must be before Appraisal date. \textit{Enrolled} means that an individual has applied for and been accepted into the degree or certificate program, and continues to meet or fulfill all conditions to maintain current enrollment status.

- Program must be consistent with participant’s employment goal and must prepare the participant for an occupation in demand.
• The program must be on the county’s current list of approvable programs OR the participant must provide evidence for the CES to determine whether the program will lead to self-supporting employment.

• The participant must not already possess a bachelor’s degree, unless pursuing a teaching credential.

• The participant must be in good standing in the program, as evidenced by current Student Education Plan (SEP), past grades or a completed **Education/Training Progress Report (E-31)** from the school/training provider.

• **Private postsecondary schools** must be approved or exempted by the Department of Consumer Affairs, Bureau for Private Postsecondary and Vocational Education, or accredited by the Western Association of Schools and Colleges to be considered as an eligible school/training provider for SIP approval.

• Evaluate whether assignment to additional activities will be required for participant to meet participation requirements.

• Complete the **SIP Checklist (E-38)**, obtaining client signature and date in the **Attendance Statement** if additional activities will be needed to meet participation requirements. Forward all SIP documentation with the SIP Checklist to the CES Supervisor for review and approval.  
  **Note:** SIP Checklist is available in shelf stock only.

• Notify participant of approval or denial of SIP using the **WTW Notification on Self-Initiated Training (E-35)**, available in CalWIN (see section 6.3B) or shelf stock.

• A participant who meets SIP criteria regarding enrollment and satisfactory progress, but whose program or education/training provider does not meet approvable SIP criteria, may continue in their program until the beginning of the next educational semester or quarter break. We cannot reimburse or pay for supportive services for an unapproved SIP until the date a WTW plan is signed (Camacho v. Allenby lawsuit, ACL 08-36).
**B. CalWIN Forms and Notices**

- All SIP forms, except for the E-38 Sip Checklist and E-56 Student Financial Aid Statement, are available in CalWIN:

![CalWIN Forms and Notices](image)

**C. CalWIN Entries**

- SIP activities will always be incorporated into a WTW Plan, so tracking of the SIP request is entered after the WTW Plan is entered in CalWIN. **Case Comments** should also be entered to document SIP approval or denial. See CalWIN Procedural Help topic *Develop Employment Plan*.

![CalWIN Entries](image)
CalWIN Procedural Help topic **Maintain a SIP Request** outlines how to complete SIP request entries for an initial SIP request or to update a request. **Case Comments** are still required to document SIP approval or denial.

Activities associated with the SIP must be scheduled in CalWIN by following CalWIN Procedural Help topics **Assign Activities** and **Update Status of an Activity**. **Vocational Training** or **Job Skills Training** would be the usual activities associated with a SIP.
If the SIP education/training provider has not been entered in CalWIN, notify the WTW Department Business Specialist (Program Analyst) so the provider can be added to the CalWIN provider database.

D. Study Time for SIPs

- Unsupervised home study time cannot be counted towards the 32 hour participation requirement in the WTW Plan for SIP students. Refer to AD-CW 00-06, Study Time for Education and Training Programs for CW/WTW Students.

- Specific study activities that are monitored and supervised may be counted towards CalWORKs participation in the WTW Plan. Verification of the need for the activity must be maintained in the WTW case. Examples of study activities that can count towards CalWORKs participation for SIP students:
  - Mandatory lab hours
  - Tutorial assistance
  - Enrolled in Study Hall class

- For federal purposes only, in reporting for WPR, up to one hour of unsupervised home study time can be counted toward the WPR, provided there is verification maintained in the case that homework or home study time is required (for example, course syllabus with homework statement). SIPs are not differentiated in any way from other vocational education students for federal (WPR) purposes.
E. Monitoring Progress and Attendance

- Regular attendance and satisfactory progress in assigned education or training activity must be verified monthly using the Education/Training Progress Report (E-31). Update CalWIN, Maintain Participant Activity, Attendance Tab, each month. Follow CalWIN Procedural Help topic Enter Attendance Information.

- For federal (WPR) purposes, it is important to maintain attendance records; the Certification of Participation (E-83) can be used for this purpose. This form is not needed if the client is completing and submitting the Mileage Record for WTW Activities (E-81).

- For federal purposes, up to 80 hours of excused absences (not more than 16 hours per month) and ten state holidays in the preceding 12-month period is countable as participation for WPR. Refer to WTW AD 07-04, TANF Final Rule Changes to Work Verification Plan (WVP).

- Request a copy of the participant’s grades at the end of each grading term and review for completion of required number of units/hours, and for satisfactory standing in the program.

- Request a copy of the participant’s schedule for each new term and request documentation regarding study needs (syllabus or documentation from instructor) for federal documentation purposes.

- Request financial aid information each term using Student Financial Aid Statement (E-56).

- Participants are determined to have unsatisfactory progress or attendance (and will be subject to non-compliance process) when:
  - The participant does not have good cause for failure to meet progress or attendance standards.
  - The participant fails to provide documentation of progress.
F. Interruption of an Approved SIP

- When a participant has good cause (WTW CW AD 06-01) for interrupting progress in an approved SIP and will not be able to resume the SIP within one month of determination of good cause, update status of the SIP activity in CalWIN to **Ended-Not Completed-Satisfactory Participation**. This status ends the component but reflects satisfactory participation. Using the status of **Disenroll** indicates that the activity did not start, and does not reflect satisfactory participation.

- When the participant whose SIP was interrupted due to a good cause reason is able to resume participation, the CES must determine whether the participant maintained good standing in their SIP prior to the interruption.
  - If so, assign the participant to the appropriate activity. Do not update the status of the previous activity that was Ended-Not Completed. Refer and schedule into a new activity.
  - If not, the participant’s SIP will end and the participant will be referred to Job Services or Assessment (whichever appropriate) as the next activity. The **WTW Plan** will need to be amended to reflect changes; follow CalWIN Procedural Help topic **Amend Employment Plan**.

G. Ending the SIP

- When the participant achieves the approved educational or training objective or goal, the SIP has been successfully completed. The next activity must be determined and the WTW Plan amended to reflect changes. Typically, the next activity would be assignment to a Job Search/Job Readiness activity, or assignment to Assessment or Reassessment.

- SIP activities are subject to the non-compliance process. A participant who does not have good cause for non-compliance in their SIP activity has ended their SIP when sanctioned and cannot be evaluated as a SIP if and when they decide to cure their WTW sanction.
### 6.4 LIST OF APPROVABLE SIPs

This matrix of instructional programs and training courses for the 2011/12 school year that lead to employment outlines programs that have been agreed upon by the Department of Social Services and local educational agencies/providers as possible SIP approvable programs. **Acceptable programs and/or education/training providers may not be listed on this matrix.**

<table>
<thead>
<tr>
<th>PROGRAM OR COURSE</th>
<th>EDUCATION AND TRAINING PROVIDERS</th>
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<td>Accounting/Accountant</td>
<td>• AHC</td>
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<td>• Bookkeeping</td>
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<td>Administration of Justice</td>
<td>• AHC</td>
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<td>Agribusiness</td>
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<td>• Viticulture/Enology</td>
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<td>• Wine Marketing and Sales</td>
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<td>• Viticulture</td>
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<td>Applied Design/Media</td>
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<td>• Graphics</td>
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<td>• Multimedia Arts and Commincation</td>
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<td>• Website Design</td>
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<td>Architectural Drafting</td>
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<td>Auto Body Technology</td>
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<td>• Auto Body Metal</td>
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<td>• Auto Body Refinishing</td>
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<td>Automotive Technology</td>
<td>• AHC</td>
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<td>• Auto Services Management</td>
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<td>• Auto Tune-Up &amp; Diagnostics Procedures</td>
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<td>• Auto Engine Rebuilding</td>
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<td>• Automotive Chassis</td>
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<td>• High Tech General Mechanic</td>
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<td>• High Tech General Mechanic</td>
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<td>o Engine, Power Train Spcl.</td>
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<td>PROGRAM OR COURSE</td>
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<td>Computer Business Information Systems</td>
<td>• AHC</td>
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<td>• Computer Business Office Software</td>
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<td>• Database Administration</td>
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<td>• Information Architecture</td>
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<td>• Information Technology Fundamentals</td>
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<td>• Office Systems Analysis</td>
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<td>• Office Software Support</td>
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<td>• Small Business Web Master</td>
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<td>Computer Business Office Technology</td>
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<td>• Administrative Assistant/Secretarial</td>
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<td>• Administrative Office Skills</td>
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<td>• Legal Secretarial</td>
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<td>• Word/Information Processing</td>
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<td>• Computer Business Office Skills</td>
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<td>• Computer Business Presentations &amp; Publishing</td>
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<td>Computer Science</td>
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<td>Cosmetology</td>
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<td>Culinary Art &amp; Management</td>
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<td>• Culinology</td>
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<td>• Restaurant Management</td>
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<td>• Dietetic Service Supervision</td>
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<td>• Food Production Supervision</td>
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<td>• Food Services Production</td>
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<td>• Catering &amp; Events Management</td>
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<td>• Baking</td>
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<td>Dental Assisting</td>
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<td>Early Childhood Studies</td>
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<td>• Elementary Education-Bilingual/ Bicultural Emphasis</td>
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<td>• Preschool/Infant/Toddler Programs</td>
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<td>• Special Education</td>
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<td>Electronics Technology</td>
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<td>• Digital Systems</td>
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<td>• Communication Systems</td>
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<td>• Electronics Engineering Technology</td>
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<td>• Mechatronics</td>
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<td>• Network Maintenance Digital Technologies</td>
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<td>• Electronic Training</td>
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<td>PROGRAM OR COURSE</td>
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<td>Emergency Medical Services</td>
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<td>• Emergency Medical Technician I (Basic)</td>
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<td>• Emergency Medical Services Academy</td>
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<td>• EMT I (Basic) Refresher</td>
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<td>• Advanced Cardiac Life Support</td>
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<td>• First Responder Update</td>
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<td>• Paramedic Training</td>
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<td>Engineering Technology</td>
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<td>• Civil Engineering</td>
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<td>• Engineering Drafting</td>
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<td>Environmental Technology</td>
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<td>• Environmental Health &amp; Safety Technician</td>
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<td>Family and Consumer Services</td>
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<td>• General</td>
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<td>• Fashion Studies</td>
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<td>• Fashion Merchandising</td>
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<td>• Interior Design &amp; Merchandising</td>
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<td>Fire Technology</td>
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<td>• Firefighter Academy</td>
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<td>Human Services</td>
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<td>• Specializing Helping Approaches</td>
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<td>Liberal Arts/Studies (courses directly connected to employment goal or transfer)</td>
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<td>• Production Machining</td>
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<td>• Medical Billing &amp; Coding</td>
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<td>Nursing</td>
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<td>• Certified Nursing Assistant</td>
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<td>• Certified Home Health Aid</td>
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<td>Paralegal Studies</td>
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<td>• Operations</td>
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<td>• Prevention-Investigation</td>
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<td>• Prescribed Burning</td>
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<td>• Logistics-Finance-Planning</td>
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7 - ASSESSMENT
(MPP 42-711.55)

7.1 BACKGROUND

The Welfare-to-Work Job Readiness assessment is a detailed evaluation of a WTW participant's abilities, work interests, employment history and education. The assessment also identifies potential barriers to employment and may address the need for services to overcome behavioral, physical/mental illness, substance abuse or domestic violence issues. The goal of the assessment is to provide information to the CES and participant so they may work together, using the information gathered, to develop a WTW/Employment plan (within 90 days of CalWORKs approval or referral from Job Club). The WTW plan will specify the activities and support services necessary for a participant to obtain and maintain employment leading to self-sufficiency and may include education and training.

Note: Completion of the Assessment process may involve multiple appointments.

7.2 REFERRAL PROCESS

Participants will be referred to assessment when:

- It is determined during Appraisal that a participant is not currently able to benefit from Job Club,
- When a participant completes four (4) weeks of Job Club Search activities but is unsuccessful in finding employment, JCL contracted staff (ResCare) will refer the participants to DSS/WTW for further evaluation to determine job readiness.

ResCare will forward the participant's Job Services Packet (JCL/SJS Folder) which will include the following:

- Job Search Information Form
- Copy of Resume created with ResCare WS *(If applicable)*
- Copy of Master Application created with ResCare WS *(If applicable)*

Job Club/Supervised Job Search Attendance Calendar (Case Comments will be entered in CalWIN to address attendance issues and document E-Excused, I-Interview, A-Absent entries, outreach efforts and/or reason for excuse).

Note: A P-Present, without Quality Contact Form submitted to substantiate “P” will also require an explanation).

- Daily Quality Contact forms which reflect participant's job search efforts and are submitted by the participant on a daily basis to ResCare WS.
- Any notes/documentation that Participant submits for verification of absences (Doctor’s notes, appointment cards, etc.)
DESK GUIDE Assessment

- Scored CAPS/COPS/COPES & CASAS, ResCare WS automatically proctors these evaluations for all participants who complete JCL without obtaining employment. For further information on CAPS/COPS/COPES & CASAS click on the following hyperlink References CAPS-COPES-COPS

- Placement Information Form (Captures employment details when a Participant obtains a job)

A. Job Club is shortened because it is not likely to lead to employment, or

When ResCare staff identifies clients who are having difficulty attending and/or participating in Job Club, participation may be suspended. The participant will be referred to assessment and possible referral for resources and/or services. Information related to concerns about client participation that prompted the referral should be clearly communicated via information contained in the JCL/SJS folder, CalWIN case comments, and e-mail to the assigned CES. Using this information, the CES will be able to more quickly determine whether the participant should be referred for educational/skills assessment or if there is a behavioral, physical/mental/substance abuse or domestic violence situation that needs to be explored (Referral to RST - Follow instructions in WTW AD 01-05). Participants may be referred back to job services when it is determined that they are able to benefit from participation.

B. The participant is employed or finds employment during JCL but works less than the required level of participation, or is in an approved SIP.

Participants who are employed at Orientation or find work during the four weeks of Job Club Services shall be referred for appraisal/assessment to determine how the participant’s current employment situation may be improved (i.e. attainment of GED/HS diploma, or additional training) and, if not working 32/35 hours for any additional activities.

Participants who are in a SIP at Orientation shall be referred for assessment per instructions in Welfare-To-Work Desk Guide Section 6.1 A, B and E. SIP participants shall participate in the assessment activity leading to development of a WTW Plan. The assessment, at a minimum, shall consist of the following:

- An explanation of any time limit repercussions related to the ability of the participant to improve employment opportunities leading to self-sufficiency through the educational activity prior to expiration of cash aid eligibility.
- An assessment and appropriate counseling/referral to resources to assist the participant to improve skills and abilities leading to gainful employment.
- If necessary, determine concurrent activities to increase hours of WTW activities to meet the 32 or 35 hour requirement, if necessary.

C. Reassessment participants shall be re-assigned to Assessment for a review and possible amendment of the Welfare-to-Work Plan when:

1. Participant has completed all steps in the Welfare-to-Work Plan and remains unemployed due to extenuating circumstances. Extenuating circumstances are:

a) The occupation goal in the Welfare-to-Work Plan is no longer in demand in the local labor market.

b) The participant has experienced a change in physical or mental condition or in family circumstances which precludes employment in the occupation goal.

c) The participant is unable to obtain needed licenses or approvals.

d) At the discretion of the Supervisor, and as documented in the case file, any substantial and compelling reason that would prevent the participant from obtaining the goal employment within the local labor market area with the education and training previously received.

e) Participant has been reregistered after a period of deregistration.

f) A Welfare-to-Work Plan was developed in another county.

g) With Supervisor approval, when it has become obvious that the participant is unlikely to succeed in the Welfare-to-Work Plan as written.

7.3 INFORMATION GATHERING

During WTW Orientation, applicants/participants will be given Form E-7 "Skills and Ability History," to document their work history. The completed form will be returned at the Appraisal interview. The worker will use it during the interview Essential Elements of a Successful Assessment to assist in identifying applicant/participant initial job readiness. It will be forwarded to the assigned CES as a resource for the CES to use if the participant eventually requires assessment. Form E-69 "Appraisal Interview Form" will also be completed and the information gathered will be used and updated as the participant progresses through the Welfare-to-Work process.

7.4 ASSESSMENT PROCEDURES

A. INVITATION

Invite the participant to Assessment by requesting the Assessment Appointment letter (CSF 7) from CalWIN by completing the following steps: CalWIN Invitation Letter

NOTE: All participants scheduled to enter the Assessment process shall complete the E-245 ASM with the assigned CES. Before signing, the CES will review the E-245 ASM with the participants.

B. PREPPING
Review of the following forms and resources are essential for a thorough Assessment:

C. Work history and an inventory of the participant’s employment skills, knowledge and abilities (E-7, E-69s). Evaluate the participant’s potential for employment taking into consideration the participant’s current skills and the local labor market conditions.

D. CalWORKs eligibility case comments and Statement of Facts. Review case record become familiar with participant/family and their accomplishments.

E. Education history and education competency level.

F. Prior Welfare to Work history (CASAS, CAPS, COPS, COPES scores, E-69s)

G. Post JCL participant review attendance reports from JCL, Master Application (supplements E-7), Job Search forms.

H. Determine if there is a CWS case or referral and if so, contact the CWS SW to discuss coordinating services, and to set-up coordinated case planning meetings.

I. Review TRAC in MEDS to determine TOA.

C. INTERVIEW

Beginning

- Restate the purpose of the Assessment process: To establish an employment goal.
- Use open-ended questions, allowing the participant to elaborate when answering,
- Find out who and what are important to the participant,
- What is the participant’s employment goal? Are we able to assist him/her to achieve it?
- Discuss financial penalties so participants understands his/her choices,
- Discuss available supportive services, if needed, to allow full and successful participation in upcoming, assigned WTW activities,

Gathering Information

- Participant’s Work History (including skills, knowledge and abilities)
- Educational history and competency level
- Supportive Services needed
- Potential Barriers: Consider the individual & family strengths/barriers
- RST, Eligibility staff
- Local labor market information: The following links or tools may be used in gather of Labor Market Information;
  - Internet search “Labor Market in Santa Barbara County”,
  - www.labormarketinfo.edd.ca.gov,
  - Onetonline.org,
  - STATS.BLS.GOV, Search for Occupational Outlook Handbook

AVAILABLE TOOLS:

- Review of E-25
- Competing the G-21 – Vocational Assessment Report, assists with completing the Assessment Template Narrative
- Physical limitations or mental conditions that limit the participant's ability for employment or participation in WTW activities (CW-61 A and/or B).
- Evaluation materials – CAPS/COPES/COPS & CASAS or placement scores from other educational institutions.
• Provide appropriate supply of E-23 (Occupation Research Worksheet) so participant can begin informational interviews or occupational research. May assist in completion of E-22.

D. POST INTERVIEW

The final step in completing the Assessment is the Narrative summary WTW Assessment/Reassessment Report. (click link below)

Review E-23 results with participant and labor market findings. (1st choice, 2nd choice, & 3rd choice). This narrative summary provides supporting documentation of the assessment and how the information gathered was used to justify the WTW plan. The WTW Assessment/Reassessment Report was developed to assist the CES to complete the assessment narrative. A breakdown of each section of the assessment report is listed below with corresponding forms that may provide the information needed to complete each section.

E. ASSESSMENT NARRATIVE TEMPLATE

• General Information – Information regarding the WTW status, TOA, and comments addressing reason for referral to WTW. 
  Supporting documents: E-25 & G-21
• Family Structure – Breakdown of family members in the household/Languages spoken. Case comments will address the impact on ALL family members to ensure the participants has the support necessary to be successful in reaching the goals established during the assessment, consider the family strengths/barriers.
  Supporting documents: CalWORKs Statement of Facts (SOF), W-426 & G-21. Intake or RRR case comments.
• Housing – Explanation of current housing situation, possible information on referrals. Case Comments will address if housing is stable or creates any barriers to WTW participation.
  Supporting documents: CalWORKs SOF & E-69S
• Income – What are sources of income for the family?
  Supporting documents: Client Statements, CalWORKs Case Comments, QR-7 (docStar)
• Education – Check appropriate check box. If a SIP list, under comments, employment goal that will lead to self-sufficiency and labor market information documenting needs for SIP training/education. If a Learning Disability was identified, note whether a screening tool was completed and a referral was completed and forwarded to RST. Enter Case Comments in CalWIN to summarize the information noted above related to Learning Disabilities.
  Supporting documents: Client statements, E-69S, G-21 & LD-13. Referral to testing through college or Dept of Rehabilitation.
• Work History – Check appropriate check box. Enter Case Comments that justify the boxes checked by listing the participant’s work history (both paid and unpaid) and relevant skills. Include the reason each job ended.
  Supporting documents: E-7, G-21, ResCare Master Application & Resume.
• Supportive Services – Narrative regarding the review of each available supportive service. Each supportive service has a comment section and this section will be
completed to the extent of supportive services explained and needs of the participant.

**Supporting documents: E-69S, client statements**

- **Personal Issues**
  - **Legal:** Check appropriate check box. Use Case Comments to summarize how legal issues are being resolved, whether impact to participation may be anticipated and any other relevant information. Utilize JOBS 5 form.
  - **Physical Health:** Check appropriate check box. CW-61 A and/or B is designed to gather physical information on the participant. This section will document whether there are any physical conditions that may limit the participant’s ability to participate in WTW or employment activities. Enter relevant Case Comments.
  - **Mental Health:** Check appropriate check box. This section will include information on any mental condition that may limit the participant’s ability to benefit from employment or participation in WTW activities. Enter relevant Case Comments.
  - **Domestic Abuse:** Check appropriate check box. This section will document whether there are any domestic abuse issues that may impact the participant’s current ability to participate in employment or other WTW activities. Enter relevant Case Comments.
  - **Substance Abuse:** Check appropriate check box. This section will include information of any substance abuse issues that may limit the participant’s ability to participate in employment or other WTW activities. Enter relevant Case Comments.

- **Support System -** Check appropriate check box.
  - **Supporting documents: Client Statements**

- **Testing -** Check appropriate check box.
  - **Supporting documents: Resource Materials completed by participant**

- **Recommendation (Based on occupational research and labor market).**

- **Employment Goal and WTW plan steps**
  - **Supporting documents:E-22**

### 7.5 WTW PLAN

The purpose of the Welfare-to-Work Assessment is to establish a potentially successful employment goal and to develop a comprehensive Welfare-to-Work Plan to provide the skills necessary to meet that goal.

Employment goal identified/Employment Plan completed.
- The E-22 is completed when a specific employment goal has been determined.
- WTW Plan completed:
  - The WTW Plan will include any activity or combination of activities that will assist a participant in defining an employment goal and demonstrating potential successful completion of that goal.

The participants should be actively participating up to 32 hours a week.

The WTW Plan should be comprehensive and contain all the WTW activities required for a participant to be successful in obtaining entry level employment in the chosen
employment goal. Any WTW activity, in any order, needed to meet the employment goal may be designated in the WTW Plan.

All WTW plans (new and amended) will be submitted to the supervisor, or the person designated by the supervisor, for review before the final Welfare-to-Work Plan is signed.

Participants who lack basic education or English skills or who do not have a High School Diploma/GED shall be referred to ABE, ESL and/or GED as part of the Welfare-to-Work Plan as follows:

1. A participant who lacks basic education skills shall be assigned under the Welfare-to-Work Plan to participate in any adult basic education component to obtain those skills as appropriate and necessary to achieve the employment goal.

2. A participant who lacks basic education skills but has chosen an employment goal that does not require obtaining that basic education level, shall be assigned under the Welfare-to-Work Plan to the needed adult basic education component concurrent with other activities required to meet 32/35 hours of maximum participation.

A participant who has been determined unable to benefit from further basic education during an Educational Evaluation shall not be assigned to further basic education.

Reminder: When a participant has completed all steps in the Welfare to Work plan, they shall be referred to Reassessment (see section 7.2 C for list of reassessment triggers).

Procedures: Develop Final Employment Plan

1. Review the occupational options the client has developed and evaluate the client's chances for successful attainment of employment in the selected occupations. Use all known factors including, but not limited to, the following:

   a) Tested abilities;
   b) Training availability;
   c) Length of training required;
   d) Occupational demand in county;
   e) Support Services needs;
   f) Barriers to training completion or employment in the field;
   g) Wage needs of family;
   h) Attitude and interest of client in relation to occupational field.

2. Discuss with the client the options that have the highest chance of success and mutually decide on the final plan.

3. The CES must ensure that the participant is aware of how the choice of employment goals will affect them. The following information must be given to the participant:

   a) The CES will refer client for any needed training/education and the participant must participate in that program.
b) The participant is required to accept appropriate job offers.

c) The participant may incur additional expenses by accepting employment.

4. The participant must be informed of the wage range, normal working conditions, physical/mental demands, normal working hours and career ladders of jobs within the Welfare-to-Work Plan.

5. Complete and submit Assessment Narrative for supervisor approval.


a) Submit the assessment packet to the designated person for review.

b) After approval, the CES and the client sign the E-22. Make a copy of the E-22 and give the original to the client.

c) If Welfare-to-Work Plan is not approved, discuss alternate options with client.

7. File the entire assessment packet according to unit filing guide. The assessment packet consists of:

a) the E-21 Assessment report,
b) a copy of the E-22, Welfare-to-Work Employment Plan,
c) all E-23, Occupational Research Worksheets (if used), and
d) the E-25, Employment Consideration Worksheet.
e) additional forms or tools used.


9. Complete WTW Plan tab, submit for supervisory approval, after which have participant sign the WTW 2.

10. Complete WTW Plan indicating WTW Plan has been signed.

7.6 OUTCOMES

Measuring the outcomes of the assessment may be completed in one of the following ways:
- Employment goal identified/Employment Plan completed.
- WTW Plan completed:
  - Participant employed
  - Employment hours increased
  - Participant engaged in WTW activities

7.7 THIRD-PARTY ASSESSMENT - 42-711.556

POLICY
In accordance with Welfare-to-Work (WTW) regulations, when a participant and Case Employment Specialist (CES) are unable to reach agreement on the WTW plan, the matter shall be referred for independent assessment by an impartial third party.

The Department of Social Services has designated independent assessors to perform this function.

A. The independent assessment is binding and it shall be used to develop the Welfare-to-Work Plan.

B. After the independent assessment is completed and the Welfare-to-Work Plan is developed, an activity agreement shall be signed between the County and the participant.

C. A Fair Hearing regarding the development of the Welfare-to-Work Plan will not be granted until an independent assessment is completed.

Case Employment Specialist (CES):

When a participant and CES are unable to agree on the WTW plan, the CES will send the following information to the WTW Program and Policy Support Department Business Specialist (DBS):

- Original WTW assessment
- Copies of relevant case record information
- Labor market survey
- Other relevant documents
- Name, address and phone number of the CES
- A brief statement of the nature of the disagreement

An agreement between Santa Barbara, San Luis Obispo and Ventura Counties (third party assessors) enables each county to conduct assessments for the referring county. The third-party assessor will contact the client within ten days of receiving the request for third-party assessment.

The third-party assessors will provide his/her findings to the CES within 30 days.

WTW/DBS:

Upon receiving a third-party assessment request from the CES, the DBS will complete form E-60, Request for a WTW Third-Party Assessment, and send the E-60 (as a cover sheet) and all other relevant forms to the third-party assessor.

Requests from Santa Barbara/South County) will be sent to the Ventura County contact.

Requests from Santa Maria and Lompoc/North County) will be sent to San Luis Obispo County contact.
CalWIN Assessment Screens

Below is a step-by-step guide on completing the following Assessment Tab Competences, Skills, Occupation Index, Barriers, Court Date/Legal Issues

Competencies Tab

Skills Tab
Occupation Index Tab

- Select appropriate occupation using the dropdown box.
- Experience dropdown box will populate accordingly.

Barrier Tab

- To add information, click the ADD icon.
After clicking the “ADD” icon the below window will appear.

Court Date/Legal Issues Tab

To add Court Date/Legal Issues - Click ADD icon.
After clicking the “ADD” icon the below window will appear.
CalWIN Assessments Screens
Employment Tab

Maintain Employment Services window - Registration Tab
Click on “Assessment” button.

The below screen will now appear
Maintain Employment Services Participation – Employment Tab

At this time, the Education Tab is not to be accessed, the completion of screens in the Education Tab requires EUM updates.

All Jobs are listed with Begin and End Dates. Double Click on selected highlighted line.
After “Double Clicking” the selected employer, the “Collect Employment History Detail” screen will now appear.

Click on the Employment Detail Button.

1st TAB to show up is the “Job” tab.
2nd Tab – Employment “Contact” Information

3rd Tab – Placement

After “Related to Activity” field is populated the “Select Activity” button is enabled.
4th Tab – FollowUp

5th Tab – Job Services
CalWIN – Invitation Letter

From Intake & Case Maintenance>Client Correspondence>double click on Print a Form/Other Correspondence manually>On the “Print a Form/Other Correspondence manually” screen complete the following fields:

- Correspondence Type: Forms
- Effective Date: Today’s date
- Case #: Enter Case number
- Program: Welfare to Work
- Individual Name: Click on drop-down button and select participants name
- Print Mode: Select Immediate
- Click “Find”

When the “Select Correspondence” box appears, enter the following:

- Correspondence #: CSF 7

The lower box of the Select Correspondence box will now populate. With the CSF 7 form highlighted, Click on the “Select” button in lower right corner. The Print a Form/Other Correspondence Manually screen will re-appear with the Correspondence # and Correspondence Name now populated.

Click on the “Extract Data” button. The “Enter Correspondence Variables” window will now appear, enter the appropriate data into the following fields:

- Appointment Time (begin time),
- Appointment Date (begin date),
- Work Office Address & Mailing Address, ensuring the correct office address is displayed,
- Man_appointment length, in hours (optional).

Close screen. You can now print the Assessment Appointment letter. Before sending the appointment letter attach the E-25/Employment Considerations Worksheet (with instructions to complete the E-25 prior to Assessment Appointment).
ADDITIONAL ASSESSMENT TOOLS

The most important tool that can be used in an assessment is a thorough face-to-face interview with the participant.

In addition, the below resources are available for your use. The basis for the below resources will be to provide you and the participant a clearer picture of what is needed for them to gain and accept a job. A summary of these tools follows.

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<thead>
<tr>
<th>Assessment Tool</th>
<th>What the Results Will Tell You</th>
<th>Why You Would Give The Test</th>
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<tbody>
<tr>
<td>CASAS (Comprehensive Adult Student Assessment Situations)</td>
<td>Basic Skills: Math, Reading and Language grade levels and percentiles</td>
<td>If you need to know basic skills, CURRENT English and literacy understanding of the participant in order to determine assigning WTW Activities (i.e. GED, ABE), target a job.</td>
</tr>
<tr>
<td><strong>English Testing</strong></td>
<td></td>
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<td><strong>Educational Functioning Levels</strong></td>
<td><strong>CASAS Level</strong></td>
<td><strong>Reading and Math Scale Score Ranges</strong></td>
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<tr>
<td></td>
<td><strong>Scale Score Ranges</strong></td>
<td><strong>Functional Writing Scale Score Ranges</strong></td>
</tr>
<tr>
<td>1 Beginning ABE Literacy</td>
<td>A 200 and below</td>
<td>136 - 200</td>
</tr>
<tr>
<td>2 Beginning Basic Education</td>
<td>B 201 - 210</td>
<td>201 - 225</td>
</tr>
<tr>
<td>3 Low Intermediate Basic Education</td>
<td>B 211 - 220</td>
<td>226 - 242</td>
</tr>
<tr>
<td>4 High Intermediate Basic Education</td>
<td>C 221 - 235</td>
<td>243 - 260</td>
</tr>
<tr>
<td>5 Low Adult Secondary Education</td>
<td>D 236 - 245</td>
<td>261 - 270</td>
</tr>
<tr>
<td>6 High Adult Secondary Education</td>
<td>E 246 and above</td>
<td>271 and above</td>
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<tr>
<td><strong>Spanish</strong></td>
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<tr>
<td><strong>Educational Functioning Levels</strong></td>
<td><strong>CASAS Level</strong></td>
<td><strong>Reading and Listening Scale Score Ranges</strong></td>
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<td></td>
<td><strong>Scale Score Ranges</strong></td>
<td><strong>Functional Writing Scale Score Ranges</strong></td>
</tr>
<tr>
<td>1 Beginning ESL Literacy</td>
<td>A 180 and below</td>
<td>N/A</td>
</tr>
<tr>
<td>2 Low Beginning ESL</td>
<td>A 181 - 190</td>
<td>136 - 145</td>
</tr>
<tr>
<td>3 High Beginning ESL</td>
<td>A 191 - 200</td>
<td>146 - 200</td>
</tr>
<tr>
<td>4 Low Intermediate ESL</td>
<td>B 201 - 210</td>
<td>201 - 225</td>
</tr>
<tr>
<td>5 High Intermediate ESL</td>
<td>B 211 - 220</td>
<td>226 - 242</td>
</tr>
<tr>
<td>6 Advanced ESL</td>
<td>C 221 - 235</td>
<td>243 - 260</td>
</tr>
<tr>
<td><strong>CAPS (Career Ability Placement Survey)</strong></td>
<td>The CAPS measures eight cognitive dimensions:</td>
<td>Likelihood of success in training - if the participant will need additional training. You would give an this test if you are evaluating what skills/occupational (work experience, or on-the-job) training to send the participant to. Example: If the</td>
</tr>
<tr>
<td>Assessment Tool</td>
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</tr>
<tr>
<td></td>
<td>1. Mechanical Reasoning,</td>
<td>participant scores high in mechanical, then there is a likelihood that they could learn to be a mechanic or repair technician - if they attended training or gained training on the job. Low mechanical aptitude would indicate that the participant would struggle in a formal training program or on-the-job training in an occupation that requires mechanical ability.</td>
</tr>
<tr>
<td></td>
<td>2. Spatial Relations,</td>
<td>Mechanical Reasoning (MR) measures how well a person can understand mechanical principles and devices and the laws of physics. This ability is especially important in courses in industrial arts and occupations in Technology as well as Science.</td>
</tr>
<tr>
<td></td>
<td>3. Verbal and</td>
<td>Spatial Relations (SR) measures how well a person can visualize or think in three dimensions and can mentally picture the position of objects from a diagram or picture. This ability is important in courses in arts and industrial arts and jobs in Science, Technology and Arts.</td>
</tr>
<tr>
<td></td>
<td>4. Numerical Reasoning,</td>
<td>Verbal Reasoning (VR) measures how well a person can reason with words and has the facility for understanding and using concepts expressed in words. This ability is important in general academic success and in jobs requiring written or oral communication, especially those Professional level occupations in Communication, Science, Business and Service involving high levels of responsibility and decision-making.</td>
</tr>
<tr>
<td></td>
<td>5. Language Usage,</td>
<td>Numerical Ability (NA) measures how well a person can reason with and use numbers and work with quantitative materials and ideas. This ability is important in school courses and jobs in the fields of Science, Service and Technology involving mathematics, chemistry, physics, or engineering and in the Business and Clerical fields.</td>
</tr>
<tr>
<td></td>
<td>6. Word Knowledge,</td>
<td>Language Usage (LU) measures how well a person can recognize and use correct grammar, punctuation and capitalization. This ability is especially important in jobs requiring written or oral communication and in Clerical jobs as well as Professional level occupations in Science, and in all levels of Business and Service.</td>
</tr>
<tr>
<td></td>
<td>7. Perceptual Speed and</td>
<td>Word Knowledge (WK) measures how well a person can understand the meaning and precise use of words. This is important in Communication and all Professional level occupations involving high levels of responsibility and decision-making.</td>
</tr>
<tr>
<td></td>
<td>Accuracy,</td>
<td>Perceptual Speed and Accuracy (PSA) measures how</td>
</tr>
<tr>
<td>Assessment Tool</td>
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<td>Why You Would Give The Test</td>
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<td>-----------------------------</td>
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<tr>
<td><em>Manual Speed and Dexterity</em> (MSD) measures how well a person can make rapid and accurate movements with their hands. This ability is important in Arts, Skilled and Technology, Skilled occupations and other jobs requiring use of the hands.</td>
<td></td>
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</tr>
<tr>
<td>COPES (Career Orientation Placement and Evaluation Survey)</td>
<td>Participant self-knowledge about their values connected to an occupational choice. Personal values play an important part in occupational selection and job satisfaction. The <em>Career Orientation Placement and Evaluation Survey</em> (COPES) provides a measure of values to supplement programs in educational and industrial career counseling. COPES scores are keyed to the 14 Career Clusters enabling examinees to discover which occupational areas match their personal values.</td>
<td>If the participant is not clear about what types of occupations will be compatible with their personal work needs satisfactions and values. (The language requirement to complete this test is about grade 7. So, if they have a basic skills challenge this test is not appropriate or useful.)</td>
</tr>
</tbody>
</table>

*(A) Investigative vs. (I) Accepting*  
Satisfying intellectual curiosity and solving complex problems are activities valued by those individuals at the *Investigative* end of this scale. Such people exhibit a strong desire for knowledge and mastery of information. In the workplace, they enjoy solving complicated problems and working with complex ideas. By contrast, people whose scores fall at the *Accepting* end of the scale value clearcut activities that do not involve too much complexity. These people prefer to follow proven workplace procedures rather than have the responsibility for developing new methods.

*(B) Practical vs. (J) Carefree*  
Interest in the details of day-to-day operations is the hallmark of people who score toward the *Practical* end of this scale. Such persons value activities that focus on maintaining equipment and developing personal abilities to maximize efficiency in the work environment. People who score toward the *Carefree* end of the scale are more likely to be concerned with the creative aspects of projects and to enjoy activities requiring imagination. They are more likely to focus on present enjoyment rather than plan for the future.

*(C) Independence vs. (K) Conformity*  
A desire to be independent from rules and social conventions is the mark of a person scoring at the *Independence* end of this scale. Such people value self-direction and prefer to work in areas where they will not be restricted by outside regulations, or much influenced by...
<table>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>social custom. Persons scoring toward the <em>Conformity</em> end of the scale prefer to work under close supervision where directions are clear and a proven method is in place. Such persons prefer structured rules.</td>
</tr>
<tr>
<td>(D) Leadership vs. (L) Supportive</td>
<td>Making decisions, directing others and speaking for the group, are the activities valued by people scoring toward the <em>Leadership</em> side of this scale. Such people prefer to play a primary role in workplace activity and enjoy being viewed as important. People scoring toward the <em>Supportive</em> end of this scale prefer to follow the lead of others and are most comfortable when they do not have the responsibility of directing or representing anyone else.</td>
<td></td>
</tr>
<tr>
<td>(E) Orderliness vs. (M) Flexibility</td>
<td>Keeping things tidy and in the proper place, are major concerns for individuals scoring at the <em>Orderliness</em> end of this scale. Such persons value activities that involve maintaining order and proceeding according to a well conceived plan. People scoring toward the <em>Flexibility</em> end of the scale prefer not to concern themselves with being orderly and enjoy being able to deal with things as needed rather than conforming to a predetermined plan.</td>
<td></td>
</tr>
<tr>
<td>(F) Recognition vs. (N) Privacy</td>
<td>To become famous and to know important people are major values of persons scoring toward the <em>Recognition</em> end of this scale. Such persons seek the admiration of others as well as the rewards of honorary degrees. Persons scoring toward the <em>Privacy</em> end of this scale value keeping their activities private and are not concerned with being considered a famous person.</td>
<td></td>
</tr>
<tr>
<td>(G) Aesthetic vs. (O) Realistic</td>
<td>Appreciation of artistic expression is of great importance to persons scoring at the <em>Aesthetic</em> end of this scale. Such persons enjoy approaching work activities with artistic and emotional sensitivity. Persons scoring toward the <em>Realistic</em> end of the scale prefer activities that do not involve artistic expression or appreciation.</td>
<td></td>
</tr>
<tr>
<td>(H) Social vs. (P) Reserved</td>
<td>Working with, and helping others are important values of persons scoring toward the <em>Social</em> end of this scale. Such people prefer to be in a friendly, social, work environment. People scoring toward the <em>Reserved</em> end of this scale prefer to work alone, concentrating on their own projects without being required to help or work with others.</td>
<td></td>
</tr>
<tr>
<td>Assessment Tool</td>
<td>What the Results Will Tell You</td>
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</tbody>
</table>
| COPS (Career Occupational Preference System Interest Inventory) | Interest Test  
The COPS Interest Inventory consists of 168 items, providing job activity interest scores related to 14 different career clusters. Each cluster corresponds to both high school and college curriculum, as well as current sources of occupational information. The COPS interpretive material emphasizes a "hands-on" approach to career exploration, featuring career and educational planning worksheets, along with a listing of suggested activities to gain experience. | If the participant is still unclear about the occupations that match their personal interests. Keep in mind that being interested in a job does not mean that there is an aptitude in that occupation, or that basic skills match the occupation, or that they have a talent for the occupation. Interest in an occupation needs several more levels of exploration before it is a true match. The grade level of the test is at grade 7. Basic skills deficient individuals may not benefit from this test. |
Essential Elements of a Successful Assessment

Assessment is a process of collecting timely, ongoing, factual information about people to use in the development and implementation of an individualized, goal oriented, and person directed Plan. Factual information about the participant will include:

- abilities,
- interests,
- work history,
- educational background, and
- any other areas relevant to the participant’s needs in order to assist in obtaining employment.

Information may come from the individual directly, from family as appropriate.

Having the assessment information available is important and is a strength based approach to assessment. Information will also identify the individual’s needs.

The Assessment is done in partnership with the participant, family, partner agencies, Social Worker (when appropriate) and CES(s) to determine the family’s needs and to discuss community resources to support the future employment goal.

When a participant is scheduled for an Assessment, CES shall consider the impact on ALL family members to ensure the participant has the support necessary to be successful in reaching the goals established through the Assessment. CES will work with participant to identify strengths and barriers and build a positive and supportive relationship.

When there is an open CWS case or referral, the assessment shall take into consideration the CWS plan activities and goal, and result in a coordinated case plan, with CWS activities as a priority.

The outcome of an Assessment is to determine an employment goal and then create a WTW plan that outlines the steps (E-22) necessary to obtaining this goal.

**Scheduling Appointments:**

Do not waste participant’s time by automatically spreading out appointments over the permitted timeline. The sooner the assessment is completed the sooner the participant can begin on the path to self-sufficiency and the sooner the participant can meet our required Work Participation outcomes.

**During the Assessment:**

Restate purpose of the Assessment with the participant – to establish an employment goal.

Discuss time limits and financial penalties.
Begin building a relationship by asking:

- what and who is important to the participant/ any heroes?
- about their children - most people are hesitant to talk about themselves, but will share about their children.
- about what their dream is - Reach for the sky! Everyone had/has a vision for their life, find out what that is and see if we can help them get close to it.

  what they do for fun.

  what is their most valued accomplishments

  Q: how did you like school? Participants answer may identify LD

Consider the individual and family strengths/barriers. Asking about the children may divulge issues that children have, ie: trouble kids, probation issues of children, etc.

When talking with participant use open-ended questions so that participant may elaborate on the answer. Keep them simple.

  o What are your dreams?
  o Who do you identify as a support?
  o What assistance do you need to accomplish your goals?

Avoiding “why” questions (they make one feel like they must defend themselves).

  Being consistent, flexible and caring.

**Summary of important elements:**

  Awareness the whole family structure from the beginning.

  Building a trusting relationship with participant/their family by being an empathic listener.

  Setting clear and reasonable expectations and goals.

  Discussing financial penalties ahead of time so participant understands his/her choices.

  Helping participant obtain childcare and transportation as needed to participate in activities.

Conduct home visits as a way of building trusting relationships (let participant know that this is not a requirement) As an option, the CES may conduct a home visit on a case-by-case situation if there are questions as to the client’s ability to participate fully in WTW.
Each CES will use his/her own style when building a relationship with a participant and each participant will have slightly different needs. The key to a good Assessment is to remaining creative and flexible to the participant's needs.

**Points to remember:**

- Getting the participant involved with WTW activities as quickly as possible
- Having a team approach – involve community partners, social workers, co-workers, family
- Inform participant about every step – make our process predictable
- Being creative, non-judgmental and sensitive
- Assessing the problem not the person
- Focusing on successes/strengths
- Identify and address barriers

**Sample:**

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Barriers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active</td>
<td>Lack of Work History</td>
</tr>
<tr>
<td>Mechanical</td>
<td>Lack of Family Support</td>
</tr>
<tr>
<td>Good w/Computers</td>
<td>Lack of reliable child care</td>
</tr>
<tr>
<td>Creative</td>
<td>Poor English skills</td>
</tr>
<tr>
<td>Assertive</td>
<td>Health</td>
</tr>
</tbody>
</table>
Interviewing and Listening skills

<table>
<thead>
<tr>
<th>Use of</th>
<th>Facilitates Communication</th>
<th>Blocks Communication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eyes</td>
<td>Frequent Eye Contact (w/o staring).</td>
<td>Looking away, avoiding eye contact.</td>
</tr>
<tr>
<td>Posture</td>
<td>Being open &amp; relaxed, leaning towards the individual, staying comfortable.</td>
<td>Being closed and tense, leaning away from the individual, keeping arms folded or legs crossed.</td>
</tr>
<tr>
<td>Distance</td>
<td>Keeping within the special comfort zones of you and the individual.</td>
<td>Being too close or too far away for the individual’s or your own comfort.</td>
</tr>
<tr>
<td>Facial Expressions</td>
<td>Smiling appropriately; looking interested &amp; attentive.</td>
<td>Looking bored or disinterested.</td>
</tr>
<tr>
<td>Speech</td>
<td>Speaking at an even tempo; in a caring tone; at a rate that is clearly and easily heard.</td>
<td>Speaking at a hurried rate; too loudly or too quietly for comfortable listening.</td>
</tr>
<tr>
<td>Hands</td>
<td>Using expressive, appropriate hand gestures.</td>
<td>Not gesturing</td>
</tr>
<tr>
<td>Head</td>
<td>Nodding appropriately to acknowledge &amp; confirm individual’s statements</td>
<td>Shaking head to disagree or show rejection.</td>
</tr>
</tbody>
</table>

Keys:
- Give the individuals your full attention
- Ask questions for clarity
- Summarize and paraphrase
- Tune into words, feelings, and body language.

Additional Hints:
- Remain Neutral – Avoid giving advice, agreeing or disagreeing, criticizing or interrupting.
- Give your complete attention, show interest, and utilize communication-continuing feedback (verbal and non-verbal).
- Take notes, if appropriate
- Analyze non-verbal, feelings and clarify that your impression is correct, state what you perceive the other feelings seem to be – that not only acknowledges them but allows for clarification if your perception/interpretation is incorrect.
- Restrict Distractions – If you cannot give the individual you complete attention, negotiate a time when you can. When you do, minimize distractions for pop-in visitors, phone calls, things on your desk, etc.
- Hold your rebuttal – listening is a time to gather information and clearly understand their viewing point, not just to see whether it agrees with your current point of view.
- Gain Verbal agreement to decision and action plans, Silence does not mean YES!
- Realize listening is hard work – it takes energy to be done properly.
- Practice regularly – it needs to be used to stay a part of your skill set.
8 - TRANSPORTATION

8.1 BACKGROUND

Supportive services shall be provided to WTW participants including SIP’s to enable them to participate in WTW activities or to accept employment opportunities. At a minimum, these services shall include child care referrals and payments, transportation costs, ancillary expenses, and personal counseling. Participation shall not be required if the needed services are not available, not arranged, or insufficient to meet the participant's needs.

Support service payments are not to be used as a supplement to a client's CalWORKs grant for household expenses, the sole purpose is to pay expenses associated with participation in assigned WTW activities.

8.2 GUIDELINES

Reasonable transportation costs shall be paid for every participant when needed for:

- travel to and from Welfare to Work activity(ies)
- travel (for both parent and children) to and from child care providers, and,
- parking fees at actual cost

Participants who obtain unsubsidized employment while participating in WTW may have all necessary transportation costs paid during the time they remain on cash aid and continue working.

A. Rates

1. WTW will pay the least costly form of public transportation that would not preclude participation in the required WTW activity.

2. If public transportation is not available, participants may use their own vehicles and shall be reimbursed at a mileage rate established by the County of Santa Barbara (see Section 11.5).

3. Reimbursement to participants who choose to use their own vehicles when public transportation is available shall not exceed the rate for the least costly available public transportation.

4. Parking for WTW participants shall be reimbursed at actual cost. Participants must submit receipts as verification, except where parking meters are used.

B. Advances

1. Payments for supportive services shall be advanced to the participant whenever necessary and desired by the participant’s, so that the participant needs not use his/her funds to pay for these services.

2. The CWD shall inform participants who receive an advance payment that unused portion of the advance may be collected. The CWD must also inform participants that receipt of subsequent advance payment is contingent upon CWD receipt of proof of costs no later
than the 10th day of the month following the month for which the advance payment was made. Participants using their own or other privately-owned vehicles shall be reimbursed at the mileage rate established by the County of Santa Barbara.

3. An unused portion of an advance payment for supportive services is that amount of the advanced payment received which is not subsequently supported by proof of costs.

4. The unused portion of an advance payment for transportation shall be collected from either:

   • **Balancing.** When an individual has both an overpayment and an underpayment of supportive services, the CES may offset one against the other.

   • **Voluntary Cash Payment.** An individual may choose to repay any portion of an existing overpayment. The individual shall be instructed to make the payment at the Treasurers Office.

   • **Grant Adjustment.** The individual shall be permitted to have supportive service overpayments adjusted from the CalWORKs grant when the individual is receiving CalWORKs, provided:

      • The individual chooses this method of recovery, and
      • The individual agrees with the amount of the CalWORKs grant adjustment.

      See AD CW WTW 08-603 for complete instructions for collection of supportive service overpayments

5. Proof of costs shall include, but is not limited to, attendance reports, receipts, provider documentation, and, if no other corroboration is available, sworn statement of individual.

C. **Notices of Action**

1. Participants shall be notified of the specific arrangements for transportation through a Notice of Action (NOA). NOA’s shall be issued for these actions and changes:

   a. Approval of transportation arrangements including the level and method of payment;

   b. Denial of requests for transportation arrangements or payments, including denial of a portion of a payment;

   c. Changes to existing transportation arrangements or payments;

   d. Collection of a transportation overpayment;

   e. Termination of transportation arrangements or payments.

2. NOA’s are not required for:

   a. Approval of one-time, short-term activities. Short-term activities include orientation, appraisal, and school field trips.
b. Issuance of payments which are equal to the amount claimed for transportation services.

8.3 POLICY

A. Reasonable transportation costs will be paid by WTW:
   1. To and from assigned WTW activity locations;
   2. To and from child care provider when child care is needed to participate;
   3. Only for transportation directly related to approved WTW participation.

EXAMPLE 1: Job Club participant goes home to Guadalupe every day for lunch. She picks up her toddler at school at 12:30 and drops the child at day care at 12:45 and returns to Job Club. There is no alternate transportation for child.

WTW does not pay for participants to go to lunch, as lunch is not a WTW activity. In this case, WTW would pay transportation from the Job Club to the child’s school; from school to day care; and from the day care to the Job Club site as these trips are necessary for the client to participate in the afternoon Job Club. The participant should be referred to Children’s Resource & Referral to work out long term child care where transportation will not be a problem.

EXAMPLE 2: Participant goes to San Diego to visit sister. Puts in applications at four San Diego businesses while there and charges whole trip on E-81. As San Diego is outside the normal commute labor market and the applications could have been obtained and returned by mail, WTW will not pay for the trip. HOWEVER, should the client get an interview as a result of the applications and requests approval for the trip in advance from the WTW worker, WTW could pay for the trip to the interview if the client will relocate to take the job.

B. When no transportation is available, it is good cause for non-participation if transportation alternatives will not be available for an extended period of time. An assignment, job referral, job offer, or job is not considered appropriate for work or training if it requires travel between the place of employment or training and one’s home that exceeds a total of two hours round trip, or two miles round trip when walking is the only available means of transportation, or requires the individual to remain away from home overnight without his/her consent. The limit on travel time and mileage excludes transportation time/mileage to take family members to and from school or care providers.

C. WTW Staff shall assist participants in arranging for transportation including for his/her children to attend child care when needed. Under no circumstances is the WTW staff to arrange ride-sharing among participants. WTW may pay for ride-sharing when the participants make such arrangements for themselves.
D. In the case where a child care provider include transportation to and from school as part of their child care rate, transportation is fully covered by the child care payment, up to the RMR ceiling. However, if the provider charges a separate transportation fee outside the child care rate, then the child care payment would not cover such transportation fee. If the WTW case manager determines that the child’s transportation is necessary for the parent to stay employed and/or to participate in their assigned WTW activities. The transportation provided by the child care provider may be reimbursed as a Transportation reimbursement payment.

E. WTW will pay for the least costly form of public transportation that would not preclude participation. If there is no public transportation, participants who use their own vehicles are paid at the mileage rate, (Section 11.5).

F. In general, public transportation should be considered available if it is within six blocks (approximately one mile) of the client's residence.

G. If a participant chooses to use his/her own vehicle when public transportation is available, s/he will be paid at the mileage rate in effect when the travel occurs or at the public transportation rate, whichever is less.

H. WTW cannot pay separately for expenses associated with the use of a client's vehicle such as auto maintenance, repairs or insurance. The mileage rate incorporates prorated standards to cover these expenses in addition to fuel.

I. Parking fees are to be paid at actual cost.

J. Reasonable ride share charges can be paid at actual rate if the actual rate is less than or equal to either the rate of available public transportation or the mileage rate.

K. Bus tokens/punch passes will be purchased by WTW and made available in advance for client transportation to and from the WTW activity site and for transportation of client and children to and from child care.

L. When clients are required to travel long distances to a component site on a regular basis and paying out of pocket would be an undue hardship on the client's family, the client may be put on a regular advance payment schedule. Advances, except for bus tokens/passes, shall be limited to the amount required for two weeks of transportation to and from the component site and any needed child care. Any exceptions require supervisory approval.

M. Attendance and mileage documentation must be submitted to verify expenses no later than 10 days after the end of the period for which an advance was intended, this includes advances of bus tokens or passes. All unverified or unused portions of an advance become overpayments and will be collected in accordance with AD CW WTW 08-603.

N. Participants who are in approved on-the-job training, grant based on-the-job training, supported work, or transitional employment assignments and who continue to receive a CalWORKs grant will be eligible for transportation expense payments.

O. Notwithstanding any other provision of welfare-to-work activities, any participant in on-the-job training who becomes ineligible for CalWORKs due to earned income, hours worked, or loss of income disregards, will remain a participant in the program under welfare-to-work activities for the duration of the on-the-job training assignment and will be eligible for supportive services for
the duration of the on-the-job training provided this duration does not exceed the time limits otherwise applicable to the recipient.

Notwithstanding any other provision of welfare-to-work activities, any participant in on-the-job training, grant-based on-the-job training, supported work, or transitional employment who remains eligible for aid, will be eligible for transportation expenses as specified in this section.

8.4 PROCEDURES

A. Identify Transportation Needs

1. Notify all clients of the availability of WTW payment for transportation needed to attend WTW components.

Notify clients:

a. During Appraisal - be sure clients are aware that WTW payment may be available for transportation needed to attend WTW orientation. (Recipient’s Only).

b. During Appraisal – When cash assistance is granted and the client is mandated to attend WTW, the appraiser will discuss potential component sites and transportation plans with the client, along with discussing the availability of public transportation and payment rates, including transportation arrangements for children to and from school and any needed child care.

c. When signing all Activity Agreements - Discuss activity site, availability of public transportation, travel time, and mileage to and from participant's home if they choose to use their own car (Section 11.2 A.2).

2. When there is no available transportation or the client has extenuating circumstances that prohibit the use of the available transportation, the client may have good cause from participation until usable transportation becomes available.

3. When public transportation is available and a participant chooses to use his/her own vehicle, compare the cost for mileage to the component site with the cost of the public transportation. The WTW payment rate will be the lesser of the two.

B. Transportation Types/Descriptions:

1. For all Transportation payments: mileage, bus pass, parking permit, bus pass reimbursements, etc., always choose Transportation as the Supportive Service Type.

2. See chart below for the correct supportive service Descriptions based on the type of transportation.
### TRANSPORTATION

<table>
<thead>
<tr>
<th>PAYMENT TYPE</th>
<th>SUPPORTIVE SERVICE &quot;TYPE&quot;</th>
<th>SUPPORTIVE SERVICE &quot;DESCRIPTION&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mileage Advances</td>
<td>Transportation</td>
<td>Mileage</td>
</tr>
<tr>
<td>Mileage Reimbursement</td>
<td>Transportation</td>
<td>Mileage</td>
</tr>
<tr>
<td>Bus Pass Advances</td>
<td>Transportation</td>
<td>Bus Pass</td>
</tr>
<tr>
<td>Bus Pass Reimbursement</td>
<td>Transportation</td>
<td>Bus Pass</td>
</tr>
<tr>
<td>Bus Pass OFFICE Issuance</td>
<td>Transportation</td>
<td>Bus Pass</td>
</tr>
<tr>
<td>Bus Tokens OFFICE Issuance</td>
<td>Transportation</td>
<td>Bus Tokens</td>
</tr>
<tr>
<td>Parking Fee</td>
<td>Transportation</td>
<td>Other Approved Transportation</td>
</tr>
</tbody>
</table>

### C. Authorizing Transportation

1. **Bus Tokens/Passes**

   Bus tokens or passes may be advanced to clients who will be using the public bus as transportation. Include tokens and passes for children if needed for transportation to child care. Attendance as reported by the component provider or on the E-83, Certification of Participation, is used to verify bus expenses.

   a. Determine the number of trips and the fare amount required for the participant to attend the component during the payment frequency.

      (1) For components of less than a month, or ending within the month allow enough tokens or punch pass amount for the days of the component. Add enough additional rides so that the client may come in to discuss the next WTW component.

2. For components lasting longer than one month, determine the token or pass amount for a months worth of attendance. Add enough additional rides so that client may come in for the next months supply. Tokens and Passes may be mailed.

### D. Assign Transportation Services

1. Click **Employment Services Participation** on the **Navigate CalWIN** window.
   
   * Double-click the **Employment Services** heading in the "Action" group box.
Select the **Maintain Employment Services Participation** window from the expanded tree view in the "Action" group box.

- Enter the participant's SSN and click **[Open]**.
- The **Maintain Individual's Employment Services Participation** window appears displaying all Employment Services programs for which the participant was evaluated.
- Double-click the appropriate row to select the program (WTW) you wish to update.

2. The **Maintain Employment Services Participation** window appears with the **Registration** tab displayed.

   **NOTE:** You will be able to view the status of the individual’s associated primary and secondary eligibility programs on this tab. If they are both discontinued (or if there is only one eligibility program and it is discontinued) and you attempt to assign or authorize supportive services, you will get a warning message asking if you want to continue.

3. Click the **Activity** tab.

4. Enter the **Planned Start From** date and the **Planned End Through** date and click **[Search]** to search for existing activities.

   - Any existing activities to which the participant has been referred will display in the "Search Results" group box.

5. Double-click the activity for which transportation is required. The **Maintain Participant Activity** response window appears with the **Activity** tab displayed.

6. Click the **Supportive Services** tab.

   **NOTE:** In order to avoid duplicate assignment of supportive services, a search for existing supportive service assignments is made prior to assigning new services.

   - Select **Transportation** from the **Type** drop down field.
   - Enter the **Begin Date** and the **End Date** of the time period you wish to search.
   - Click **[Search]**. All existing transportation assignments will be displayed in the "Search Results" group box.

7. Click **[Add Transportation]**. The **Assign Transportation Supportive Service** response window appears.

8. Select the type (i.e. mileage, Buss Pass) of transportation that is being assigned from the **Supportive Service Description** drop down field.

9. If the transportation service is to be furnished by a provider, click **[Find]** in the "Provider" group box. The **Search for Supportive Services Provider** response window appears. Locate the provider and **[Select]**

   - You return to the **Assign Transportation Supportive Service** response window.

10. Select the **Pay To** individual from the drop down field.

11. Select the **Payment Handling** type from the drop down field.
NOTE: If you do not select a Payment Handling type, the supportive service NOA will not generate.

12. Select the Issuance Type and Frequency from the drop down fields.

13. Enter the Begin Date, End Date, Quantity, and select the Unit from the drop down field.

14. Enter the Rate. The system will compute and populate the Amount field.

NOTE: If the Unit type selected is "Mileage", the Rate field will be disabled and you will select the appropriate rate from the Mileage Rate drop down field.

15. Enter the Number of Children (if applicable) and any necessary Notes.

16. Click Save on the toolbar. The Status field will become enabled.

17. Change the Status to Approved by selecting the value from the drop down field.

NOTE: The Status field will initially have defaulted to "Pending". Change the status to "Approved", and Save.

18. Select the Category from the drop down field.

19. Click Save on the toolbar and close the window. You return to the Maintain Participant Activity window.

NOTE: The appropriate supportive services NOA will be automatically generated by the system when the status is updated to "Approved". Send Transportation NOA to the participant.

E. To request disbursement of tokens, punch passes or money to recharge Debit Card for the payment frequency, complete the E-80, Payment Authorization.

(1) Complete the client information in the upper right. If passes or check are to be mailed, complete the address information.

(2) List the total dollar amount of the passes/tokens to be issued. LIST THE COMPONENT.

(3) Mark to indicate that the payment is for transportation, and bus pass/tokens, or cash.

(4) Under ITEMS state the number of passes, tokens or days worth of rides that are to be issued or purchased and the amount per pass/token/day. Example: “20 bus tokens at $.50 each for 3/31/98 - 4/15/98.”

(5) The AMOUNT is the total amount requested for each item.

(6) Sign and date.

(7) Scan into Doc.Star (Supportive Services Folder).

(8) After scanning is complete send the original to the Fiscal.
F. To authorize purchase of monthly bus pass, complete the E-82, Vendor Authorization.

1. Complete the client information in the upper right. LIST THE COMPONENT.
2. Complete Vendor information including Provider Number.
3. Under ITEMS list the month for which the pass is authorized. Example: "Monthly student pass for May 1998."
4. The AMOUNT is the total cost of the monthly pass.
5. Sign and date.
6. Scan into Doc.Star (Supportive Services Folder).
7. Give the original to the participant.
8. Instruct the participant to take the E-82 to the Vendor and use to purchase bus pass.
9. A new E-82 is issued for each month a pass is needed.

a. Verification of usage.

1. When a participant is in a component or at a site where attendance is monitored (for WTW by the component provider), use the provider attendance records to verify usage for bus passes or tokens.
2. For participants who are in components or at sites where not all participation is recorded or returned to WTW by the provider, send the participant a E-83, Certification of Participation, to complete monthly. Verify usage of bus pass or tokens from client certification of attendance.
3. Usage of bus pass or tokens that is not verified is considered to be an unused portion of an advance and is considered an overpayment.
4. When a participant is issued cash or check to recharge a Debit Card, inform the client to request a receipt for the purchase. If a receipt from the bus company is not received by WTW within 10 days to verify the purchase, the payment is an overpayment.

G. Participant Car expenses reimbursed as mileage or public transportation rate.

Participants who choose to use their own car as transportation may be reimbursed at the lesser of the mileage rate or the public transportation rate if public transportation is available. The mileage rate reimbursement amount is outlined in section 11.5 (Transportation Payment Rates).
A. Determine whether the participant is eligible to mileage or public transportation rate.

(1) Have participant estimate the number of miles between the component site and the participant's residence. Include mileage to and from child care if needed. Multiply the estimated mileage times the mileage rate. (See section 11.5).

(2) Determine if public transportation is available.

(a) If it is available, determine the payment rate for one round trip between the component site and the participant's residence. If needed, include payment for any transportation to child care.

(b) If public transportation is not available, use mileage rate only and skip step (3) below.

(3) Compare the total dollar amount at the public transportation rate to the total dollar amount for the number of estimated miles.

(a) If the public transportation amount is **LESS** than the mileage amount, WTW will pay at the public transportation rate.

(b) If the public transportation amount is **MORE** than the mileage amount, WTW will pay at the mileage rate.

B. Follow assigned Transportation Services instructions (Section 11.4c)

- Send Transportation Approval Notice to the client.

H. To request reimbursement for use of own vehicle the participant must complete and return the E-81, Mileage Record.

(1) Be sure that the participant understands that they must record the mileage for each day they participate. Explain to the participant how to use the odometer on the car to determine the exact mileage for each trip to a WTW activity site. Participants must record the exact mileage even though they are being paid at the public transportation rate.

(2) At the beginning of each payment period, give or send a E-81, Mileage Record to the client.

(3) When the E-81 is returned, the CES must review to verify that the client listed only days of WTW participation and that the mileage claimed appears accurate based on the participant's residence, the child care site, and the assigned WTW activity (mileage may be verified by Google Maps, but not scanned into docStar).

(4) Check that the TO and FROM addresses are listed clearly. When trips to multiple sites are made in the same day such as during job search, a separate sheet may be attached to the E-81 that lists each address for that day. When mileage is between the same sites for several days, the client may list the addresses once and then use ditto marks or
other indicators that refer back to the addresses for the other days. If the address is a generally known community facility, the name of the facility will be enough (i.e. AHC, SBCC, Lompoc High School, etc.).

(5) The CES signs and dates the E-81, complete the CalWIN Approval for Supportive Services screen (Section 11.4c) and routes E-81 to Fiscal for authorization of payment.

I. To request an advance for transportation expenses, whether authorized for an emergency or on an ongoing basis, use an E-80.

   (1) Complete the participant information in the upper right. If a check is to be mailed, complete the address information.

   (2) List the total dollar amount to be advanced. LIST THE COMPONENT.

   (3) Mark to indicate that the payment is for transportation. If cash is requested, indicate here.

   (4) Under ITEMS state that the payment is an advance and the dates advance is intended to cover.

      (a) If participant is paid mileage, list the number of miles to be covered by the advance and multiply by the mileage rate. Example: "Advance for mileage 1/1/98 - 1/15/98. 130 miles x mileage rate".

      (b) If participant is paid at the public transportation rate, list the number of days of participation covered by the advance and the public transportation rate per day. Example: "Advance for 1/1/98 - 1/15/98 at public transportation rate. 6 days x $1.80."

      (c) The AMOUNT is the total amount requested for the advance.

      (d) Participants must complete and return a E-81, Mileage Record. The E-81 is matched to WTW participation, to verify expenses for the advance.

   That portion of an advance that is not verified is considered to be an overpayment.

J. Ride Share

When a participant must pay to drive a vehicle that does not belong to them or to ride in a vehicle belonging to another, WTW may pay reasonable charges. Attendance as reported by the component provider or on the E-83, Certification of Participation, is used to verify what days of approvable transportation. A statement or receipt from the owner/driver must also be provided before transportation payment is issued.
Payments may be made to the participant or directly to the provider. If the provider is to be paid directly, they must be registered in CalWIN as a transportation provider.

Reasonable charges are defined as the lesser of: (1) the actual; (2) the payment at the mileage rate that would have been paid if the client was using his/her own car; or (3) the public transportation rate, if available.

1. Determine the rate frequency of the actual charges. Usually this will be daily or weekly.

2. Have participant estimate the number of miles between the component site and the participant's residence. Include mileage to and from child care if needed. Multiply the estimated mileage for the rate frequency of the actual charges times the current mileage rate.

3. Determine if public transportation is available.
   a. If public transportation is not available, skip step (4) below and WTW will pay the lessor of the mileage rate or the actual charges.
   b. If it is available, determine the rate for one round trip between the component site and the participant's residence. Include payment for children to and from child care if needed. Multiply cost of one round trip by the number of round trips during the rate frequency.

4. Compare the total dollar amount for the actual rate frequency at the public transportation rate to the total dollar amount for the number of estimated miles during the actual rate frequency.
   a. If the public transportation amount is LESS than the mileage amount, compare the public transportation rate to the actual charges, WTW will pay at whichever rate is less.
   b. If the public transportation amount is MORE than the mileage amount, compare the mileage amount to the actual charges, WTW will pay at whichever rate is less.

**EXAMPLES:** Client A is charged $7.20 per week. The estimated mileage is 5 miles and the client attends 4 days a week. Bus is available at $1.80 round trip. Using a mileage rate of $.30 per mile the calculations are as follows:

Actual charges are by the week so mileage and public transportation rates must be converted to weekly.

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mileage</td>
<td>5 mi/da x 4 da/wk x $.30/mi</td>
<td>$6.00/wk</td>
</tr>
<tr>
<td>Bus</td>
<td>4 da/wk x $1.80/da</td>
<td>$7.20/wk</td>
</tr>
</tbody>
</table>

The mileage rate per week is less than the bus rate per week, so the mileage rate is compared to the actual charges. Because the mileage rate of $6.00/wk is less than the actual charges of $7.20/wk, client A will be paid at no more than $6.00/week.
Client B is charged $11.00 every two weeks. The estimated mileage is 6 miles round trip and client attends 5 days a week. Public Transportation is not available. Using a mileage rate of $.30 per mile the calculations are:

\[
\text{Mileage: } 6 \text{ mi/da} \times 5 \text{ da/wk} \times 2 \text{ wks} \times \$.30 = \$18.00
\]

As $18.00 per 2 weeks is more than the actual charges of $11.00 per 2 weeks, WTW will pay at the rate actually charged.

A. To request ride share payment for the payment frequency, complete the E-80, Payment Authorization.

1. Complete the client information in the upper right.

2. If payment is to be mailed to provider, complete the address information and list the Provider Number.

3. List the total dollar amount to be issued. LIST THE COMPONENT.

4. Mark to indicate that the payment is for transportation, and mark either Reimburse registrant or Vender (provider) payment. Make a special note if the payment is being advanced.

5. Under ITEMS state that the payment is for ride share, the time period the payment is to cover and the calculations to arrive at the payment amount. Example: "Ride share payment for 3/1/98 - 3/30/98. 15 days x $2.00 a day = $30.00."

6. The AMOUNT is the total amount requested.

B. Verification

1. When the payment is made to the participant, a receipt for payment showing the days covered, the amount paid and signed by the provider of services must be returned as verification.

2. When payment is being made to the provider, a statement of the days transportation was provided and the amount owed must be signed by the provider and submitted for payment. If the E-81 is used, the provider must also sign.

3. Ride share payments that are not verified by the ride provider and an attendance statement are considered to be an unused portion of an advance and are considered overpayments.

K. Parking Fees
Parking fees may be paid as needed for participants to attend in WTW activities. The client must provide verification of the amount of the parking fee. Parking fees can be paid for clients who drive their own vehicle or a vehicle belonging to someone else.

Parking fees cannot be paid by WTW even when incurred as a result of attendance at a WTW activity.

NOTE: Parking fees cannot be paid for clients who ride share unless the fees are only incurred due to WTW participation.

Example 1: Participant car pools to AHC with a non-WTW driver. The non-WTW person would need to pay parking fees anyway so WTW does not pay a separate parking fee for the participant.

Example 2: Participant's sister drives client to apply for a job and must pay to park in a lot while client gets an application. Since the fee is tied directly to the WTW participation, WTW will pay the fee.

(a) Payments may be made to the participant or directly to the provider. If the provider is to be paid directly, they must be registered in CalWIN as a transportation provider.

(b) If the parking fee will be a regular payment during the component, include that information when authorizing the transportation payments. A separate Transportation Approval NOA does not need to be issued, just mark the statement on the letter that "Parking has been approved" and fill in the amount and the frequency of payment.

(c) Parking fees that result from one-time, short-term activities do not require an approval letter. (An example would be parking fees to take one day of the GED tests when no parking fees are needed to attend the GED classes.)

1. **Paid to provider, complete a E-82, Vendor Authorization. Provider must be registered in CalWIN.**

   (a) Complete the Participant information in the upper right. BE SURE TO LIST THE COMPONENT. Write the Provider Number above the client's name.

   (b) Complete the address information with the provider's name and address.

   (c) Under ITEMS state that the payment is for parking fees and the time period the payment is to cover. Example: "Parking fees for Fall '98 Semester."

   (d) The AMOUNT is the total amount to be paid on this billing.

   (e) Instruct the client to take the original copy to the provider.

   (f) The provider will issue the parking permit to the participant and then use the E-82 to bill WTW.

2. **Verification**
(a) The provider signature on the E-82 is sufficient verification when the payment is made directly to the provider.

(b) A receipt must be provided for parking lot charges prior to reimbursement being issued.

(c) If payment was made in advance for a parking lot, a receipt must be provided within ten days of the service or the payment will be considered an unused portion of an advance and may be deducted from a future ancillary or transportation payment.

(d) When a receipt is not available, as from parking meter use, client may provide a written statement under penalty of perjury as verification.

(e) Attendance at the WTW activity that required paid parking must also be verified. Any days parking charges that are paid (as an advance) and are not verified by attendance are considered an overpayment.

L. Denial of Transportation Payment

1. Participants must receive notification of denial whenever:
   a. They have requested transportation support services and are not eligible to receive them.
   b. They have requested an increase in the currently authorized maximum payment level and are not eligible to the increase. A mileage report which claims more mileage than authorized is considered a request for an increase. If the higher rate of mileage cannot be authorized, denial notification must be sent.

2. Document the request and reason for denial in case comments.

3. To record denial in CalWin see Procedural Help: Deny Transportation Services.

M. Changes to Authorized Transportation

Notice must be sent to the participant when there is a change in:

- The method of transportation payment, such as a change from advance to reimbursement or from bus passes to cash.

- The authorized method of transportation changes, such as when the participant's car breaks down and s/he begins taking the bus.

- The maximum authorized payment level changes, such as when there is a change in the mileage rate.

Notice must be sent whether the change was initiated by the participant or by the county.

1. Send written notification of the change to the participant.
a. When the change is an increase or no change in the maximum authorized payment, the NOA does not need to be timely.

b. WHEN THE CHANGE RESULTS IN A **DECREASE** IN THE MAXIMUM PAYMENT LEVEL, THE CHANGE REQUIRES 10 DAY NOTICE. (i.e. mileage rate)

Notification must be sent regardless of the reason for denial of supportive services payments. The most common reasons are that the participant:

a. is not registered/not a volunteer;
b. is not eligible due to discontinuance from CalWORKs;
c. completes the WTW activity earlier than expected;
d. stops participating due to good cause;
e. is sanctioned;
f. no longer needs transportation payment.

2. Send notification to client.

a. Follow “Print a NOA Manually” instructions to locate the appropriate NOA.

N. **Discontinuance of Payment for Transportation**

Notification must be sent any time transportation support service payments will be stopped before the end of the previously authorized end date.

1. Notification must be sent regardless of the reason for stopping the payments. The most common reasons are that the participant:

a. is deregistered;
b. is discontinued from CalWORKs;
c. completes the WTW activity earlier than expected;
d. stops participating due to good cause;
e. is sanctioned;
f. no longer needs transportation payment.

2. Discontinuance notices must ALWAYS meet 10 day timely notice requirements.

3. Send notification to client.

a. Follow “Print a NOA Manually” instructions to locate the appropriate NOA.

O. **Reminder of Authorization End**

A client must receive a reminder that the transportation authorization period is ending. This reminder must be no more than 30 days and no less than 10 days prior to the end of the authorized period. The reminder may be made:
1. In person during a meeting with the client and documented in the case record.

2. By phone and documented in the case record.

3. By marking the informing line on an Approval notice or Change notice that is sent within 30 days of the authorized end date of services.


P. Extension Beyond Previous End Date for Same Component

When the participant will remain eligible to transportation payments beyond the previously authorized end date, notification must be sent even if there are NO CHANGES in the authorized services. (If there are changes, see section 11.3, D above).

1. Notify participant
   a. Request and complete the Extension of Support Services notice, NOA 313 batch or 363 on-line. This is a combined NOA for transportation and child care but is sent to extend one or both. This notice does not need to meet 10 day notice requirements. Only mark and complete those areas which pertain to the participant's situation.

8.5 TRANSPORTATION PAYMENT RATES

A. Mileage rate

Effective 3/1/13 the mileage rate is $.35 per mile (previous rate was $.34).

Participants using their own or other privately-owned vehicles shall be reimbursed at the mileage rate established by the County of Santa Barbara.

NOTE: Vehicle maintenance includes all routine maintenance and inspection, such as oil change/maintenance, routine transmission service, tune-up, spark plug inspection and replacement, tire rotation/maintenance, alignments, inspection and replacement of belts and hoses, batteries, inspection and replacement of vehicle lubricants and fluids, inspection and replacement of filters, brake inspections, routine brake services, smog checks, other vehicle inspections, and any scheduled services listed in the owner's manual of a particular vehicle's year, make, and model.

Mileage Reimbursement

Mileage Reimbursement rate for CalWORKs Welfare-to-Work Participants
This review was completed per instructions in ACL 08-41 and ACL 03-15 stating that counties must review the reimbursement rate used for CalWORKs participants' transportation expenses no less than once a year.

All estimates are based on **AAA 2012 Edition of Your Driving Costs.** Medium size vehicle @ 15,000 miles driven per year:

Operating Costs: 24.54 cents per mile  
Ownership Costs: 10.74 cents per mile  

**Total cost:** $35.25 cents per mile

<table>
<thead>
<tr>
<th>Component</th>
<th>Cents Per Mile</th>
<th>Estimate: 15,000 miles driven per year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gasoline</td>
<td>19.07</td>
<td>Regional Gas Average = $4.10</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(as reported on AAA Fuel Gauge Report) used for calculation; AAA methodology used average of $3.35 per gallon which isn't adequate to estimate for Santa Barbara County.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cents per mile calculation: $4.10/21.5 mpg* = 19.07 cents per mile</td>
</tr>
<tr>
<td></td>
<td></td>
<td>*based on U.S. Environmental Protection Agency average in-use fuel economy for passenger cars.</td>
</tr>
<tr>
<td>Tires</td>
<td>1.00</td>
<td>Costs are based on the price of one set of replacement tires of the same quality, size and rating as those that came with the vehicle.</td>
</tr>
<tr>
<td>Maintenance</td>
<td>4.47</td>
<td>Costs include retail parts and labor for normal, routine maintenance as specified by the vehicle manufacturer.</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>24.54 cents per mile</strong></td>
<td></td>
</tr>
</tbody>
</table>
B. Public Transportation rates:

1. Santa Barbara
   
   (1) General Public: $1.75 one way, 10 ride $11.50
   (2) Student Rate: $1.75 one way, 10 ride $8.25
   (3) Unlimited Thirty-Day Pass: Thirty day count begins the day bus pass is first used, not valid on Downtown-Waterfront Shuttles or on the Commuter Lot Shuttle. 30-Day passes are not transferable and transfers are not available with this pass.
   
   General: $52.00
   Student: $42.00

   (4) Student fees include the cost of an MTD pass: UCSB, SBCC & Brooks Institute Students must show registration card with a sticker.

2. Lompoc
   
   (1) $1.25 per ride within city limits, $2.00 outside (Vandenberg Village/Mission Hills).
   (2) Ten-ride bus pass: $11.25 in the city, $ 18.00 outside, (Vandenberg Village/Mission Hills).
   (3) Unlimited Thirty-Day pass: (Thirty day count begins the day bus pass is first used)
   (4) General: $40.00, $60.00 outside, (Vandenberg Village/Mission Hills).
   (5) Student: $30.00, $45.00 outside, (Vandenberg Village/Mission Hills).

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### Ownership Costs

<table>
<thead>
<tr>
<th>Component</th>
<th>Cost per Year</th>
<th>Estimate: 15,000 miles driven per year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration, License and taxes</td>
<td>$610</td>
<td>Costs include all governmental taxes and fees payable at the time of purchase, as well as fees due each year to keep the vehicle licensed and registered. Costs are computed on a national average basis.</td>
</tr>
<tr>
<td>Insurance</td>
<td>$1001</td>
<td>AAA based its insurance costs on a full-coverage policy.</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1611</strong></td>
<td><strong>$1611 divided by 15,000 = 10.74 cents per mile</strong></td>
</tr>
</tbody>
</table>
3. Santa Maria

a. Fares

   (1) General Public: $1.25 (Breeze $2.00)
   (2) Student (with ID): $1.00 (Breeze $2.00)
   (3) Under 6 years old: up to 3 children ride free with a paying adult. Additional children under 6 must pay $1.00 for a one-way trip, based on height.

b. Zone fare applies between Santa Maria and Orcutt with McCoy Lane as boundary.

c. Unlimited Thirty-Day Pass:
   (Thirty day count begins the day bus pass is first used)

   General: $40.00
   Student: $25.00
9. ANCILLARY

9.1 BACKGROUND

Ancillary expenses shall be provided to recipients (participants) of CalWORKs participating in WTW activities when the services are necessary to participate in WTW activities or to accept employment opportunities. Ancillary expenses are any costs associated with WTW participation that are not covered by childcare or transportation support services.

These expenses include the cost of:

- books,
- tools, and
- clothing specifically required for the job, fees, and other necessary costs.

Participation in WTW shall not be required if the needed services are not available, not arranged, or not sufficient to meet the participant's needs.

9.2 REGULATIONS

Ancillary expenses shall be paid when necessary to participate in approved WTW activities or to accept employment opportunities. These expenses shall include books, tools, clothing, fees and other necessary costs of a work, education or training assignment.

A. Notices of Action

Participants shall be notified of the specific arrangements for ancillary payments through a Notice of Action (NOA). NOAs shall be issued for these actions:

1. Approval of payment or reimbursement for ancillary items including the amount and method of payment.

2. Denial of requests for payment of ancillary items, including denial of a portion of a payment.

3. Collection of an ancillary overpayment.

9.3 POLICY

A. Advances

1. Payments for supportive services other than childcare shall be advanced when requested and deemed necessary to avoid the participant having to use his/her own funds. Checks shall be issued to the vendor rather than the participant whenever possible (W-9 must be on file). **Advances to the participant shall be kept at a minimum and used only when a check cannot be issued to the vendor.** Advancements require supervisory approval.

2. The Career Employment Specialist (CES) shall inform participants that advance payments will only be issued to vendors who have provided the initial proof of cost (estimate). If the participant uses a vendor who did not provide the initial...
estimate, and payment (cost of item) is less than the advance amount issued, when providing the payment receipt the participant is expected to return the remaining balance amount.

3. The Career Employment Specialist (CES) shall inform participants who receive an advance payment that the unused portion of the advance may be collected from future support service payments (See CW AD 08-603 for Overpayment Collection procedures). The CES must also inform participants that receipt of subsequent advance payment is contingent upon receipt of proof of costs no later than the 10th day of the month following the month for which the advance payment was made.

4. An unused portion of an advance payment for supportive services is that amount of the advanced payment received which is not subsequently supported by proof of costs.

5. The unused portion of an advance payment for ancillary shall be collected from either:

   a. Transportation or ancillary reimbursements for the month following the month for which the advance payment was made; or

   b. Subsequent transportation or ancillary advances for the second month following the month for which the unused advance was made.

Review CW AD 08-603 for overpayment collection policy and procedures.

6. Proof of cost (advances only) shall include, but are not limited to, attendance reports, original receipts, provider documentation and, if no other corroboration is available, sworn statement of individual (for advances only).

b. Estimates for advance payment shall contain the following:

   • Vendor information;
     o Name of business,
     o Location,
     o Phone number,
     o Business license (preferred)
   • Name of participant,
   • Line by line itemized listing to include but not limited to:
     o Shoes,
     o Shirts.
     o Parts,
     o Labor, (Note: Labor is not taxable),
     o Services.

   NOTE: Any missing information will be returned to the CES for completion and will delay payment to the participant/vendor.

B. Reasonable costs of ancillary items or fees **required** for a participant **to participate** in a WTW activity or accept employment will be paid by WTW if they are not available from another source. However, ancillary costs for employed or **SIP applicants** shall not be
approved until the CalWORKs application is granted. The expenses may be paid back to the beginning date of aid if the applicant was participating in WTW at the time. Factors to consider in the “reasonableness” of an ancillary cost are:

1. The average cost of similar items that would adequately meet the defined need.  
2. The appropriateness of the cost of the item in relation to the benefit to the WTW program objectives and the use of public funds.

C. All ancillary expenses must be approved by a CES prior to purchase. Exceptions must be authorized by the supervisor (see F and G below).

D. When a required ancillary item or fee is not available from another source and cannot or is not paid by WTW, it is good cause for non-participation in the activity or failure to accept an offered employment.

E. The CES has the responsibility to review the items purchased for appropriateness to need for which they were purchased.

F. Ancillary costs of $200.00 or more must be approved by the supervisor, with the exception of textbooks. Because the cost of textbooks is almost always more than $200.00 and there are numerous requests at the beginning of each semester, this exception will allow the approval of “books only” payments without supervisory approval.

G. Once the participant has spent an accumulated total of $450 on ancillary items, all further ancillary payments must be approved by the supervisor.

H. Participants may purchase needed items from any source. Items purchased from providers who do not have billing agreements with WTW will be paid by check made out to the provider or by reimbursement of actual payments made by the participant. If a provider is new to the CalWIN Program/Provider Maintenance subsystem follow the established process for adding a new provider to CalWIN.

I. Ancillary items may be purchased for a participant to begin a bona-fide self employment, but only those items required to meet the first month business expenses or the needs of jobs already lined up. Some factors to consider in determining if self-employment effort is “bona-fide”:

1. Does the participant have skills and experience to do this type of work?  
2. Does the participant have jobs/participants already lined up? 
3. Is the participant knowledgeable in matters related to bookkeeping, permits, fees, taxes, etc. needed to start and maintain a business effort? 
4. Has this participant displayed work habits and attitudes during WTW participation that are appropriate to self-directed employment?

J. Ancillary payments are only available for a recipient of aid under CalWORKs not participating in WTW if the recipient is employed, and:

1. Who has obtained unsubsidized employment of at least 30 hours per week that is expected to last at least 30 days and pays at least minimum wage.
2. Who have no other source(s) to provide the item and the participant would otherwise lose the employment.

3. Who provided verification from the employer stating the item is mandatory for obtaining or keeping the employment.

K. Ancillary items required to accept employment may be purchased only for participant’s who have attended Orientation.

L. A request for ancillary payments may be in writing or verbal. Verification of need for the item must be in writing. Participant’s statement and WTW staff observation may be used to verify the need for non-specialized interview or work clothing.

M. Purchase of clothing needed for active job search is limited to one outfit. Clothing needed to accept employment is limited to one additional outfit. If no interview outfit was purchased or if the employment requires specialized clothing that was not part of the interview outfit, two outfits may be purchased at the time of

Example 1. Participant attends job club and wears a variety of clean, modest skirts, blouses, dresses and slacks. Participant has interview and requests clothing. No WTW-purchased outfit is needed as participant has appropriate clothing. Participant gets job and employee handbook states they must wear orange tops and black skirts or pants. Participant has two black skirts but no orange blouses. WTW may authorize purchase of two orange blouses.

Example 2. Participant only has jeans, shorts, tank tops, sports bras, cocktail dresses, 4” heels and sandals in wardrobe. She has an interview scheduled for medical receptionist and requests clothing. WTW may purchase one complete appropriate outfit, including a bra, a pair of hose and shoes. Participant gets job as medical receptionist which requires white uniform, white shoes and white hose. WTW may purchase two uniforms, two pair of white hose and another bra. Since the same shoes can be used every day, only one pair of shoes is needed. If the shoes purchased with the interview outfit were not white, a white pair could be purchased.

Example 3. Participant has jeans, shorts and t-shirts in wardrobe. He is assigned to GED and requests clothing. There is no special or standard clothing required for GED attendance and the CalWORKs grant is to be used to cover normal clothing purchases, so WTW will deny request.

N. Ancillary items purchased for participants to accept employment who are between components or currently not participating due to a good cause are paid under the Unsupervised Job Search component.

O. Support service payments are not to be used as a supplement to a participant’s CalWORKs grant for household expenses, the sole purpose is to pay expenses associated with participation in assigned WTW activities.

P. Items purchased by WTW for a participant become the property of the participant.
9.4 PROCEDURES

A. Identify Ancillary Needs

1. Notify all participants of the availability of WTW payment for ancillary items/fees needed to attend WTW components or accept employment. All participants will be notified:

   a. During Orientation, be sure participants are aware that WTW payment may be available to accept employment.

   b. When signing Activity Agreements, the WTW Plan, or amending the WTW Plan, discuss the activities involved in the component and identify possible expenses. Be sure the participant is aware that they may request needed items at anytime during the component.

   c. When participant reports employment, discuss what tools or clothes are required to take the employment and determine what the participant already has available or can obtain from sources that do not require WTW payment.

2. The participant must provide written verification of specific items needed. This verification may be:

   a. New employee information which lists required clothing or tools;

   b. Notes signed by employer as to required clothing or tools;

   c. School information that lists classes in which the participant is enrolled and required fees, supplies or books for those classes.

An exception to the requirement to provide written verification for the need of specific items would be general clothing or services conforming to known industry standards. This could be interview clothing, needed hair cuts, resume copying, school supplies, etc. The WTW CES would need to document that the items were needed and not available from other sources.

3. When a required item is not available or WTW denies payment for a required expense and this prevents the participant from participating or accepting a job, the participant has good cause for not participating in that component or taking the job.

B. Authorizing Ancillary Payments

Ancillary items may be purchased ANYWHERE, including from private individuals. The payment process is quicker and easier if the participant uses providers who have billing agreements with WTW for direct billing, but participants must not be restricted to these providers.

1. Review request for ancillary and verification of need. Discuss appropriate purchases with participant. Explain procedures and options for obtaining needed
purchase providers with WTW billing agreements. If participant asks where they could/should go, always name at least three providers, if available.

2. WTW Provider Billing Agreements. The WTW program has billing agreements with various stores and schools who offer items or services commonly needed for WTW component participation or employment. The agreements allow WTW participants to obtain needed items or cover required fees using the billing authorization process (E-82). The provider then bills WTW for the amount of the items purchased. All providers with Billing Agreements are assigned a county ID provider number and registered into the CalWIN Program/Provider Maintenance subsystem.

3. Providers with no Billing Agreements:
   a. CES Workers - The workers will make the first contact with a Ancillary and/or transportation provider. They will get the name, address and phone number and e-mail information to Fiscal. The CES will also send the provider/vendor a W-9 for completion.
   b. FISCAL – When Fiscal receives the W-9, they will run the name and tax ID through the on-line IRS TIN matching website.
   c. Input Staff (AOP) - Fiscal will complete the W442P and send to input staff for entry into the CalWIN Program/Provider Maintenance Subsystem.

E-82 Billing Authorization Process

a. Verification of items and price.
   (1) Participant goes to store and picks out items needed.
   (2) Clerk at store lists specific items with prices, taxes and total cost. This may be on a voided receipt or other document that contains the store letterhead and the signature of the clerk. Vendors with a Billing Agreement may hold items for 24 hours.
   (3) The participant gives the listing to the CES who reviews the items to make sure they are appropriate to requirements and that cost is fair.

b. Upon receipt of verification of items and price the CES will obtain an E-82 from Fiscal (Fiscal Office Professional/FOP). Blank E-82s are in a locked cabinet/drawer with the FOP for each office. E-82s are used for all vendors with a Billing Agreement.
   (1) Complete the participant information in the upper right. List the component.
   (2) List Vendor as “Payee”. List Provider Number and Store number or address.
   (3) List the total dollar amount of the items (plus tax) to be purchased.
   (4) Mark to indicate that the payment is for ancillary, and vendor payment.
(5) Designated signer (Attachment I) only can sign the E-82.

c. Record the approval in CalWIN (OLUM: Assign Ancillary Supportive Services)

4. Reimbursements and Advance Payments

Purchases of needed items from, or fees paid to, vendors or individuals that do not have signed agreements with WTW may be paid in one of three ways:

- An advance two-party check with the vendor and participant’s names,
- reimbursement to the participant, or
- advance direct to the participant. **Advances to the participant shall be kept at a minimum** and used only when a check cannot be issued to the vendor.

The E-80 is completed to authorize all of the above payments. When petty cash is requested by a participant:

- The CES will go to Fiscal or AOP petty cash custodian with a request (supervisor approved E-80) for Petty Cash for a participant.
- Fiscal will take the cash to where the participant is and give the participant the cash along with required signatures (W-671). The worker is required to be present as a witness and language interpreter (if needed) during the transaction.

a. **Reimburse participant.** When the participant has already paid for the item or service and a reimbursement is appropriate, use the E-80 to request payment. Payment may be made either in cash (for amounts $20.00 or less) or by check to the participant. Ensure participant is assigned to an approvable WTW activity.

A WTW participant must provide an original receipt (no sworn statements).

**Reimbursable Receipts**

Receipts must contain the following to be accepted as proper receipts for reimbursement.

- Vendor information;
  - Name of business,
  - Location,
  - Phone number,
  - Business license (preferred)
- Current expense paid
- Name of participant,
- Payment method,
- Zero balance owing is indicated,
- Line by line itemized listing to include but not limited to:
  - Shoes,
- Shirts.
- Parts,
- Labor, (Note: Labor is not taxable),
- Services.

**NOTE:** Any missing information will be returned to the CES for completion and will delay payment to the participant/vendor

**Example of a non-approvable receipt:**

- No indicated parts listed or amount.
- Payment method not completed, but is incorrectly entered on the form.
- Name only completed, no other identifying information entered.
- No amount,
- No entries,
- Balance owing is not zero.

**E-80 - Reimbursement**

Complete the E-80 to request reimbursement.

(a) Complete the information in the upper right box.

(b) List participant as “Payee”. Indicate in address section if check is to be mailed.

(c) List the total dollar amount of the items to be purchased. *List the component.*

(d) Mark to indicate that the payment is for ancillary, and to Reimburse Registrant. If reimbursement is to be issued in cash, mark the Petty Cash box.
e) On first line under items write “Issue check” if reimbursement is by check. Then list each purchased item separately on subsequent lines. List any tax as an item.

(f) The amount is the individual cost for each item.

(g) Give the original to the Fiscal

(h) The FOP will use the E-80 as authorization to issue check from CalWIN if reimbursement is by check. If reimbursement is by cash, the FOP will complete the W-671, Petty Cash Fund Receipt and Voucher. The participant must sign for receipt for cash:

Record the approval in CalWIN (OLUM: Assign Ancillary Supportive Services).

b. Advance to participant. Participants may purchase needed items from any source. Items purchased from providers who do not have billing agreements with WTW will be paid by check made out to the provider (or by reimbursement of actual payments made by the participant).

If a provider is new to the CalWIN Program/Provider Maintenance subsystem follow the established process for adding a new provider to CalWIN. In addition and as part of adding a new Ancillary Vendor, the CES will send out the W-9 [http://www.irs.gov/pub/irs-pdf/fw9.pdf] to the vendor, collect the completed W-9 and forward to Fiscal.

An advance to a participant for an ancillary purchase requires Supervisor approval. Participants must provide verification of the exact cost of the item. Advances may be paid by check, or if time is an issue, by cash.

At times a participant may be unable to verify a current balance owed. An example of a possible solution to providing verification follows:
The procedures for completing the E-80 for an advance to the participant are as follows:

(a) Complete the information in the upper right box.

(b) List participant as “Payee”. Indicate in address section if check is to be mailed. List “Amount” of Advance and list “WTW Activity”.

(c) Mark box “Advance to Participant”

(d) Mark box to indicate that the payment is for “Ancillary”. If reimbursement is to be issued in cash, mark the “Petty Cash” box.

(e) “ITEMS” box - On each line list each item(s) to be purchased. List any tax as an item.

(f) The “Amount” is the individual cost for each item.

(g) CES and Participant signatures are required.
Send Original to Fiscal. The FOP will use the E-80 as authorization to issue check from CalWIN if reimbursement is by check. If reimbursement is by cash, the FOP will complete the W-671, Petty Cash Fund Receipt and Voucher. The participant must sign the W-671 for receipt for cash:

Record the approval in CalWIN (OLUM: Assign Ancillary Supportive Services).

C. Notices of Action (NOAs)

Ancillary expenses are one time only payments and the only notices required are Approval or Denial.

1. Ancillary notices do not require 10-day notice.

2. A bill submitted in an amount higher than authorized is a request for increase and must be approved or denied.

3. Verbal requests for ancillary require approval or denial notices.

4. Some items may be approved and others denied from the same request and will require both an Approval and a Denial NOA.

5. Approval and Denial notices are generated in CalWIN.

D. Verification of Purchase

Participants must provide verification that the items or services approved and paid for were received. This is done by providing a sales slip or other official notification of payment and receipt of goods or services. For basic education books purchased through schools with a WTW monitor, the signature of the teacher or monitor on the E-82 is acceptable as verification.

Any purchase that is not verified by the 10th of the following month is considered an overpayment and subject to the procedures outline in CW AD 08-603.
10 SUPPORT SERVICES PAYMENTS

10.1 BACKGROUND

Welfare-to-work regulations and AB 1542 require that WTW funds be used to cover expenses for ancillary items, childcare and transportation for participants who are attending an assigned WTW activity, including employment. It is the responsibility of the career employment specialist (CES) to approve and authorize these payments. Participation will not be required if the needed services are not available, cannot be arranged or are insufficient to meet the recipient’s needs.

This section of the desk guide is intended to provide a general overview of supportive services. Ancillary, childcare and transportation services are each covered in detail in other sections of the desk guide. Supportive services arising from therapy and counseling will also be provided for participants whose personal and/or family problems may affect the outcome of the WTW plan and the program goal of self-sufficiency.

10.2 POLICY

Payments for supportive services, except childcare, will be advanced when necessary and desired by the participant so that the participant need not use personal funds to pay for these services.

The county shall encourage participants to apply for financial aid, including grants, awards and scholarships. Reimbursements for SIPs shall be provided if no other source of funding for those costs is available. The county shall consider the availability of financial aid received by the participant in the form of education grants, scholarships and awards when determining the need for WTW supportive service payments. However, the county shall not deny or reduce WTW supportive services if the participant indicates that the financial aid is not available to meet supportive services needs. The CES shall document in the case file all determinations regarding consideration of a participant’s grants, scholarships and awards. Education loans and work study awards shall be excluded from consideration when determining supportive services needs.

Participants shall be notified of specific arrangements for authorized transportation and ancillary supportive services through a notice of action (NOA). These NOAs shall be sent to explain approval of supportive services and the level and method of payment, to explain denial of supportive services, to explain changes to existing supportive services, and at termination of these arrangements and payments. NOAs are not required for approval of short-term, one-time activities such as orientation/appraisal and school field trips. The CES shall inform participants of the requirement to provide prior notification to the county of changes in transportation and ancillary supportive services at least ten calendar days before an anticipated change, except in emergency or exceptional situations.

10.3 PROCEDURES

A. ANCILLARY EXPENSES

When a participant is offered employment or begins participating in an approved WTW activity and requests clothing for job interviews or to accept employment—tools, uniforms, books, school supplies, etc.—the CES will verify the need. The recipient will be referred to an appropriate vendor in the community to select the necessary items. When verification of the cost
plus taxes for the purchase is returned to DSS, the CES will issue the appropriate voucher for the participant to make the purchase. In addition, the participant will be reimbursed for approved out-of-pocket expenses when the store receipt is presented to the CES.

B. **CHILD Care EXPENSES**

Childcare services are paid for children under age 13, per the Santa Barbara County CalWORKs plan, while the parent is participating in an approved WTW activity such as education, training, job search, employment, and others. The parent will choose the type of care s/he prefers—license-exempt, licensed family day care, day care center, after-school program, or a combination of several such providers.

If a participant needs to locate appropriate childcare, the CES should refer to the Children’s Resource and Referral Program. It may be necessary for the CES to provide some parent education on selection of childcare providers and be sensitive to the cultural pressures on a participant in choosing day care outside the family unit. The CES shall also educate the participant as to appropriate and realistic costs of childcare since this is the greatest work-related expense for an employed person and, at some point after assistance ends, the parent will be responsible for payment of this expense.

For working participants whose grant was ended because of employment earnings, childcare is paid as part of job retention services for 24 months, depending on eligibility and need. This is called Stage 2.

TrustLine registration is a requirement for license-exempt providers except for certain family members—aunts, uncles and grandparents (related by blood or marriage to a child). All other relatives and non-relative friends must go through a fingerprint and background check in order to be authorized for payment by the county for childcare services. Specific information about this process is available through the Children’s Resource and Referral Program.

Childcare payments are not authorized to a parent or to those acting in lieu of parent in the child’s assistance unit if these individuals are able to provide childcare while the participant is active in WTW.

New regulations from CDSS advise that sanctioned participants who are employed or are in approved WTW activities are eligible to have their childcare expenses paid by WTW.

C. **TRANSPORTATION EXPENSES**

Reasonable transportation costs shall be paid for every participant to and from his/her WTW assignment, including transportation to and from the childcare provider. Participants who obtain unsubsidized employment while participating in WTW may have all necessary transportation costs paid during the time they remain on cash aid and continue working.

CalWORKs recipients must be informed of the right to receive transportation services during the WTW orientation and shall receive transportation costs to attend orientation. During appraisal the participant shall be informed of locations of component sites where s/he will be assigned. The CES will discuss availability of public transportation and payment rates. When activity agreements are signed the CES will discuss the activity site, availability of transportation, travel
time (including to and from childcare), and mileage to and from the participant’s home if the use of a car is planned.

When there is no public transportation available or the client has extenuating circumstances that prohibit the use of available public transportation, the client may have good cause from participation until usable transportation becomes available. An assignment, job referral, job offer or job is not considered appropriate for work or training if it requires travel between home and an activity site that exceeds a total of two hours round trip (car or bus) or two miles round trip when walking is the only available means of transportation, or requires the participant to be away from home overnight without his/her consent. The limit on travel time excludes transportation time to take family members to and from school or care providers.

When public transportation is available and the participant chooses to use his/her own vehicle, the CES will compare the cost of mileage to the activity site with the cost of public transportation. The WTW payment rate will be the lesser of the two. As with childcare expenses, the CES should counsel the participant on the reasonableness of transportation costs when s/he is responsible for paying these costs in the future, after cash aid is ended.

D. **OVER/UNDERPAYMENTS FOR SUPPORTIVE SERVICES**

AB 1542 and welfare-to-work regulations require that counties take reasonable steps to promptly correct any overpayment or underpayment of transportation, ancillary and childcare support services. Details about background, policy and procedures to remedy over underpayments can be found in AD CalWORKs 99-19.

Overpayment may occur when an individual receives payment for supportive services to which s/he was not entitled.

*Example. A client is registered to attend classes at the local community college and submits a claim for transportation expenses. After payment has been issued to the client, the CES discovers that the client did not attend school on the days for which transportation has been paid.*

When an overpayment is discovered, the CES or childcare worker shall follow instructions outlined in CW WTW AD 08-603 Recoupment of Transportation, Ancillary, and Child Care Overpayments

Any overpayments resulting from suspected fraud on the part of the client or the childcare provider shall be referred for investigation.

When there is an underpayment or denial of supportive services, and the applicant or recipient does not receive the amount which s/he should have received, the CES or childcare EW shall provide supportive services equal to the full amount of the underpayment.

*Note. If there is a current overpayment situation, the underpayment may be adjusted against the balance.*
12 TRACKING AND ATTENDANCE

12.1 BACKGROUND AND PURPOSE

AB 1542 enacted the CalWORKs Program and established requirements for CalWORKs adults, unless exempt, to participate a minimum of 32 hours (adults in a one-parent assistance unit) or 35 hours (adults in two-parent assistance unit) in welfare-to-work (WTW) activities.

SB 1104 and SB 68 amended regulations to establish universal engagement time frames for development of the initial WTW Plan, time limits for participation in job search activities and vocational training (as a core activity) and to define core and non-core activities. WTW participants are required to meet 32/35 hours per week of participation in allowable WTW activities with at least 20 hours consisting of core activities. The remaining participation hours may be in either core or non-core activities.

Self-Initiated Program (SIP) participants are not required to meet the 20-hour requirement in core activities but are required to participate in approved WTW activities for 32 hours per week.

Career Employment Specialists (CES) are required to monitor WTW participants’ attendance and progress in WTW activities utilizing appropriate county forms for documentation. Monthly participation shall be verified and documented by the tenth business day of the following month.

The Attendance tab on the Maintain Participant Activity window in CalWIN was designed to capture the hours participants are in each assigned WTW activity (i.e., JOB, VTR, ESL ABE, JCL, etc.).

Based on the data entered, CalWIN has the ability to enroll and track a participant’s activities and status in WTW activities and produce various management reports on the activities through the Employment Services Subsystem. In addition, when attendance is properly tracked in CalWIN, universal engagement timeline information in CalWIN is correctly updated.

12.2 POLICY

CES are responsible for engaging CalWORKs Welfare-to-Work (WTW) participants in work activities, verifying and documenting that the required participation hours are met and recording the participation hours in CalWIN. Each month that a WTW participant is assigned to a WTW activity, the CES will gather documentation of hours spent in the activity and certify hours of attendance.

Participation hours in ongoing paid activities (job, self-employment, subsidized employment, work study) shall be verified by pay stubs or other employer verification submitted with the initial application, quarterly report, or yearly redetermination. Participation hours must be actual hours and may be counted for up to three months based on actual, documented work hours. For new employment, pay stubs shall be requested by the CES in order to determine actual earnings and may be projected as participation for up to three future months. All new job information shall be forwarded to the EW via e-mail.
Participation hours in education activities (vocational training, job skills training, GED preparation, adult basic education, ESL) shall be verified by valid, current school enrollment documentation, and attendance verified monthly by completion of the Certification of Participation (E-83) form (signed by participant and CES). Regular progress reports shall be requested to verify that the participant is making satisfactory progress, but do not replace verification and documentation of monthly attendance.

Participation in Work Experience (WEX) and Community Service shall be verified and documented using the Attendance and Progress Report (E-91) as outlined in WTW AD 09-600.

Participation in Job Club, Supervised Job Search, Career Advancement Program (CAP) and Bridges Program shall be verified and documented using ResCare’s approved attendance calendar (for Job Club and Job Search) or activity log (for CAP and Bridges).

Participation in Unsupervised Job Search, Assessment, Mental Health and Substance Abuse treatment, or any other approved activity without other means of verifying monthly attendance, shall be verified and documented using the Certification of Participation (E-83) form.

CalWIN entries are required to capture attendance for each WTW participant and each activity they participate in excluding ORE, APR and ASM. The CES is responsible for these entries into CalWIN Employment Subsystem.

12.3 PROCEDURES

To track a participant’s attendance hours and progress in CalWIN, the CES must first determine if a WTW Plan has been signed by the participant. Instructions differ if a plan has been signed or not signed due to the interaction with the supportive services system.

The form Certification of Participation (E-83) has been revised to assist the CES in gathering attendance hours of a WTW participant for activities that do not otherwise have a method of documenting monthly attendance. This form will be completed each month and hours of attendance will be certified by the CES signature on the form.

A participant’s progress and time spent in WTW activities is tracked through the entries entered into CalWIN including:

- Expected and actual begin and end dates of activities, including employment;
- Daily, weekly, and monthly time spent in the assigned activity;
- Monthly status update of the activity;
- Expected due dates of progress report from participant or provider; and
- Client participation and progress report updates.

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Participation Tracking/Attendance/Activity Update</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tracking Participation in cases with a signed WTW Plan</td>
<td>The following are instructions on how to record a WTW participant’s activity status and attendance in WTW activities if a WTW plan has been signed. This process is to be followed to ensure the correct relationship occurs in CalWIN between the Employment Services and Supportive Services Systems.</td>
</tr>
<tr>
<td>1. Click Employment Services Participation on the Navigate CalWIN window. Click the Employment Services heading in the “Action” box.</td>
<td></td>
</tr>
</tbody>
</table>
2. Select Maintain Employment Services Participation window from the “Action” box. Enter the participant’s SSN and click Open.

3. The Maintain Individual’s Employment Services Participation window appears displaying all Employment Services programs. Double-click on the row containing the WTW program.

4. The Maintain Employment Services Participation window appears. Click on the Plan tab. Double click on the row containing the WTW Plan that needs to be updated.

5. The Maintain Employment Plan window appears with the Plan tab displayed. Click on the Activities tab.

6. Double click on the row containing the current WTW activity to be updated. The Maintain Participant Activity window appears.
   - If the participant is complying and the activity status has not changed, verify that ‘Y’ is in the Satisfactory Progress field and proceed to step #9.
   - If changes need to be made to the activity status, continue with step #7.

7. Click on the Maintain Status button to add a new activity status to a current activity (i.e., from satisfactory to unsatisfactory or end an activity). The Maintain Status History window appears. Click Add on the toolbar and complete the following fields:
   a. Select the new Activity Status from the drop down field.
   b. Enter the Begin Date of the new status.
   c. Enter Y or N in the Satisfactory Progress (Y/N) field.
   d. Click Save on the toolbar.

   Note: To delete an activity status line that was created in error, highlight the line and click Delete on the toolbar.

8. Close the Maintain Status History window. The new activity status information is displayed in the “Activity Status” box on the bottom of the Maintain Participant Activity window. Click Save.

   Note: If the new status entered is "Completed" or "Disenroll," the system will display the Suggest Next Activity window.

9. On the same window, Maintain Participant Activity, click on the Attendance tab. Update the participation hours on the Attendance tab by:
   - Selecting the prior month to be updated by clicking the arrow on the left side of the calendar.
   - Entering the assigned hours of participation by day, week, or month. The system will re-calculate the weekly and monthly totals.

10. Click Save on the toolbar and close the window. The Maintain Employment Services Participation window appears.

   The status of the WTW activity and participation hours is updated for the selected activity on a case with a signed WTW plan. If the participant has another activity that needs updating for activity status or participation hours, repeat the process.
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<td>4. The Maintain Employment Services Participation window appears with the Registration tab displayed. Click the Activity tab.</td>
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<td>5. On the Activity tab, enter the Planned Start Date and the Planned End Date and click Search to locate existing activities.</td>
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<td>- All WTW activities that the participant has been referred to or participated in during the time period will be displayed in the &quot;Search Results&quot; box.</td>
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<td>6. Highlight the activity that needs to be updated and either double click on the activity or click on the Detail icon.</td>
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<td>8. Click Save on the toolbar and close the window. The Maintain Employment Services Participation window appears. The participation hours have been updated for the WTW activity on a case without a signed WTW plan. If the participant has another activity that needs updating for participation hours, repeat the process.</td>
<td>8. Click Save on the toolbar and close the window. The Maintain Employment Services Participation window appears. The participation hours have been updated for the WTW activity on a case without a signed WTW plan. If the participant has another activity that needs updating for participation hours, repeat the process.</td>
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<tr>
<th>Reviewing Monthly Participation Hours</th>
<th>The Attendance History screen displays a participant’s monthly participation hours in all WTW activities. This screen should be used to verify that all of the appropriate participation hours have been entered.</th>
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<tr>
<td>1. From the Maintain Employment Services Participation window, click on Attendance History tab.</td>
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<td>2. Click Search and the last 12 months of the participant’s hours of attendance will be displayed. You may change the ending month to obtain past months attendance.</td>
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