



# Iowa Department of Human Services

Terry E. Branstad  
Governor

Kim Reynolds  
Lt. Governor

Charles M. Palmer  
Director

April 18, 2014

Earl Johnson, Director  
Office of Family Assistance  
Administration for Children and Families  
5<sup>th</sup> Floor East  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

Attn: Dennis Poe, Director  
Data Collection and Analysis

Dear Sir:

Enclosed please find an amendment to Iowa's Work Verification Plan for the Temporary Assistance for Needy Families (TANF) Block Grant effective January 2014. This Plan has been amended pursuant to regulations found at 45 CFR 261.63. This amendment is also being submitted electronically (as an e-mail attachment) to Gary Allen, Region VII, at [gallen@acf.hhs.gov](mailto:gallen@acf.hhs.gov).

This amendment makes the following changes:

1. Page 4: Background on Iowa's Delivery of TANF Work and Training Services: Updates definition of an LBP:

"The LBP is Iowa's penalty for failure to participate in work activities or to verify hours of participation in work activities. "

2. Page 5, I. Countable Work Activities, Unsubsidized employment:

- New final paragraph inserted clarifies how a LBP may be chosen.

"The work eligible is notified in writing of the requirement to provide verification of actual hours of employment within five working days of the date the notice is mailed. If the work eligible does not provide the verification by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide verification by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan."

3. Page 8, Removes references to obsolete summer job training program.
4. Page 14, Job Search and Job Readiness. I.3. *Description of how Iowa verifies the actual hours of participation for job readiness activities.*

- New paragraph inserted following “Substance Abuse, Mental Health Treatment, and Other Rehabilitative Activities.”

“The work eligible is notified in writing of the requirement to provide verification of actual hours of employment within five working days of the date the notice is mailed. If the work eligible does not provide the verification by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide verification by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.”

5. Job Search Components, Individual Job Search:

- Pages 15, 16, *Services or programs included under job search activities*, Changes the maximum allowable number of weeks from 4 to 5 in a month to accommodate 5 week months. This change reflects actual policy, not a change in reporting. No more than 4 weeks will be reported.
6. Pages 15, 16, Changes the number of days allowed for hours to be reported from five working days after the end of the last working day of a week of job search to no later than the 10th calendar day following the end of the month during which the participant made a job search.
7. Pages 16, 21, 24, 25, 27. *Description of how Iowa verifies the actual hours of participation* is updated for each work and training activity as follows
- If the work eligible does not provide the verification by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide verification by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.
8. Page 37. Quality Assurance. The description of the Bureau of Quality Assurance and Improvement has been updated to reflect the move to the Division of Field Operations.
9. Pages 38, 39. Updates Section IV Internal Controls, Monitoring
- Changes references to Iowa Workforce Development structural organization from 16 Service Delivery Regions (SDR) to 7 PROMISE JOBS Territories (PJT).
  - Updates reports and processes to reflect actual practice.
10. Deletes former Attachment F: Links to Forms and Instructions for Their Use and all references to the attachment. The Department is redesigning the DHS Policy and Procedurals Manuals and the website that contains these manuals. This includes the forms appendix, which contains DHS forms and instructions for their use. When the manual redesign is complete and the new site fully implemented, DHS staff will continue to access the manuals. However, the public will be directed to Administrative Rules rather than DHS Policy and Procedural Manuals. DHS forms will continue to be available to the public.
11. Attachment G: Systems Details is renamed Attachment F.

If there are any questions about this Plan Amendment or items requiring clarification, please contact Linda Mount at [lmount@dhs.state.ia.us](mailto:lmount@dhs.state.ia.us) or 515-281-5487.

Thank you for your support and assistance.

Sincerely,



Bob Krebs, TANF Administrator  
Division of Adult, Children and Family Services

Enclosure

cc: Gary Allen, Region VII Regional Program Manager

**State of Iowa  
Department of Human  
Services**

**TANF  
Work Verification Plan**

**Amended Effective  
January 1, 2014**

This Amendment does not replicate approved August 29, 2008 Attachments

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**Iowa Department of Human Services  
Temporary Assistance for Needy Families Work Verification Plan**

**Overview**

The Iowa Department of Human Services (DHS) has prepared this Temporary Assistance for Needy Families (TANF) Work Verification Plan in accordance with the regulatory requirements of the interim final rule that the U.S. Department of Health and Human Service (HHS) published on June 29, 2006. Under the rule, a State must submit its Work Verification Plan to HHS for approval. This plan follows the key directions and responds to questions described in HHS' Work Verification Plan guide. The plan is organized into six sections: countable work activities; hours engaged in work; work-eligible individuals; internal controls; verification of other data used in calculating the work participation rates; and a detailed data section.

The plan contains the following attachments:

Attachment A contains the requirements for the Work Verification Plan found in 45 CFR 261.62

Attachment B contains a glossary of acronyms.

Attachment C contains a glossary of commonly used words or terms.

Attachment D contains IDHS system-coding instructions.

Attachment E contains PROMISE JOBS system-coding instructions.

Attachment F contains systems details on determining work eligibles and work participation status, calculating monthly hours and data elements.

The State will amend its Work Verification Plan, as necessary, to include subsequent changes in procedures and internal controls in accordance with the regulations at 45 CFR 261.63(b) and (c).

**Background on Iowa's Delivery of TANF Work and Training Services**

IDHS administers the TANF block grant as described in the October 2004, Iowa TANF State Plan as amended effective July 2007. Cash assistance is provided through the Family Investment Program (FIP). Iowa's employment and training program for TANF recipients is known as the PROMISE JOBS program.

IDHS income maintenance (IM) workers determine eligibility for the FIP program. Iowa Workforce Development (IWD) provides PROMISE JOBS services under contract with IDHS. The Bureau of Refugee Services (BRS) within IDHS provides PROMISE JOBS services to non-citizen refugees who are not fluent in English.

In Iowa, FIP applicants, unless exempt, are referred by IDHS to the applicable PROMISE JOBS service provider for assessment and the development and signing of a Family Investment

Agreement (FIA) as a condition of FIP eligibility. The FIA outlines the work activities and other actions that the applicant and their family will take to become independent of the FIP program, and the services that the PROMISE JOBS program will provide to support the applicant with their plan. An individual becomes a “work eligible” when the individual signs an FIA and FIP assistance is approved for the family. Persons are not considered work eligible until the FIA is signed, eligibility for FIP is approved and the family actually begins to receive FIP. See Section III for a complete description of “work eligible individuals,” including exemptions.

Each work eligible is assigned to a PROMISE JOBS case manager who is responsible for the structured, day-to-day case management and for verifying, documenting and supervising work activities. The PROMISE JOBS case manager also authorizes allowances for child care, transportation and other supports as stated in the FIA. In the event of the assigned case manager’s absence, either another case manager or supervisor provides coverage of the case management.

Failure to perform activities agreed to in the work eligible person’s Family Investment Agreement without good cause would result in the imposition of a Limited Benefit Plan (LBP). The LBP is Iowa’s penalty for failure to participate in work activities or to verify hours of participation in work activities. Under a first LBP, the FIP grant for the entire family is cancelled until the individual agrees to participate in the FIA activities. For a subsequent LBP, the FIP grant for the entire family is canceled for a minimum of six-months and ineligibility continues thereafter until the individual agrees to participate and completes 20 hours of PROMISE JOBS activity.

Iowa currently only considers receipt of FIP as assistance for purposes of work participation, including the identification of work-eligible individuals, for the following reasons:

- FIP is the only TANF-funded activity meeting the definition of assistance under Federal TANF regulations.
- State MOE funds are used; both commingled with Federal TANF funds and under segregated State programs for two-parent households and battered alien cases to provide FIP.
- State MOE funds are used under a separate state program to provide PROMISE JOBS allowances including child care assistance, which in some cases may meet the Federal definition of assistance. However, the State does not need to separately examine receipt of these benefits for purposes of work participation reporting as any case or individual receiving such assistance would have also been receiving FIP and therefore would already be included in the work participation reporting and calculation.

## I. Countable Work Activities

### **Unsubsidized Employment**

1. *Describe the services or programs the State includes under the activity.*

“Unsubsidized employment” includes paid employment, in the public or private sector and self-employment that is not subsidized by TANF or any other program.

2. *Description of how Iowa determines the number of countable hours of participation for unsubsidized employment.*

For work eligibles who were already employed, and for work eligibles who become employed while on FIP, PROMISE JOBS projects the number of countable hours of participation based on the actual hours worked in the last 30 days. Iowa’s PROMISE JOBS case managers adjust the projected hours of participation in unsubsidized employment to reflect changes in hours or employment status when reported by the work eligible or the IM worker. This includes hours for which the work eligible is paid, but does not work, such as paid leave and holidays. See item #5 for a description of how Iowa intends to project hours.

3. *Description of how Iowa verifies the actual hours of participation for unsubsidized employment.*

For employed work eligibles, and for those who report new employment, the PROMISE JOBS case manager requests verification of employment, income and hours at the initial interview for those already working, when notified of new employment, and at least once every six-months while employment continues. Acceptable verification includes any of the following:

- *An Employer’s Statement of Earnings*, form 470-2844, signed by the employee to authorize release of information from the employer. The form asks the employer to verify actual and anticipated income and hours.
- Pay stubs received in the last 30 days.
- Other written correspondence from the employer.
- If written documentation cannot be obtained, the PROMISE JOBS case manager may verify hours through a call to the employer. The case manager will document the call and the number of hours in the case file.

When the work eligible reports a change in income or employment status the PROMISE JOBS case manager asks the recipient to verify with pay stubs, an *Employer’s Statement of Earnings*, or other written verification from the employer. The verification of actual hours is used to adjust projected hours of employment. (See item #5).

The work eligible is notified in writing of the requirement to provide verification of actual hours of employment within five working days of the date the notice is mailed. If the work eligible does not provide the verification by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide verification by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

The PROMISE JOBS case manager documents verification of the hours of employment in the case file. All documentation related to calculating and verifying work participation is maintained in the work eligible person's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

PROMISE JOBS records countable hours of participation in unsubsidized employment in the PROMISE JOBS computer system.

Regular monitoring of hours and other issues for employed PROMISE JOBS participants, including those who are self-employed, is a part of established case management.

4. *For self-employment, describe how the State counts and verifies the hours of participation. A State may not count more hours toward the participation rate for a self-employed individual than the individual's self-employment income (gross income less business expenses) divided by the Federal minimum wage. The State may also describe an alternative methodology to count and verify hours a work eligible is engaged in self-employment.*

#### **Determining countable hours:**

When self-employment income and expenses occur on a regular basis, the IDHS IM worker uses actual net self-employment income received in the last 30 days to determine FIP eligibility and benefits for future months. Regular basis means daily, weekly, biweekly, semi-monthly, or monthly. The IM worker enters the net monthly income into the IABC system, IDHS' FIP eligibility system. IDHS' PJCcase system uses the net income (gross income less allowable business expenses) divided by the federal minimum wage to determine and project hours of participation for a period not to exceed 6 months for federal reporting purposes.

When actual income and expenses do not occur on a regular basis, the IDHS IM worker uses actual income and expenses from a period longer than 30 days but no longer than 12 months to determine FIP eligibility and benefits for the same period. In this situation, IDHS' PJCcase system uses the net income to project hours of participation for the same period as follows: Total actual net self-employment (gross income less allowable expenses) for the period divided by the number of months in the period = average net monthly income for the period divided by the federal minimum wage.

The IM worker recalculates and enters adjusted net self-employment income when an established, permanent, ongoing change in operating expenses or the nature of the self-employment business occurs. The PJCcase system uses the recalculated income to project future hours of participation.

An applicant or participant with self-employment income can choose to use actual allowable expenses or a standard deduction of 40% when the Department calculates their net self-employment income.

#### **Verification of hours and income:**

The IDHS IM worker requires self-employed work eligibles to provide verification of gross earnings and business expenses directly related to the production of income.

When self-employment income and expenses occur on a regular basis, the IM worker requires the self-employed work eligible to verify gross earnings and business expenses received in the last 30 days at the time of FIP application, review and when self-employment begins or changes.

When actual income and expenses do not occur on a regular basis, the IM worker requires the self-employed work eligible to verify gross earnings and business expenses from a period longer than 30 days but no longer than 12 months at the time of FIP application. The IM worker requires the self-employed work eligible to re-verify gross earnings at the end of the period or when an established, permanent, ongoing change in operating expenses or the nature of the self-employment business occurs.

Acceptable verification of actual gross income and allowable expenses includes:

- The work eligible's statement supported by documentation, such as state or federal tax forms or returns, or business records of income, sales, and expenditures, when third-party verification is not available.
- Statements from a third-party person or agency with knowledge of the work eligible's income and business expenses when the self-employed person is compensated by the third-party person or agency for work performed, or the self-employed person has a contract or agreement with the third-party person or agency to perform work for, or works on the premises of the person or agency. Examples include: paper carriers, lawn service providers, housekeepers, cosmetologists, product demonstrator, sub-contractors, etc.

PROMISE JOBS monitors the work eligible's satisfactory participation and progress in fulfilling their self-sufficiency agreement by requiring that the work eligible verify gross earnings and business expenses received in the last 30 days at least once every 6 months. Verification for a longer period of time may be requested if the last 30 days is not a good indication of the business' current progress.

PROMISE JOBS adjusts the projected hours of participation in self-employment to reflect changes in net self-employment income when reported by the work eligible or the IM worker.

Verification of net self-employment income will be maintained in the work eligible person's IM file.

5. *If the State intends to project hours of participation based on current, documented, actual hours, explain how it will make this projection.*

For newly approved work eligibles, and for those who become employed while on FIP, PROMISE JOBS projects countable hours of unsubsidized employment for the next six months using the actual hours worked in the last 30 days. PROMISE JOBS records projected hours of participation in the PROMISE JOBS computer system.

The PROMISE JOBS case manager will review and verify actual hours at least once every six months using pay stubs or written documentation from the employer, and will use this

information to project countable hours for the next six months. The case manager will adjust this calculation when the participant or the IM worker reports a change prior to the next six-month review.

PROMISE JOBS records the adjusted projected hours of participation in the PROMISE JOBS computer system.

See Iowa's response to # 4 for our projection procedures for self-employment.

Documentation related to calculating and verifying work participation is maintained in the work eligible person's PROMISE JOBS case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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### **Subsidized Public or Private Sector Employment:**

#### *1. Services or programs included under subsidized employment*

“Subsidized employment” includes paid employment, in the public or private sector, in which the employer receives a subsidy from public funds to offset some or all of the wages and costs of employment.

Subsidized employment includes internships, work-study, sheltered workshops, and other supported work programs that are subsidized by the educational institution or other public funds.

PROMISE JOBS identifies and codes hours in subsidized employment separately from hours spent in unsubsidized employment. PROMISE JOBS also identifies if the hours are from private or public sector employment.

#### *2. Description of how Iowa determines the number of countable hours of participation for subsidized employment.*

Iowa uses the same procedures to determine the number of countable hours of participation for subsidized employment as for unsubsidized employment. See our response to item 2 above under Unsubsidized Employment.

#### *3. Description of how Iowa verifies the actual hours of participation for subsidized employment.*

Iowa uses the same procedures to verify actual hours of participation for subsidized employment as for unsubsidized employment except that Iowa will also accept verification of hours from the agency funding the subsidy if the agency supervises hours of participation. See our response to item 3 above under Unsubsidized Employment.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

PROMISE JOBS records the hours of participation in subsidized employment in the PROMISE JOBS employment data file.

4. *If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.*

Iowa uses the same procedures to project hours of participation for subsidized employment as for unsubsidized employment. See our response to item 5 above under Unsubsidized Employment.

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### **Work Experience:**

1. *Services or programs included under work experience.*

Iowa's "work experience" provides training and work experience to an individual so that they can learn the general skills, knowledge, and work habits necessary to find employment. The purpose of work experience is to improve the employability of someone who is not ready for employment. The work experience site agrees to monitor the person's employment training and provides daily supervision. The worksite must provide PROMISE JOBS work eligibles with learning opportunities and work experience while providing services that are of direct benefit to the community.

2. *How Iowa determines the number of countable hours for work experience.*

PROMISE JOBS works with the sponsor worksite and the work eligible to develop the work assignment and schedule. The number of days, the scheduled hours, and the length of the assignment reflect the individual needs of the work eligible and the needs of the sponsor. When the work experience assignment is subject to the Fair Labor Standards Act (FLSA), actual hours will not exceed the hours allowed by the FLSA. Worksite sponsors provide supervision and monitor progress and attendance of PROMISE JOBS work eligibles assigned to the worksite. PROMISE JOBS considers the actual hours of participation as reported by the worksite sponsor as countable hours of participation in work experience.

*For work experience assignments that are subject to the FLSA:*

Iowa has received approval to operate a mini-Simplified Food Stamp Program (SFSP) for TANF individuals participating in work experience or community service programs. For individuals in the SFSP, maximum hours of participation in work experience are determined by combining the monthly FIP (TANF) grant and the monthly food assistance amount, and dividing by the Federal or state minimum wage, whichever is higher. Iowa will report the actual number of hours of participation and deemed hours needed to satisfy the weekly core activity requirement for individuals who participate in work experience for the maximum hours allowed under the FLSA.

For individuals who are not in Iowa's mini-Simplified Food Stamp Program, maximum hours of participation in work experience are determined by the monthly FIP (TANF) grant divided by the Federal or state minimum wage, whichever is higher. Iowa uses actual hours of participation at the worksite to determine countable hours of participation.

Also see Section II, Hours Engaged in Work, FLSA Deeming.

3. *How Iowa verifies the actual hours of participation in work experience.*

PROMISE JOBS requires worksite sponsors to provide form 470-2617, *PROMISE JOBS Time and Attendance*, completed and signed by both the sponsor and the work eligible, to verify actual hours of participation. The *Time and Attendance* form records the actual hours of participation on a daily basis. The work eligible or the sponsor submits the form to PROMISE JOBS in the month following the month of participation.

4. *Description of methods of daily supervision for work experience.*

The worksite provides daily supervision and monitors work eligible persons' progress and attendance. Progress and attendance are reported monthly to PROMISE JOBS using the *Work Experience Evaluation*, form 470-0805, and *Time and Attendance*, form 470-2617. Both the work eligible and sponsor sign the forms.

PROMISE JOBS uses the *Evaluation* form to monitor the work eligible's performance and progress and ensures that the worksite is providing necessary feedback. PROMISE JOBS uses the *Time and Attendance* form to determine if the work eligible is appearing at the worksite for scheduled hours and days. If PROMISE JOBS identifies problems with performance or attendance, PROMISE JOBS meets with the work eligible, the sponsor, or both, to attempt to resolve the problems.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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## **On-The-Job Training**

1. *Services or programs included under on-the-job training.*

*On-the-job (OJT) training* means training in the public or private sector that is given to a paid employee while he or she is engaged in productive work and that provides knowledge and skills essential to the full and adequate performance of the job.

In OJT, the employer provides training, guidance, and direction to help employees obtain unsubsidized employment, whether with the employer providing the training or with another employer.

2. *Description of how Iowa determines the number of countable hours of participation for on-the-job training.*

PROMISE JOBS uses the same procedures to determine the number of countable hours of participation for on-the-job training as for unsubsidized employment. See our response to item 2 above under Unsubsidized Employment.

3. *Description of how Iowa verifies the actual hours of participation for subsidized employment.*

PROMISE JOBS uses the same procedures to verify actual hours of participation for on-the-job training as for unsubsidized employment except that PROMISE JOBS will also accept verification of hours from another public agency if the agency is subsidizing or sponsoring the training arrangement and the agency supervises hours of participation. See our response to item 3 above under Unsubsidized Employment.

PROMISE JOBS records the actual hours of participation in on-the-job training in the PROMISE JOBS component file system.

4. *Describe the nature of training provided by employers that distinguishes on-the-job training from subsidized employment.*

“On-the-job training” (OJT) is distinguished from subsidized employment in that with OJT, the work eligible receives training while engaged in work and the employer is subsidized to offset the cost of the training. Once the employee successfully completes the training, the employer is expected to retain the employee without subsidy. Under “subsidized employment”, the employer is subsidized for the costs of employing the person such as wages, benefits, and/or the additional cost of employment-related taxes.

5. *If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.*

PROMISE JOBS uses the same procedures to project hours of participation for on-the-job training as for unsubsidized employment.

See our response to item 5 above under Unsubsidized Employment.

All documentation related to calculating and verifying work participation is maintained in the work eligible’s case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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## **Job Search and Job Readiness**

PROMISE JOBS considers an individual’s participation in assessment, employment soft-skills and life skills training, job-seeking skills training, and job search activities as “job

search and job readiness assistance.” For ease of reading, Iowa will separate documentation for Job Readiness and Job Search activities.

## **I. Job Readiness Components**

### *I. 1. Services or programs included under job readiness activities*

- **Assessment:** FIP applicants are given a self-assessment questionnaire to complete prior to their initial FIA appointment. The PROMISE JOBS case manager discusses the applicant’s responses at their FIA interview. The PROMISE JOBS case manager uses an individual’s self-evaluation to determine the individual’s employability, financial situation, family profile and goals, employment history, and educational background, and to identify barriers to participation and the need for child care and transportation assistance. When appropriate, further assessment determines literacy and aptitude levels, interest assessment, and likelihood for success in vocational training.
- **Workplace Essentials:** This week-long session of 30 hours prepares individuals for the employment and training environment by teaching employment soft-skills and life skills, such as: identifying and setting goals, self-esteem building, emotional awareness, relationship management, conflict resolution skills, problem-solving skills, decision-making skills, time-management skills, team building skills, networking skills, listening skills, positive thinking, priority setting, appropriate workplace behaviors, cultural sensitivity, workplace expectations, and stress management.
- **Job Club/Job-Seeking Skills Training:** Prepares individuals to search for work and provides structured job search activities. The job-seeking skills training under this component include: Resume development, writing letters of application and follow-up letters, job application completion, job retention skills, motivational exercises, identifying and eliminating employment barriers, self-marketing (personal grooming and making positive impressions), finding job leads, obtaining interviews, use of telephones, interviewing skills development and exercises, financial education and structured job search activities. Job Club consists of one week of job-seeking skills training and two weeks of structured job search. See *II.1-4* for details on structured job search.

- **Substance Abuse, Mental Health Treatment, and Other Rehabilitation Activities:**

Iowa previously did not consider an individual’s participation in substance abuse treatment, mental health treatment, or other rehabilitation activities as participation in preparing the individual for employment. Iowa has revised policy and system functions to begin counting the actual hours of participation in substance abuse treatment, mental health treatment, or other rehabilitation activities. Hours that individuals participate in substance abuse treatment, mental health treatment, or rehabilitation activities will be considered Job Readiness activities provided that such treatment has been deemed necessary by a qualified medical, substance abuse or mental health professional.

*I. 2. Description of how Iowa determines the number of countable hours of participation for job readiness activities.*

- **Assessment:** PROMISE JOBS considers the actual hours of attendance in assessment activities administered by PROMISE JOBS case managers as countable hours of participation.
- **Workplace Essentials:** PROMISE JOBS considers the actual hours of attendance in Workplace Essentials as countable hours of participation. Work eligibles in Workplace Essentials are expected to attend a course consisting of 30 actual hours of participation.
- **Job Club/Job-Seeking Skills Training:** PROMISE JOBS considers the actual hours of attendance in Job Club as countable hours of participation. Currently, Job Club requires at least 30 hours per week of participation in each of the three weeks. The hours and curriculum for the job-seeking skills training and structured job search sessions vary with the availability of resources in the area PROMISE JOBS offices.
- **Substance Abuse, Mental Health Treatment, and Other Rehabilitation Activities:**

PROMISE JOBS considers the actual hours of participation in substance abuse and mental health treatment, and in rehabilitation activities as countable hours of participation.

*I. 3. Description of how Iowa verifies the actual hours of participation for job readiness activities.*

- **Assessment:** A PROMISE JOBS case manager administers assessment and documents each work eligible's actual hours spent in assessment in the work eligible person's case files. Copies of completed assessment form(s) are kept in the work eligible person's case file. All documentation related to counting and verifying work participation is maintained in the work eligible person's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.
- **Workplace Essentials:** A PROMISE JOBS case manager facilitates the sessions and documents each work eligible person's daily attendance during the one-week of Workplace Essentials in the work eligible person's case file. All documentation related to counting and verifying work participation is maintained in the work eligible person's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.
- **Job Club/Job-Seeking Skills Training:** A PROMISE JOBS case manager facilitates the Job Club sessions and documents each work eligible's daily attendance during the one week of job-seeking skills training in the work eligible person's case

files. All documentation related to counting and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

- **Substance Abuse, Mental Health Treatment, and Other Rehabilitation Activities:**

Substance abuse and mental health treatment providers and rehabilitation service providers and work eligibles report on progress and actual hours of participation on a monthly basis using form 470-2617, *PROMISE JOBS Time and Attendance*.

The work eligible is notified in writing of the requirement to provide documentation of actual hours of participation by the 10<sup>th</sup> calendar day of the month following the month of participation. If the work eligible does not provide the documentation by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days of the date the notice is mailed. Failure to provide documentation by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

PROMISE JOBS records the actual hours of participation in Assessment, Workplace Essentials, Job Club, Substance Abuse treatment, Mental Health Treatment and Rehabilitation activities under separate component codes in the PROMISE JOBS computer system.

*I. 4. Description of the methods of daily supervision for job readiness*

- **Assessment/Workplace Essentials/Job Club:**

A PROMISE JOBS case manager delivers assessment services, and facilitates and supervises Workplace Essentials and the Job Club/Job-Skills Training and records the daily hours of attendance (or failure to attend) of each scheduled work eligible in the PROMISE JOBS computer system.

- **Substance Abuse, Mental Health Treatment, and Other Rehabilitation Activities:**

Substance abuse and mental health treatment providers and rehabilitation service providers provide daily supervision of work eligible progress and attendance and report actual hours of participation on a monthly basis using form 470-2617, *PROMISE JOBS Time and Attendance*. Upon receipt of the *Time and Attendance*, PROMISE JOBS reviews the reported attendance and progress. If the form indicates problems, PROMISE JOBS contacts the service provider and/or the work eligible to attempt to resolve the issue.

*I. 5. If the State intends to count substance abuse treatment, mental health treatment and rehabilitation activities, describe how the state determines the necessity of treatment or therapy.*

A qualified medical, mental health or substance abuse professional determines whether an individual is in need of treatment or therapy. Attendance at treatment or rehabilitative activities must be verified and documented by the medical, mental health or substance abuse provider.

## **II. Job Search Components**

### *II. 1. Services or programs included under job search activities*

Iowa offers two job search options for individuals to accommodate different levels of job readiness:

- **Structured Job Search** (part of Job Club): The structured job search portion of Job Club follows one week of job-seeking skills training and lasts for two weeks. This component is conducted in a group setting and is designed with scheduled activities using proven job-search techniques and takes into account the employment environment of the area. PROMISE JOBS provides work eligibles with written clarification of the expectations and the number of job contacts to be made during the two-week session. Work eligibles must report to the job search site on time and participate on a daily basis.
- **Individualized Job Search (IJS)**: This is appropriate for individuals who complete Job Club without securing employment and for individuals with recent connections to the work force. Under IJS, each work eligible, in consultation with PROMISE JOBS staff, designs a written plan of the job search activities that will meet the work eligible's needs. The time commitment required for completion of job search activities should be equivalent to the level of commitment required for full-time employment or significant so as to move toward that level. The plan contains a designated time for the planned job search, not to exceed five weeks in a calendar month, and specifies the areas of employment interest, the specific employers to be contacted, and locations of the job search. If employment is not found after three calendar months, PROMISE JOBS reviews the participant's situation for possible barriers or a need for training or other activity.

No more than a total of 180 hours of job search or job readiness will be reported towards work participation within the preceding 12-month period for an individual (120 for a single custodial parent or caretaker relative with a child under age 6). For any month Iowa meets the "Needy State" definition the totals may not exceed 360 hours (240 hours for a single custodial parent or caretaker relative with a child less than 6). No more than four consecutive weeks will be reported.

### *II. 2. Description of how Iowa determines the number of countable hours of participation for job search activities*

- **Structured Job Search**: Work eligibles report to the job search site at a specific time on a daily basis. A PROMISE JOBS case manager facilitates and supervises group job search activities. Iowa considers the actual hours of participation in job search activities under the Structured Job Search component as countable hours of

participation. PROMISE JOBS case managers allow work eligibles to leave the job search site to complete employment applications and to attend interviews.

- **Individual Job Search:** Prior to participation in the Individual Job Search, the work eligible completes a written plan of their job activities for the four-week or calendar month period.

Work eligibles in Individual Job Search record their actual job contacts and the actual time directly related to finding employment to determine countable hours of participation on form 470-3099, *Job Search Record*, and provide the completed form to PROMISE JOBS at regular intervals as specified in the plan (no later than the 10<sup>th</sup> calendar day following the end of the month during which the participant made a job search). Iowa uses actual time directly related to finding employment as recorded in the *Job Search Record* to determine countable hours of participation. Work eligibles may count the actual hours spent in transit, exclusive of the time spent getting from home to the first job contact and the time spent returning home from the last job contact.

### *II. 3. Description of how Iowa verifies the actual hours of participation for job search activities*

- **Structured Job Search:** A PROMISE JOBS case manager verifies that a work eligible reports to structured job search each day and participates on a daily basis for the full two weeks, including actual hours of attendance at the job search site and actual hours off-site directly related to finding employment.
- **Individual Job Search:** Work eligibles report their actual job contacts and the actual time directly related to finding employment on the *Job Search Record*, form 470-3099, and provide the completed form to PROMISE JOBS at regular intervals as specified in the plan (no later than the 10<sup>th</sup> calendar day following the end of the month during which the participant made a job search). The *Job Search Record* authorizes PROMISE JOBS case managers to contact any employer to verify employment. The PROMISE JOBS case manager reviews the Job Search Record upon receipt and regularly checks no fewer than two, and depending upon the case manager's judgment, up to all job contacts each week.
- When face-to-face job search contacts are not appropriate, the job search plan may require the work eligible to provide alternate verification at regular intervals as agreed upon in the written plan. PROMISE JOBS case managers review the verification upon receipt.

If the work eligible does not provide the *Job Search Record* by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide the *Job Search Record* by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

PROMISE JOBS records the actual hours of participation in Structured Job Search and Individual Job Search under separate component codes in the PROMISE JOBS computer system.

*II. 4. Description of the methods of daily supervision for job search activities.*

Work eligibles report each job contact and the actual time spent on each job contact on the *Job Search Record*, form 470-3099, and provide the completed form to PROMISE JOBS at regular intervals as specified in the job search plan (no later than the 10<sup>th</sup> calendar day following the end of the month during which the participant made a job search). The PROMISE JOBS case manager reviews the Job Search Record, or alternate verification, upon receipt and regularly checks no fewer than two, but based upon the case manager's judgment, up to all job contacts. Work eligible persons who do not complete the *Job Search Record* or fill out the required form are considered to have chosen a LBP.

*III. Description of how the State ensures that no more than 180 hours (four consecutive weeks) of job search and job readiness assistance are reported in the preceding 12-months (or a total of 360 hours in States that meet the definition of a "needy State" for the Contingency Fund).*

PROMISE JOBS case managers enter actual work eligible weekly hours in each work activity for the prior month in the PROMISE JOBS component file system. The information is submitted monthly to IDHS. Federal reporting programs used by IDHS track the number of weekly hours counted towards work participation for each FIP work eligible. The tracking program counts the number of countable hours reported from Job Readiness and Job Search activities and limits the number of hours to 180 hours (120 for a single custodial parent or caretaker relative with a child under age 6) in the preceding 12-month period (no more than four consecutive weeks) per work eligible. For any month, Iowa meets the "Needy State" definition the totals may not exceed 360 hours (240 hours for a single custodial parent or caretaker relative with a child less than age 6). No more than four consecutive weeks will be reported.

On September 25, 2006, HHS issued a Program Instruction (TANF-ACF-PI-2006-04) explaining how States can claim and use "needy State" status to qualify for having 12 rather than 6 weeks of job search/job readiness for TANF work participation. This PI clarified that states must meet the "needy state" status each month to qualify for the additional 6 weeks for that month, rather than only once per federal year. The PI also provided for each state the monthly Food Stamp participation threshold triggering "needy state" status. Using this information, IDHS has identified the highest threshold figure of any month from the base year.

Iowa's monthly number of Food Stamp participants has exceeded this highest monthly threshold for many months. With the trend indicating continued caseload growth, Iowa expects to qualify as a "needy state" for the foreseeable future; however, IDHS will continue to track the number of recipients on a monthly basis to confirm continued eligibility. If at any time Iowa drops below the thresholds published in PI TANF-ACF-PI-2006-004, Iowa will adjust the participation data to reflect the change from twelve allowable weeks to six in a

fiscal year. The number of weeks reported for job search and readiness activities may not exceed four consecutive weeks.

Self-directed job search is not an allowable PROMISE JOBS activity. Iowa does not use self-directed job search as a reporting category for federal work participation data reports.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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## **Community Service Programs**

### *1. Services or programs included under unpaid community service.*

Iowa uses unpaid community service to provide work eligibles with opportunities to establish or reestablish contact with the work force in a non-threatening environment while providing services that are of direct benefit to the community. The unpaid community service component serves work eligibles who are not ready for more intensive efforts toward self-sufficiency. Worksites are public or private nonprofit organizations. Specific skills-training tasks are not required. Even though specific skills-training tasks are not required, the activity allows the work eligible to acquire good work habits, improve their knowledge of the work environment, and general employability through experience.

Unpaid community service in Iowa may be self-initiated, court ordered, or coordinated through a PROMISE JOBS office. Approvable unpaid community service must provide a work eligible with the opportunity to connect with the work force through a public or private nonprofit organization. Approvable placements include: volunteering at a school (as a teacher's aide), or Head Start as a (parent volunteer) or participating actively in a Parents-Teachers-Association committee or work team; volunteering with Habitat for Humanity; or other types of community service activity in a structured or semi-structured setting that can be verified and that provides onsite supervision and verification of time and attendance.

### *2. How Iowa determines the number of countable hours for unpaid community service.*

Once a work eligible locates and makes arrangements with an unpaid community service worksite, the worksite director (or designee), the work eligible, and the PROMISE JOBS case manager agree to the weekly hours of participation and length of assignment. The worksite director (or designee) monitors attendance of PROMISE JOBS work eligibles assigned to the worksite. PROMISE JOBS considers the actual hours of participation as reported by the worksite sponsor as countable hours of participation in unpaid community service.

For court-ordered community service, and other community service that is not subject to the Fair Labor Standards Act (FLSA), Iowa reports actual hours of participation at the worksite as countable hours of participation.

*FLSA and community service:*

Iowa has received approval to operate a mini-Simplified Food Stamp Program (SFSP) for TANF individuals participating in work experience or community service programs subject to the Fair Labor Standards Act (FLSA). For individuals in the SFSP, maximum hours of participation in community service subject to the FLSA are determined by combining the monthly FIP (TANF) grant and the monthly food assistance amount, and dividing by the Federal or state minimum wage, whichever is higher. Iowa will report the number of hours needed to satisfy the weekly core activity requirement for individuals who participate in community service for the maximum monthly hours allowed under the FLSA.

For individuals who are not in Iowa's mini-Simplified Food Stamp Program, the maximum hours of participation in community service are determined by the monthly FIP (TANF) grant divided by the Federal or state minimum wage, whichever is higher. Iowa reports actual hours of participation at the community service site as countable hours of participation.

Also see Section II, Hours Engaged in Work, FLSA Deeming.

3. *How Iowa verifies the actual hours of participation of unpaid community service.*

The worksite director (or designee) verifies the actual hours of participation by completing and signing Form 470-3097, *Unpaid Community Service Monthly Report* and submitting the form to PROMISE JOBS in the month following the month of participation. PROMISE JOB records actual hours of participation in the PROMISE JOBS computer system for work-eligible individuals who are in court-ordered community service or not in Iowa's mini-SFSP. For individuals in Iowa's SFSP, PROMISE JOBS records the number of hours needed to satisfy the weekly core activity requirement in the PROMISE JOBS computer system for individuals who participate in community service for the maximum hours allowed under the FLSA.

4. *Description of methods of daily supervision of unpaid community service.*

The worksite director (or designee) provides daily supervision, evaluates the work eligible's performance and verifies actual hours of participation by completing and signing Form 470-3097, *Unpaid Community Service Monthly Report* and submitting the form to PROMISE JOBS in the month following the month of participation. As a second level supervisory tool, PROMISE JOBS case managers use the *Monthly Report* form to monitor the work eligible's performance and to determine if the work eligible is appearing at the worksite for the scheduled hours and days. If PROMISE JOBS identifies problems with performance or attendance, the PROMISE JOBS case manager meets with the work eligible to attempt to resolve the problems.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined

appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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## **Vocational Educational Training**

### *1. Services or programs included under “vocational educational training”.*

“Vocational educational training” includes:

- Post-secondary education and any other academic or vocational training course of study that prepares the individual for a specific professional or vocational area of employment other than education leading to an advanced degree. Includes:
  - Vocational associate degree programs that consist of both academic and vocational course work that usually require about 60 credits. Completion of these programs can provide an associate of arts (AA), associate of science (AS), or associate of applied science (AAS) degree in specific professional or vocational fields. Common fields of study include: agricultural business and production, business, computer and information science, engineering, health-related professions, communication technologies, human services, construction, automotive technology and transportation.
  - Baccalaureate degree programs when the program is a part of an approved training plan.
  - Certificate programs that are designed to prepare a person for a specific vocation or to upgrade job-related skills. Like associate degree programs, these certificates are awarded by institutions based on credits accumulated and are usually provided on a short-term basis. Common fields of study include: Accounting, agri-business, auto collision and mechanics, bio-technology, business administration, civil engineering technology, criminal justice, data entry, computer applications and language, dental hygiene, electrical trades, electronic servicing, hotel and restaurant management, information technology, machinist and manufacturing technology, legal assistant, medical transcription, nurses’ aide, advanced nursing and other health-related certificates, office management, tool and die-making, transportation, and welding.
  - Entrepreneurial training.
  - Out-of-state training only when similar training is not available in-state, when required relocation to attend an in-state facility would be unnecessary by attending an out-of-state facility, or the only in-state facilities within commuting distance are private schools where tuition charges are higher than an out-of-state facility which is within commuting distance.
- “Vocational educational training” includes the following **only** when the training is taken as part of [embedded] otherwise acceptable vocational education training as previously described and the educational institution determines through testing that the training is necessary as an integral part of the vocational education training:
  - English as a Second Language (ESL) - Course of study that enables the individual to improve the ability to read and speak English.
  - Basic or remedial education to prepare a person for additional training.

Also see item #6 for a description of limitations on these activities.

2. *Description of how Iowa determines the number of countable hours of participation for vocational educational training.*

- Vocational education training must be monitored and supervised by the educational institution. Vocational education training providers and work eligibles report on progress and actual hours of participation on a monthly basis. Iowa considers actual hours of participation monitored by the education provider. A maximum of one hour of unsupervised homework is allowed for each hour of class time in addition to any monitored study time as countable hours of participation. The total number of hours spent in study may not exceed the number of hours required or advised by the educational program as documented in the work eligible's case file.
- Distance learning. When the participant is involved in a distance-learning program, via internet or video conferencing, PROMISE JOBS will accept the documentation issued by the distance learning institution verifying that the student attended the sessions. It may include the attendance records or log-in and log-out records available on-line or in an electronic format. Documentation may also be obtained through an agreement with a support agency that monitors the student's actual participation.

3. *Description of how Iowa verifies the actual hours of participation for vocational educational training.*

Work eligibles in vocational educational training must provide monthly documentation of actual hours of participation and of their progress for the prior month using form 470-2617, *PROMISE JOBS Time and Attendance*. The training provider and the work eligible must sign and date the form. The work eligible must provide the form to PROMISE JOBS staff by the tenth calendar day following the month of participation. Upon receipt of the form, the PROMISE JOBS case manager reviews the reported attendance and enters the work eligible's weekly hours of attendance in the PROMISE JOBS component file system.

If the work eligible does not provide the documentation of actual hours of participation by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide documentation by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

4. *Description of the methods of daily supervision for vocational educational training.*

Staff members of the educational institution provide daily supervision of work eligible attendance and progress. Upon receipt of the *Time and Attendance* form, the PROMISE JOBS case manager provides a second level of supervision and monitoring by reviewing the reported attendance and progress to determine if the work eligible is making good and satisfactory progress and to determine if the work eligible is attending training as scheduled. If the form indicates a problem with either the work eligible's attendance or progress, PROMISE JOBS case managers contact the training facility to discuss the work eligible's situation and to attempt to resolve the issue.

*Satisfactory Progress:* Work eligibles in vocational educational training must maintain the minimum cumulative grade point average or other progress measure as required by the training facility. Work eligibles in vocational educational training must provide monthly documentation of their progress for the prior month using form 470-2617, *PROMISE JOBS*

*Time and Attendance* report: The training provider and the work eligible must sign and date the report. The work eligible must provide the form to PROMISE JOBS staff by the tenth calendar day following the month of participation. Work eligibles in vocational educational training must also provide documentation of their grades following each training term.

Even though Iowa allows vocational education training programs beyond 12 months, Iowa reports no more than the statutory limit of 12 months per person for vocational education training. See response to # 5.

5. *Description of how the State ensures participation in vocational educational training does not count beyond the statutory limitations limiting participation to 12 months lifetime per individual.*

PROMISE JOBS case managers enter actual work eligible weekly hours in vocational educational training for the prior month in the PROMISE JOBS computer system. The information is submitted monthly to IDHS. Federal reporting programs used by IDHS track the number of weekly hours counted towards work participation for each FIP work eligible. The tracking program counts the number of months with hours reported as vocational educational training for each work eligible and limits the number to 12 months.

6. *Explanation of how the State will ensure that basic and remedial education and English as a Second Language, if such activities are counted, are of limited duration, and a necessary or regular part of the vocational education training.*

Iowa limits basic skills and remedial education, and English as a second language (ESL) when taken as a necessary or regular part of the vocational education training to the length of time defined in the individual's training plan. A work eligible cannot be enrolled in basic skills or ESL as a stand-alone program and have those hours counted as vocational education training, but must be participating in these classes as a part of vocational education as described in this section.

Time limitations include:

- Basic skills and remedial training – one term.
- ESL – 12 months.

Additional time beyond what was initially defined in the work eligible's training plan may be allowed when determined necessary by the educational institution.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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## **Job Skills Training Directly Related to Employment**

### *1. Services or programs included under “job skills training directly related to employment”*

In Iowa, “job skills training directly related to employment” includes:

- Vocational educational training extending beyond the allowable 12-months.
- Basic skills and remedial training for adults (persons age 20 and over) when focused on skills needed for employment.

### *2. Description of how Iowa determines the number of countable hours of participation for job skills training directly related to employment.*

“Job skills training directly related to employment” must be monitored and supervised by the training institution. Training providers and work eligibles report on progress and actual hours of participation on a monthly basis using form 470-2617, *PROMISE JOBS Time and Attendance*. Based on this reported attendance, PROMISE JOBS determines actual hours of participation as follows:

- **For vocational educational training**, Iowa considers actual hours of participation monitored by the education provider, including monitored study time, as countable hours of participation. A maximum of one hour of unsupervised study time per each hour of classroom time may be included as countable hours. The total number of hours spent in study may not exceed the number of hours required or advised by the educational program and documented in the work eligible’s case file. Online or distance learning is only allowable if verification of the hours is available.
- **For basic skills and remedial training for adults** that is not taken as part of vocational education training, PROMISE JOBS uses actual hours of participation in training. Only study hours spent in supervised study or otherwise monitored by the training institution and reported on the *Time and Attendance* form will be reported as countable hours of participation. A maximum of one hour of unsupervised homework is allowed for each hour of class time in addition to any monitored study time as countable hours of participation. The total number of hours spent in study may not exceed the number of hours required or advised by the educational program as documented in the work eligible’s case file.

### *3. Description of how Iowa verifies the actual hours of participation for job skills training directly related to employment.*

Work eligibles in job skills training directly related to employment must provide monthly documentation of actual hours of participation and of their progress for the prior month using form 470-2617, *PROMISE JOBS Time and Attendance*. The training provider and the work eligible must sign and date the form. The work eligible must provide the form to PROMISE JOBS staff by the tenth calendar day following the month of participation. Upon receipt of

the form, the PROMISE JOBS case manager reviews the reported attendance and enters the work eligible's weekly hours of attendance in the PROMISE JOBS component file system. If the work eligible does not provide the documentation of actual hours of participation by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide documentation by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

4. *Description of the methods of daily supervision for job skills training directly related to employment.*

Staff members of the training institution provide daily supervision of work eligible attendance and progress and report monthly using 470-2617, *PROMISE JOBS Time and Attendance*.

5. *Description of Iowa's criteria for "good or satisfactory progress" and when and how it is documented.*

Work eligibles in job skills related to employment training must maintain the minimum GPA cumulative grade point average or other progress measure as required by the training facility and to attend training as scheduled.

Upon receipt of the *Time and Attendance* form, the PROMISE JOBS case manager reviews the reported attendance and progress to determine if the work eligible's progress is satisfactory and to determine if the work eligible is attending training as scheduled. Work eligibles in job skills training directly related to employment must also provide documentation of their grades following each training term. If the *Time and Attendance* form or the work eligible's grades indicate problems with either the work eligible's attendance or progress, PROMISE JOBS case managers contact the training institution to discuss the work eligible's situation and to attempt to resolve the issue.

The methods described under *Satisfactory Progress* in item # 4 of Vocational Educational Training apply to basic skills and remedial training except that work eligibles in basic skills and remedial training are expected to complete the training within the time frames documented in the work eligible's training plan.

All documentation related to calculating and verifying work participation is maintained in the work eligible's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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**Education Directly Related to Employment.**

1. *Services or programs included under education directly related to employment.*

In Iowa, “education directly related to employment” includes the following when needed to obtain a specific occupation or job:

- Adult Basic Education (ABE).
- English as a second language (ESL).
- General Equivalency Diploma (GED).

2. *Description of how Iowa determines the number of countable hours of participation for education directly related to employment.*

- “Education directly related to employment” must be monitored and supervised by the training institution. Training providers and work eligibles report actual hours of participation on a monthly basis using form 470-2617, *PROMISE JOBS Time and Attendance*. Based on this reported attendance, PROMISE JOBS uses actual hours of participation to determine countable hours of participation. Only study hours spent in supervised study or otherwise monitored by the training institution and reported on the *Time and Attendance* form will be reported as countable hours of participation. A maximum of one hour of unsupervised study may be included in countable hours. The total number of hours spent in study may not exceed the number of hours required or advised by the educational program as documented in the work eligible’s case file.

3. *Description of how Iowa verifies the actual hours of participation for education directly related to employment.*

Work eligibles in education directly related to employment must provide monthly documentation of actual hours of participation and of their progress for the prior month using form 470-2617, *PROMISE JOBS Time and Attendance*. The training provider and the work eligible must sign and date the form. The work eligible must provide the form to PROMISE JOBS staff by the tenth calendar day following the month of participation. Upon receipt of the form, the PROMISE JOBS case manager reviews the reported attendance and enters the work eligible’s weekly hours of attendance in the PROMISE JOBS component file system.

If the work eligible does not provide documentation of actual hours of participation by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide documentation by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

4. *Description of the methods of daily supervision for education directly related to employment.*

Staff members of the training institution provide daily supervision of work eligible attendance and progress and report monthly using 470-2617, *PROMISE JOBS Time and Attendance*.

5. *Description of Iowa’s criteria for “good or satisfactory progress” and when and how it is documented.*

Work eligibles in education directly related to employment must maintain the minimum cumulative grade point average or other progress measure as required by the training facility and to attend training as scheduled.

Upon receipt of the *Time and Attendance* form, the PROMISE JOBS case manager provides a second level of supervision and monitoring by reviewing the reported attendance and progress to determine if the work eligible's progress is satisfactory and to determine if the work eligible is attending training as scheduled. Work eligibles in education directly related to employment must also provide documentation of their grades following each training term. If the *Time and Attendance* form or the work eligible's grades indicate problems with either the work eligible's attendance or progress, PROMISE JOBS case managers contact the training institution to discuss the work eligible's situation and to attempt to resolve the issue.

Work eligibles in education directly related to employment are expected to complete the training in the time frames documented in the work eligible's training plan.

All documentation related to calculating and verifying work participation is maintained in the work eligible person's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

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### **Satisfactory Attendance at Secondary School**

1. *Services or programs included under "Satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence, in the case of a recipient who has not completed secondary school or received such a certificate".*

In Iowa, this activity includes:

- High school completion.
- General Equivalency Diploma (GED) classes.

2. *Description of how Iowa determines the number of countable hours of participation for "Satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence..."*

Training providers and work eligibles report actual hours of participation on a monthly basis using form 470-2617, *PROMISE JOBS Time and Attendance*. Based on this reported attendance, PROMISE JOBS uses actual hours of participation to determine countable hours of participation. Only study hours spent in supervised study or otherwise monitored by the training provider and reported the *Time and Attendance* form will be reported as countable hours of participation.

Minor parents attending secondary school full-time with satisfactory progress are deemed to be meeting federal work requirements. Iowa reports all actual hours of participation as stated in the previous paragraph.

3. *Description of how Iowa verifies the actual hours of participation for “Satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence...”*

Work eligibles attending high school and GED classes must provide monthly documentation of their attendance for the prior month using form 470-2617, *PROMISE JOBS Time and Attendance* report. The training provider and the work eligible must sign and date the report. The work eligible must provide the form to PROMISE JOBS by the tenth calendar day following the month of participation. Upon receipt of the form, the PROMISE JOBS case manager reviews the reported attendance and enters the work eligible’s weekly hours of attendance in the PROMISE JOBS computer file.

If the work eligible does not provide documentation of actual hours of participation by the due date, the PROMISE JOBS case manager sends a written reminder to allow the work eligible an additional five working days. Failure to provide documentation by the due date on the written reminder results in cancellation of FIP assistance under a Limited Benefit Plan.

4. *Description of the methods of daily supervision for “Satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence...”*

Staff members of the training institution provide daily supervision of work eligible attendance and progress and report monthly using 470-2617, *PROMISE JOBS Time and Attendance*.

5. *Description of Iowa’s criteria for “good or satisfactory progress” and when and how it is documented.*

Work eligibles attending high school or GED classes must maintain the minimum cumulative grade point average or other progress measure as required by the training facility and must provide written documentation of their progress from the training provider. In general, persons attending high school are expected to have completed the secondary school course of studies by the time they reach 20 years of age. Those participating in GED classes are expected to have attained their GED certificate within a reasonable number of months, generally within 24 months. The GED guidelines may be extended on a case-by-case basis for individuals with special needs or accommodations.

Upon receipt of the *Time and Attendance* form, the PROMISE JOBS case manager reviews the reported attendance and progress. If the form indicates problems with either the work eligible’s attendance or progress, PROMISE JOBS case managers contact the school or training facility to discuss the work eligible’s situation and to attempt to resolve the issue.

All documentation related to calculating and verifying work participation is maintained in the work eligible’s case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

## **Providing Child Care Services to an Individual Participating in Community Service Program**

1. *Services or programs included under “providing child care services to an individual who is participating in a community service program”*

Iowa is currently not reporting hours of participation in any service or program as “providing child care services to an individual who is participating in a community service program.” If at some point Iowa decides to pursue this option an amendment to the Work Verification Plan will be submitted pursuant to 45 CFR 261.63(c) of the interim final rule.

## **II. Hours Engaged in Work**

This section includes two topics: excused absences and FLSA deeming.

### **Excused Absences:**

1. *Description of Iowa’s excused absence policies for unpaid work activities, including the policies for holidays.*

### **Excused Absence Policy**

- For unpaid work activities, Iowa will report the number of scheduled hours as hours of participation when a work eligible is absent from the activity due to an excused absence or a holiday. For each work eligible, Iowa will report no more than 80 hours of excused absences in a period of time no greater than the preceding 12-months, and no more than 16 hours of excused absences in a given month.
- Iowa will consider using the following instances in defining an absence from a scheduled unpaid work activity as “excused”:
  - Illness.
  - Court-appearance.
  - Attendance at school functions for children, i.e. parent/teacher conferences.
  - Attendance at required meetings with IDHS or IWD.
  - Required in the home due to illness of another family member.
  - Family emergency, using reasonable standards of an employer.
  - Bad weather, using reasonable standards of an employer.
  - Absent or late due to work eligible’s or spouse’s job interview, when the hours cannot be counted as job search.
  - Leave due to the birth of a child. When a child is born or joins a family through adoption or foster care after referral, necessary absence shall be determined in accordance with the Family Medical Leave Act of 1993.

### **Holiday Policy:**

An absence is excused due to a holiday when the work eligible would normally be scheduled for an unpaid work activity on a given day and the work eligible does not attend the activity as the worksite, training facility, or activity-site:

- Is closed due to a holiday, or
- Is open on a given holiday and allows a student, work-experience trainee or unpaid community service volunteer to take their normally scheduled hours off on a different day to allow business to continue despite the holiday.

For persons participating in unpaid work activities Iowa will excuse state and federal holidays when they would otherwise be scheduled for activity as designated in their FIA. No work eligible may receive credit for more than a total of 10 state, federal or mandated holidays within the preceding 12 months. Holidays must be identified and documented in each work eligible FIA and updated as necessary.

The ten holidays that Iowa will excuse are limited to:

1. New Year's Day
2. Martin Luther King Day
3. President's Day
4. Memorial Day
5. 4<sup>th</sup> of July
6. Labor Day
7. Veterans Day
8. Thanksgiving
9. Day after Thanksgiving
10. Christmas

Iowa uses a form with a calendar to track each excused absence and holiday reported as hours of participation for each work-eligible individual to ensure compliance with the limitations of 261.60”b” of the interim final regulations. Iowa plans to systematically track excused absences and holidays reported as hours of participation in the future. All documentation related to calculating and verifying work participation is maintained in the work eligible’s case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

### **FLSA Deeming**

*If the State wishes to use the “deeming” provision permitted at 45 CFR §§ 261.31 and 261.32 for work experience or community service programs, describe how the State determines the work hours requirement, including how the monthly TANF grant and food stamp allotment are combined and divided by the appropriate minimum wage to meet the “core” participation requirement. Include a statement certifying that the State has adopted a “mini” Simplified Food Stamp Program in order to count the value of food stamp benefits.*

Iowa has received approval from FNS to operate a mini Simplified Food Stamp Program (SFSP) to allow Iowa to use the deeming option under 45 CFR 261.31 and 261.32 of the interim final rule.

Iowa’s SFSP is limited to FIP (TANF) individuals and participating in work experience or community service programs subject to the Fair Labor Standards Act (FLSA). For individuals in

the SFSP, maximum hours of participation in work experience and community service subject to FLSA are determined by combining the monthly FIP (TANF) grant and the monthly food assistance amount, and dividing by the Federal or state minimum wage, whichever is higher.

To apply the “deeming” provision, PROMISE JOBS records the number of hours needed to satisfy the weekly core activity requirement for individuals who participate in work experience or community service for the maximum monthly hours allowed under the FLSA in the PROMISE JOBS computer system. All documentation related to calculating maximum hours of participation and using the “deeming” provision under 45 CFR 261.31 and 261.32 of the interim final rule is maintained in the work eligible’s PROMISE JOBS case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

### III. Work-Eligible Individual

#### Definition of Work Eligible:

<b>Work-Eligible</b>	<b>Non-Work-Eligible</b>
Adult parent receiving TANF or SSP MOE assistance	Minor parents and their spouses who are not a head of household
Non-recipient parent living with a child receiving TANF or SSP MOE assistance	Aliens not eligible to receive assistance due to their immigration status
Minor Head of Household receiving TANF or SSP MOE.	Minor parent who is the spouse of a head of household Recipients of Supplemental Security Income (SSI) or Social Security Disability Insurance (SSDI) benefits.
Recipient adult caretaker of a child who is receiving TANF or SSP MOE assistance.	Parent providing care for a disabled family member living in the home, with medical documentation.

#### 1. Description of how Iowa identifies a “work eligible” person.

All “work-eligibles” as defined at § 261.2 are referred to PROMISE JOBS for work and training services, and are included in the work participation file for the TANF Data Report. Iowa also refers some “non-work-eligibles” to PROMISE JOBS. Under Iowa’s referral policies, the following individuals are referred to PROMISE JOBS and must develop a Family Investment Agreement (FIA), unless determined exempt: Non-recipient FIP applicant as part of FIP eligibility determination.

- All adults on the FIP grant;
- All minor parents on the FIP grant;
- All children ages 16 to 19 on the FIP grant who are not in school full-time, or in school and returned after signing an FIA; and

- Any parent excluded from the FIP grant and living with a child on FIP, unless the parent is:
  - Receiving SSI or SSDI.
  - A non-qualifying alien as defined at 8 United States Code (USC) Section 1641.

IDHS IM workers identify each individual’s exempt or mandatory PROMISE JOBS status with a referral code in IABC, IDHS’ FIP eligibility system. A nightly batch system process updates IDHS’ PROMISE JOBS referral master file that contains information for all individuals who are referred to PROMISE JOBS. To prepare the work participation file for each month of the TANF Data Report, IDHS uses data from IABC and the referral master file to identify who is work eligible as follows:

Steps	Determination of Work Eligible Individual
1	<p><b>Use ISSV to determine the individuals who received FIP in the month and non-recipient parents on active FIP cases.</b></p> <p>Since SSI recipients do not receive FIP and are not coded as a non-recipient-parent they are excluded from “work-eligible” in this step.</p>
2	<p>Identify adults and minor parents who are work eligible using birth date and relationship status from IABC. Relationship status code identifies head of household and spouse (including minor head of household) and is determined by IM worker.</p> <p>Minor parents and spouses that are not head of household are excluded in this step.</p>
3	<p>Identify newly approved cases that received retroactive FIP in the prior month for optional inclusion in work participation rate calculation.</p>
4	<p>Exclude:</p> <ul style="list-style-type: none"> <li>• Aliens ineligible to receive FIP due to immigration status. Identify by IM entered citizenship code.</li> <li>• Parents who are providing care for a disabled family member living at home. Identify by PROMISE JOBS entered component code (from PROMISE JOBS component file).</li> </ul> <p>Only those identified to be “work-eligible” will be entered into the monthly work participation file that will be used for the TANF Data Report and the SSP-MOE Data Report.</p>
4	<p>From those determined as “work-eligible”, use the case aid type from IABC to determine if the individual belongs to a single parent or two-parent FIP case. Assign the appropriate Case Category code in the work participation file for the month to be used for the TANF Data and SSP-MOE Reports.</p>

**Note:** Technical description of data provided in Appendix G of this document

## **Exclusion of a Parent Caring for a Disabled Family Member**

As previously stated, unless exempt, all parents must participate in a Family Investment Agreement (FIA) with PROMISE JOBS, including parents caring for a disabled family member in the home. The primary FIA activity for an individual in this situation will be to continue to provide care for the disabled family member.

### Criteria for Exclusion:

- The disabled family member must live in the home.
- “Family member” includes people related by blood, marriage, or adoption, and a “specified” relative according to Iowa Code 239B.1.
- For purposes of this exclusion, disability means the family member has a mental or physical impairment or combination of mental and physical impairments that results in substantial functional limitations in one or more of the following areas of major life activity;
  - Self-care;
  - Receptive and expressive language;
  - Learning;
  - Mobility;
  - Self-direction;
  - Capacity for independent living; and
  - Economic self-sufficiency.

When applied to infants and young children (birth through 5), the definition includes those children who have substantial developmental delay or specific congenital or acquired conditions with a high probability of resulting in disabilities if interventions are not provided.

- Written medical evidence from a state approved medical or mental health physician must demonstrate that the parent is needed in the home to care for the disabled family member on a full-time basis. The evidence needs to state if the need for full-time care is temporary or permanent, and indicate when the situation will be re-evaluated.

PROMISE JOBS case managers will identify parents caring for a disabled family member and meeting the exclusion criteria through entry in the PROMISE JOBS component data file. The entry will specify the beginning date of the exclusion and the anticipated ending date according to the medical evidence:

- The beginning date will allow Iowa to determine the existence of the exclusion for any given month.
- The ending date will allow for tracking to ensure that continued eligibility for this exclusion is reviewed in a timely manner.

PROMISE JOBS will use the medical evidence to determine when eligibility for the exclusion shall be reviewed but will review no less than once every six-months.

When preparing the work participation file for the TANF Data and SSP-MOE Reports each month, IDHS will use data from the PROMISE JOBS component file to determine individuals who can be excluded due to caring for a disabled family member.

2. *Description of the verification procedures for ensuring the accuracy in reporting of work-eligible individuals on the TANF Data Report and the SSP-MOE Data Report, including:*
  1. The correct reporting of the work participation status of all adult (or minor child head-of-household) family members, and
  2. The proper identification of TANF families for inclusion in only the overall work participation rate or the overall and two-parent work participation rates, or exclusion from both the overall and two-parent work participation rates.

### **Determining Work Participation Status**

To prepare the work participation file for the TANF Data Report each month IDHS uses IABC system files in addition to other system files to determine Work Participation Status for each work-eligible person according to the steps in the table below.

See Attachment F – **Systems Details On Determining Work Eligibles and Work Participation Status; Calculating Monthly Hours; and Detail of Data Elements** for a detailed description of the systems steps in identifying work eligible individuals and how work participation status is determined.

<b>Step</b>	<b>Determining Work Participation Status</b>
1	Identify cases with work eligible individuals as described above.
2	Use data from PROMISE JOBS component and employment files to determine each work-eligible individual with hours of participation that count towards federal work activities.
3	Define and code family as a “single parent” or “two parent” family.
4	Identify single parent or needy caretaker cases with a child less than 6 years old.
5	Identify two-parent families that contain a disabled parent.
6	Identify cases with minor parent head of household. <ul style="list-style-type: none"> <li>• Attending school fulltime or</li> <li>• Enrolled in education directly related to employment at least 20 hours a week.</li> </ul>
7	Identify single parent households with a child less than 12 months old for disregard if case is not countable for work participation and if lifetime limit not used.
8	Identify households receiving Federally funded child care for the month.
9	Identify households in a period of disregard due to failure to participate.
10	Work participation status determined based on steps 1-9 above.

**Definition of Disabled Parent for Purpose of Exclusion from Two-Parent Rate  
(R 7/2010)**

As previously stated, all parents must participate in a Family Investment Agreement (FIA) with PROMISE JOBS, including parents with disabilities, unless exempt due to the receipt of SSI. PROMISE JOBS and the work eligible must select FIA activities that are within the person's limitations. Parents with disabilities are referred to PROMISE JOBS regardless of the extent of their disability.

When at least one parent in a two parent case has a disability as defined below and is unable to make their required hours of work participation, they will be excluded from the two-parent work participation rate.

1. Receive SSI and/or Social Security Disability benefits, or,
2. Written medical evidence from a state approved medical physician or mental health professional, or state rehabilitation agency; states that the parent has a mental or physical impairment or combination of mental and physical impairments that result in substantial functional limitations in the person's ability to participate. The evidence needs to state if the disability is temporary or permanent, and indicate when the situation will be re-evaluated.

PROMISE JOBS will document which parents have disabilities meeting the above criteria in the PROMISE JOBS computer system. The entry will specify the date that existence of the disability is verified and the anticipated date of recovery or re-evaluation date.

- The verification date will allow Iowa to determine the existence of the exclusion for any given month.
- The ending date will allow for tracking to ensure that continued eligibility for exclusion from the two-parent work rate is reviewed in a timely manner.

PROMISE JOBS will use the medical evidence provided by the approved medical professional to determine when eligibility for the exclusion shall be reviewed, but will review no less than once every six-months.

When preparing the work participation file for the TANF Data and SSP-MOE Reports each month, IDHS will use data from the IABC system and the PROMISE JOBS computer system to determine two-parent cases containing a parent with a disability that meets the above criteria to allow the case to be excluded from the two-parent work participation rate.

3. *Description of the procedures that show how the State ensures that, for each work-eligible individual, it accurately inputs data into the automated data processing system, properly tracks the hours, and accurately reports countable hours to HHS that do not include participation in an activity that does not meet a Federal definition.*

**Reporting of Weekly Hours in Work Activities**

Iowa contracts with the Department of Workforce Development (IWD) for employment and training services. Contract payments are contingent upon IWD and its subcontractors performing the services and following policy found in the PROMISE JOBS Provider Manual

and meeting performance standards. Services include both data maintenance and accurate and timely data reporting of hours in work activities. Each month, IWD sends IDHS the following files on activities during the month:

- Education and training activities (PROMISE JOBS component file)
- Employments (PROMISE JOBS employment file)

Step	Reporting Weekly Hours in Work Activities
1	Work eligible turns in participation documentation to PROMISE JOBS case manager by the 10 <sup>th</sup> of the following month of activity.
2	PROMISE JOBS case manager enters information into their data files within 10 days of receipt.
3	PROMISE JOBS activity file submitted to IDHS by the 20 <sup>th</sup> of the month.
4	IDHS merges PROMISE JOBS activity file with previous files to form an historical file of work activities.
5	IDHS calculates monthly hours of participation using: <ul style="list-style-type: none"> <li>• Beginning and ending dates</li> <li>• Actual weekly hours of participation (up to 5 weeks) based on each week in which a Friday falls.</li> </ul>
6	Weekly hours added together and then divided by 4 or 5, depending on the number of Fridays in the month to calculate average number of weekly hours in a month.

**Exceptions:**

Activity	Exception	Description
Job readiness/search	<p>A maximum of 240 hours or 360 hours, if determined as a “needy state.”</p> <p>No more than 4 consecutive</p> <p>Based on TANF-ACF-PI-2006-04 Iowa anticipates meeting the definition of a needy state for each month of FFY 2007.</p>	<ul style="list-style-type: none"> <li>• Each week’s hours considered independently.</li> <li>• Independent counters track: total number of hours and number of consecutive weeks.</li> <li>• Number of hours compared to “total number of hours”</li> <li>• Each week compared to “consecutive weeks”.</li> <li>• Total number of hours and consecutive counters maintained month to month.</li> <li>• Monthly counters tally the 12-month period for each work eligible beginning with the report month through the previous 11-month period.</li> </ul>
Employments	IWD projects the weekly hours of employment based on actual hours worked within the past 30 days.	<ol style="list-style-type: none"> <li>1. Determine the percentage of the month for employment based on begin and end dates.</li> <li>2. Convert weekly projected hours to a monthly figure by multiplying by 4 or 5 depending on the number of Fridays in the month. The resulting sum is then multiplied by the percent of the month</li> </ol>

Activity	Exception	Description
		worked and then divided by the same factor to get the weekly average of hours for the month.
Vocational Educational Training	Vocational educational training is limited to 12 months.	<ol style="list-style-type: none"> <li>1. IDHS maintains an ongoing vocational education counter by SSN.</li> <li>2. Each month with reported vocational educational training activity moves the counter forward “1”.</li> <li>3. Months past “12” are no longer counted as hours in vocational education.</li> <li>4. Countable hours in vocational educational training that extends beyond the 12-months are counted as “job-skills directly related to employment”.</li> </ol>

#### **IV. Internal Controls**

The State confirms that it will maintain all pertinent findings produced through its internal control processes and that these findings will be available for use by the Federal Administration for Children and Families (ACF) and other auditors in their review of the State’s work participation verification system. This section describes internal controls that ensure a consistent measurement of the work participation rates.

This section contains four subsections with information on the following subjects:

1. Iowa’s Quality Assurance system,
2. Monitoring done by IDHS staff and staff in the PROMISE JOBS program,
3. System edits, and
4. Electronic documentation of work participation activities.

In addition to the internal controls described in the above four subsections, also worth mentioning are the following:

- IDHS writes instructions in employee manuals for both income maintenance and PROMISE JOBS case managers on when to make referrals and who is responsible for the referrals, making system entries for referrals, and so on.
- Central office and field staff from IWD and IDHS hold regular, ongoing training sessions as well as special training planned to cover changes made to meet Federal requirements. IDHS’ contract with IWD requires IWD to submit an annual training schedule.
- Iowa reports work participation information for all cases with an individual who is work eligible, not just a sample.

#### **1. Quality Assurance**

The Division of Field Operations has an established Quality Assurance & Improvement (QA & I) process that includes a QA & I coordinator and statistical analysts. The purpose of the system is to ensure consistent measurement of the work participation rates, identify process improvements, and monitor contractors. The QA & I coordinator's main responsibility is to conduct reviews of the PROMISE JOBS program in Iowa, including compliance with state and Federal guidelines.

- a. *Descriptions of internal controls to ensure established work verification procedures are properly being employed.*

## IDHS

Quality Assurance & Improvement staff have reviewed and aligned Federal and State definitions and identified the data elements received from IWD that indicate when work eligible persons are meeting work participation rates. QA & I monitor on a monthly basis these data elements. Case reading by IDHS and IWD and its subcontractors is also used to verify the on-going accuracy of the data recorded in state systems. The role of Quality Assurance is to verify accuracy and uniformity of both case file and system information.

- b. *Description of internal controls to control for data input discrepancies, data omissions, computational errors, and compilation errors.*
  - IDHS requires IWD and its subcontractors to monitor the accuracy of the data that PROMISE JOBS case managers enter into data systems for reporting. This monitoring process is performed statewide using an integrated case reading tool examining case file and system data.
  - The IDHS QA & I coordinator will perform a second level quality assurance review that examines both the accuracy and consistency of the first level PROMISE JOBS reviews. The second level review evaluates the inter-rater reliability of data and overall accuracy of data entry. It ensures work participation rates are calculated accurately and provides a source of information for practice improvement and training uses. See item 2, Monitoring, paragraph "e", for more details regarding case reading.
- c. *Description of electronic system checks to ensure all data elements used in the work participation rate calculation are internally consistent.*
  - As mentioned in item "a" above, through a detailed data mapping process Iowa can document the data source and use of data consistent with Federal regulations and definitions. The Quality Assurance process compares system data and case file information to ensure consistent and timely data in alignment with Federal requirements and definitions.
- d. *Description of any sampling and estimation techniques employed in data validation.*
  - Iowa estimates that there are 32,059 PROMISE JOBS participants in a year. Iowa's QA & I coordinator will use statistical tools to select a stratified random sample representing one case to be reviewed monthly for each of the nearly 185 staff who serve Iowa's work eligible FIP population. This will result in an annual

sample of 2,220 cases yearly. Local SDRPJT Administrators will review sampled cases. QA&I will review a sub-sample of the cases selected to complete a second level review for reliability. The annual sample rate will be approximately 7% (2220/ 32,059) of the total eligible population. The actual sample rate will vary slightly, in response to possible changes in the size of the work force, but at no time will the rate fall below an annual sample rate of 5%.

## 2. Monitoring

As mentioned earlier in this plan, IDHS contracts with Iowa Workforce Development to provide PROMISE JOBS services. IWD subcontracts with a number of agencies, often community action agencies, to provide PROMISE JOBS services in designated areas of the state referred to as territories. A mix of IWD state staff and subcontract staff provides PROMISE JOBS services in each territory.

Various files, reports, and monitoring efforts are performed by IDHS and IWD. Below is a description of the various files, reports, and monitoring processes performed by IDHS and IWD.

- a. Monthly, IDHS receives component and employment files from IWD. These files provide details regarding the activities individuals participate in and the number of hours they participate.
- b. Monthly, IDHS prepares a report with the percentage of mandatory work families and mandatory 2-parent families who meet work participation requirements. The report also identifies the number of mandatory work families. The report is reviewed monthly to monitor the trend and identify issues that may need to be researched further.
- c. Monthly, IDHS receives the number of individuals referred to PROMISE JOBS. Information is reviewed monthly to monitor the trend.
- d. *Limited Benefit Plan:* The LBP is Iowa's penalty for failure to participate in work and training activities. Since the LBP may result in loss of benefits for the entire family, an LBP specialist reviews the case to determine if the LBP is appropriate. The case review is then discussed with the PROMISE JOBS case manager before imposition of the LBP.

LBP reviewers from IWD field offices submit a weekly report to IWD Quality Assurance (QA) staff that includes: participant name and State ID; case manager and LBP reviewer names; date of review; outcome of review (affirmed/denied); status of LBP (first or subsequent); and reason the participant has chosen an LBP.

IWD QA staff randomly select 10% of submitted LBPs for a 2<sup>nd</sup> level review to ensure that program policies, procedures, and rules are followed. Communication between territory administrators and IWD QA will include the findings of those reviews.

An IWD QA supervisor will compile the LBP information, including reason for the LBP, by the 1<sup>st</sup> and subsequent LBP and include this information in the QA quarterly and annual reports as outlined in the Project Management & Reporting/Quality Assurance section of IDHS's contract with IWD.

- e. *Local Case Reading*: Local territory administrators read a minimum of one case per worker per month and report these findings to IWD central office. This case reading is a thorough case review including:
- Case set-up
  - Required client documentation
  - Case narratives
  - The appropriateness of FIA components
  - Data entry
  - Case management
  - Timeliness of actions
  - Record maintenance

Local case reading will be done monthly as previously described in IV.1.e, *Description of Sampling Method for Case Reviews*.

#### **4. System Edits**

##### Referral of Work-Eligible Persons to PROMISE JOBS:

IDHS' eligibility system in IABC includes programming to ensure that the IDHS income maintenance (IM) worker refers all required active work-eligible individuals to the PROMISE JOBS program. Edits check for an individual's:

- FIP status (i.e., active or closed);
- Age;
- Relationship to the head of household;
- Whether the individual is in the home; and
- Citizenship.

Programming ensures that all appropriate individuals are coded mandatory for working with our PROMISE JOBS program. Otherwise, FIP approval for the individual will not occur.

##### Correct Coding for Two-Parent Cases:

The IABC system includes programming that does not allow the IM worker to enter a two-parent aid-type on a case that includes only one parent on FIP assistance to help ensure data accuracy.

#### **5. Documenting Work Participation Activities Electronically**

The process of documenting work participation activities by work-eligible individuals in the FIP program involves the following steps:

- Identifying work-eligible adults and minor children who are heads-of-household

- Identifying their FIP case status (i.e., single-parent, two-parent FIP, or caretaker case)
- Identifying receipt of FIP assistance
- Identifying their work participation status
- Recording their weekly hours in work activities

Name of File	Description of Processing
PJCase Database	The Division of Data Management (DDM) in IDHS updates the PJCase Database with new information from the IABC system.
Issuance Verification System (ISSV)	DDM in IDHS processes this file on a daily basis. ISSV data identifies the parent, other parent or spouse of a parent in a household that received a FIP warrant within the report month.
Sixty-month FIP history file	DDM in IDHS processes this file at the calendar month-end of each month. Each time DDM creates this file, the file displays the entire FIP population by individual for each of the past 60 months in order from oldest month to most recent month.
Limited Benefit Plan file	DDM in IDHS processes this file every day. DDM does processing in a cumulative fashion so that all instances of the LBP are recorded.
Child care files	DDM in IDHS processes these files each day. DDM also does processing in a cumulative fashion so that all child care payments made for each case and individual are recorded.
PROMISE JOBS component/employment files	<p>IWD usually creates these files on the evening of the 20<sup>th</sup> day of each month for all activities and updates that pertain to the immediately preceding month. However, if the 20<sup>th</sup> of the month falls on the weekend, IWD creates these files on the evening of the first workday following the 20<sup>th</sup> of the month.</p> <p>DDM merges these files with the PJCase database each month. The purpose of merging is to create updated master files that show up-to-date data for each individual in each activity. DDM backs up the PJ Case Database daily. The PJ Case Database contains backed-up component/employment data for each work eligible for 18 months. This allows IDHS to run reports for individual months at any given time without the risk of loss of data pertaining to any particular month.</p>

IDHS processes these system files, identified immediately above, on a regular schedule (either daily or monthly) and does not vary the schedule from day to day or month to month. Also, IDHS does the processing of the monthly program on a regimented time schedule each month to ensure the referenced files relate to the appropriate month. The process involves the creation of a monthly system file that is then incorporated into the monthly TANF Data Report and SSP-MOE Data Report.

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## **V. Verification of Other Data Used in Calculating the Work Participation Rates**

Under the “complete and accurate” standard for data reporting, a State must validate all data submitted in its TANF Data Report and, if applicable, the SSP-MOE Data Report.

Iowa has the capacity to breakout TANF families with a work-eligible individual by the case characteristics that relate to the special rules and conditions of participation, such as receipt of Federally-funded child care, age of child, age of adult or teen parent, number of months under a sanction, adult or teen parent with satisfactory school attendance, and families with a disabled family member (adult or child).

### Data Elements

1. For each of the data elements, following is a description of the State’s data validation procedures to ensure “complete and accurate” data reporting.

Data Element	Input	Verification
Work Activities	<ul style="list-style-type: none"> <li>PROMISE JOBS Component File</li> <li>PROMISE JOBS Employment File</li> </ul>	Multiple levels of review. See below.
Reporting Month	Date-matched with IABC to identify receipt of FIP in the month	Issuance verification system.
Stratum	NA – Iowa reports on all cases	
Case Number	<ul style="list-style-type: none"> <li>Unique number assigned by IABC to an assistance unit.</li> <li>Each person in an assistance unit receives a State Identification Number. (SID)</li> <li>Case numbers retained indefinitely as of 2/06.</li> </ul>	System does not allow for repetition of a state ID or a case number.
Disposition (active or closed)	Open = case received FIP for month Closed = case did not receive FIP for the month, but did the month immediately preceding.	IABC maintains an ongoing record of activity for both individuals and case.
Type of Family for work participation	Family aid type entered by IM to IABC and is updated as needed.	Information obtained from Public Assistance Application and IM worker interview. IABC system edits match # of adults to aid type.
Amount of Food Stamp Assistance	IABC system calculates and issues food stamp issuance using the Issuance Verification System.	Food Stamp Quality Control unit monitors and determines accuracy rates.
Child Care subsidy receipt	Two sources: PROMISE JOBS expense allowance file and Purchase of Service system Payment History file.	IDHS QA samples matches between activity and expense allowances. Child care is issued either through IM or PROMISE JOBS. Documentation is kept in case files.

<b>Data Element</b>	<b>Input</b>	<b>Verification</b>
Amount of TANF & SSP-MOE Assistance	<p>The IABC Issuance Verification System (ISSV) validates the amount of FIP assistance.</p> <p>ISSV and the PROMISE JOBS expense allowance files validate the amount of PROMISE JOBS expense allowances, including child care and transportation for the unemployed.</p> <p>FIP assistance, other than for 2-parents and Battered Aliens, is reported in the TANF Data report. FIP assistance for 2-parents and Battered Aliens, and PROMISE JOBS expense assistance, including child care, and transportation is reported as assistance in the SSP-MOE Data report.</p>	Combination of supervisory review; tangent food assistance review and system reports. IM worker requests additional verification of questionable information.
Family Affiliation Code	Based on the following: person on the FIP grant; relationship to head of household; individual status code; case aid type; receipt of SSI income	Based on application for assistance, IM worker interview, supervisory review of case files.
Non-custodial Parent Indicator	Data reporting systems codes all individuals on a FIP case as “no”, meaning they are not a noncustodial parent.	Not really applicable to Iowa’s TANF program.
Date of Birth (adult)	Mandatory entry in IABC based on work eligible information.	Combination of application, interview, supervisory review and system edits.
Relationship to Head of Household	Mandatory entry in IABC.	Combination of application, interview, supervisory review and system edits.
Parent with Minor Child	Data from IABC	Combination of application, interview, supervisory review and system edits.
Work Eligible Individual Indicator	Multiple step process using data from IABC.	Combination of IDHS Quality Assurance and PROMISE JOBS data analysis
Date of Birth (child)	Mandatory entry in IABC.	Combination of application, interview, supervisory review and system edits.

See **Attachment F - Systems Details On Determining: Work Eligible; Work Participation Status; Calculating Monthly Hours; and Detail of Data Elements** for more information on validation of data elements.

Data is verified and reviewed for accuracy by:

**IDHS Income Maintenance (IM)**

- Individual applies for assistance. 97% of persons requesting FIP also ask for Food Assistance and Medicaid. Income and Resources are verified. If the individual asks for Medicaid, proof of citizenship and birth must be presented.

- Individual meets with the IM worker for an interview.
- IM worker discusses the information in the application and asks for any other information that is needed to determine eligibility. If any of the information is questionable or if the person applying seems unsure, additional verification is requested.
- Data elements needed to determine eligibility is entered into the IABC system. The IABC system calculates the amount of assistance needed.
- The person applying (for two-parent households, both parents are referred) is referred to PROMISE JOBS for assessment and writing of a Family Investment Agreement. This begins PROMISE JOBS case management.
- All information is filed in a case file.
- IM Supervisory regularly reviews case files for accuracy and completeness.
- Food Assistance Quality Control and Management Evaluation provide an additional overlay of review and verification. Over 90% of FIP cases also receive food assistance.
- Various systems reports provide data for additional administrative review. Reviews are conducted at various times.
- IDHS central office reviews every request for FIP beyond 60-months:
  - Reasons for denial or approval are consistent with policy.
  - Data is correctly inputted – including an end date to the hardship extension of benefits.
  - Analysis of trends to determine if there is a need for additional training, clarification or a change in policy.
  - Inconsistencies are questioned and reviewed with contractor central office and the contractor case manager.

#### **IDHS Quality Assurance and Improvement Unit**

- Analyzes preliminary work participation data and prepares reports for comparison of the all-family and two-parent participation rates between PROMISE JOBS ~~Service-Delivery Regions~~ Territories each month.
- Reviews reports for data trends.
- Prepares and analyzes additional data reports and coordinates changes with programming staff when needed.

#### **IDHS Appeals Process**

When a PROMISE JOBS work eligible does not believe they received due process, the work eligible can file an appeal. IDHS policy staff review all appeal decisions filed regarding TANF Iowa's supported programs FIP, PROMISE JOBS, Child Care Assistance and Child Support Recovery to ensure that:

- The case manager (either income maintenance or PROMISE JOBS) properly followed administrative rules, policy, and procedure, including proper data entry.
- The Administrative Law Judge is properly ruling consistent with federal and state statutes, regulations and administrative rule.

#### **IDHS PROMISE JOBS Program Management Unit**

- IDHS PROMISE JOBS program managers review analysis done by the QA & I Unit.

- Minimum of monthly meetings between IDHS PROMISE JOBS Program Mangers, PROMISE JOBS central office manager, PROMISE JOBS data manager, and others as necessary review data trends, data errors, new or changing policy and training for both new policy and to correct errors.
- Minimum of quarterly Information Communications Network (ICN) video meetings with statewide PROMISE JOBS case managers and supervisory staff.

### **PROMISE JOBS Case Management**

- Each case is monitored and supervised as described in Section I.
  - For activities other than employment, each PROMISE JOBS work eligible must turn in time and attendance reports by the 10<sup>th</sup> of the following month after the activity occurred. The PROMISE JOBS case manager has an additional 10 days to enter the data received.
  - All information on the case received from either the work eligible or other sources is kept in the case file.
  - An on-going narrative of case activity is maintained in the case file.
  - Supervisors review case manager files according to the local case reading plan described in IV.2.e.
  - Employment is verified and documented beginning at onset of employment and revised when changes occur or at the quarterly report, whichever is the soonest.
- IWD conducts several reviews that combine data reports and case reports.
  - FIP status of the persons without a FIA to verify both status and data entered by PROMISE JOBS case manager.
  - Proper close out of component and employment files after FIP has ended. This occurs 90 days after the FIP case has closed to allow time for all data to be gathered and entered.
  - Any questionable data is brought to the attention of the case manager and their supervisor for review and correction.
- Preliminary work participation report by ~~Service Delivery Region~~ PROMISE JOBS Territories is provided to IWD and to territories monthly. The data is reviewed by the state-level PROMISE JOBS data manager. Concerns are brought to the attention of the case manager, supervisor, and when needed to the PROMISE JOBS central office program manager.
- IWD manually reviews an average of 600 data entries a month. Each is reviewed with the case manager and others as needed.

PROMISE JOBS has begun to implement a new web based case management application that will promote accuracy through the following:

- More user-friendly.
- Multiple new system controls and validations.
- Easily queried to provide individual reports.
- Provide more detailed information to improve case management.
- Align with federal definitions of work activities.

See attachment E for a description of the new PROMISE JOBS data system.

### **PROMISE JOBS Case Reading Tool (PJCRT)**

The PROMISE JOBS Case Reading Tool (PJCRT) was implemented April 1, 2008. The purpose of the PJCRT is to record the results of supervisory case reviews. The reviewer verifies the accuracy of federally required participation data, by assuring that the appropriate component code is entered into IWorks, and the data is sorted into the appropriate federal activity. The review confirms that the appropriate documentation is available to support the activity and provides a second level review of a sample of the original reviews conducted by PJ staff to help assure inter-rater reliability.

The web-based system selects a random sample of cases to be reviewed (1 case per worker per month). A quality review report on the completed reviews indicate whether or not

- The correct component codes are being put in IWORKS and
- The individual files have the appropriate documentation to support each component.

The reports generated by the PJCRT range from statewide information down to specific worker data entry. Access to view these reports varies. Statewide data is available for anyone able to access the reports display, but only specific authorized people can view an individual worker's information. Supervisors can conduct additional case readings outside the scheduled random sampling as needed for personnel management.

#### Case Review Process:

- 1) On the 20<sup>th</sup> of each month, IWD will send the data to DHS. On the 21<sup>st</sup>, PJ data processing will be run which creates a random sample of cases to be reviewed for the following month. At the beginning of each month a new random sample will be run based on the most recent IWD submittal.
  - 2) PJCRT is pre-populated based on component and employment activity data received by DHS from IWD that indicate which component codes are coded into IWORKS. There is a three-month delay between when the activities performed by the work eligible and when the case is reviewed. Example: April review on activities performed in January. The time lag allows sufficient time so that all component and employment activities are received by DHS.
  - 3) Case Readers began to use this tool April 1, 2008. Each case review also includes quality assurance questions.
  - 4) Reviewers have 30 days to finish a review.
  - 5) A sampling of second level reviews of same cases will be read with the purpose of looking for inter-rater reliability.
2. *Description of procedures employed to eliminate data inconsistencies between two or more data elements.*

When inconsistent data is discovered through any procedure outlined in Sections IV or V of this plan, IDHS and IWD policy and system-programming staff investigate the inconsistency to determine the cause of the inconsistency. When necessary, modifications to systems and procedures are made to eliminate the inconsistencies.

Iowa is constantly reviewing procedures and determining if new procedures are needed to validate data. Iowa will amend this work verification plan in accordance with 45 CFR 261.63(c) to include a description of any new or amended procedures.

3. *Description of Iowa's procedures to ensure that a family is not disregarded from the work participation rate for more than 12 months per lifetime based on being a single custodial parent with a child less than one year of age.*

The State of Iowa maintains a main system file for all individuals who enter into our TANF PROMISE JOBS employment and training program

- Once all of the steps necessary are taken to determine work eligible status, family type and composition (including the ages of all children and adults) are completed, IDHS looks for single parent cases containing a child under the age of one year.
- IDHS determines whether the case is a countable family for work participation (20 hours per week) with a child under the age of 6 years.
- IDHS records the disregard until the parent has used the 12 months allowed in a lifetime for this disregard. In order to maintain a counter for this statistic, IDHS creates an ongoing mainframe file every month which serves to not only carry over previous entries for those eligible for the disregard but also allows for new entries and updates for those receiving the disregard in the month of examination. The design of the computer program adds a value of "1" for each occurrence of the disregard. This ongoing file includes the SSN of the single parent as well as the total months for which the parent received the disregard up to and including the month of examination. Once the parent's total months have reached "12", this automatically renders the case ineligible for any further disregard from that point forward. The computer program is written so as not to allow the disregard once the value of total months reaches "12". This file is created, updated and maintained on the state mainframe by the Division of Results-Based Accountability within the Iowa Department of Human Services.

4. *Description of the State's procedures to ensure that a family is not disregarded from the work participation rate for more than three months in any period of 12 consecutive months based on a work-eligible individual's refusal to participate in work.*

In Iowa, any family with a work-eligible individual who refuses to participate in work activities or otherwise does not wish to cooperate with the requirements of the FIP program is automatically placed into a Limited Benefit Plan. As a result of this placement, the family is rendered ineligible for FIP assistance once timely notice requirements have been met and any appeals have been processed.

All LBPs are recorded in a special system file that contains the following information:

- SSN (for individual refusing to cooperate)
- Case number (case identifier for the family on FIP assistance)
- Beginning month of the LBP
- Termination date of the LBP (if applicable)

The LBP system file is cumulative. Whenever the work participation for FIP families is determined, this LBP system file is brought in and merged with other system files using the

case identifier (case number). In order to determine whether the family is eligible for the disregard, the process goes through several tests:

- Test 1: Determine if a record exists in the LBP system file that meets both of the following criteria:
  - The beginning date falls either within the month of examination or before.
  - The beginning date either shows with no termination date or has a termination date that falls within or beyond the examination month.
- Test 2: If Test 1 is met, then the LBP system file is examined for the existence of any records for the same case that show as being open for the 11 months that precede the month of examination. (The process for determining the open status of a record for each month is done the same way as in Test 1 above). If the total months with an open LBP record for these 11 months plus the current month is less than or equals three, then the case is considered to be eligible for the disregard for the month being examined. If the total months exceed three, then the case is not eligible for the disregard.

5. *Description of the State's procedures for ensuring a family deemed engaged in work based on 20 hours of participation in countable work activities meets the requirements of a single custodial parent or caretaker relative with a child under age six.*

The primary source for identification of work-eligible individuals in Iowa is the PROMISE JOBS referral master file. This system file maintains information (both on an individual and a family/case basis) for all adults or minor children heads-of-household on FIP assistance or associated with cases on FIP assistance.

This file contains the following data for identification of parents and needy caretaker relatives:

- SSN
- Case identifier (case number)
- Relationship (code which indicates family relationship for individual for identification of the parents and needy caretaker relatives who are work-eligible individuals)
- FIP individual status code
- Single, two-parent, or needy relative case aid type code.

There are two steps that are used to determine whether a case qualifies for the 20-hour standard:

- Step 1: If there is a work-eligible parent or needy caretaker relative associated with the FIP case and the aid type for the case indicates it is not two-parent, that case passes through step 1.
- Step 2: After examination of the personal information on the children, if any child's birthday falls within six years of the month of examination, then the case is considered to be eligible for the 20-hour standard to be deemed as engaged in work.

**VI. Submittal Procedures**

Date Amendment Submitted by Iowa's IV-A Administrator:

Original sent to: Regional Office of the Administration for Children and Families (Region VII in  
Kansas City)

Electronic copy sent (as an e-mail attachment) to: Gary Allen [gallen@acf.hhs.gov](mailto:gallen@acf.hhs.gov).

**VII. Certification Statement**

Sent under separate cover

**VI. Submittal Procedures**

Effective Date Amendment Submitted by Iowa's IV-A Administrator: January 1, 2014

Original sent to: Dennis Poe, Director, Data Collection and Analysis, Office of the Administration for Children and Families

Electronic copy sent (as an e-mail attachment) to: Gary Allen [gallen@acf.hhs.gov](mailto:gallen@acf.hhs.gov)

**VII. Certification Statement**

This is to certify that the Iowa TANF Work Verification Plan, dated August 29, 2008, and amended effective January 1, 2014, includes all the information required by the Regulations at 45 CFR 261.62(b) and accurately reflects the provisions under which Iowa was operating effective January 1, 2014.



Bob Krebs, TANF Administrator

April 18, 2014

Date

**Attachment A: 45 Code of Federal Regulations (CFR) § 261.62.**

**What must a State do to verify the accuracy of its work participation information**

- (a) To ensure accuracy in the reporting of work activities by work-eligible individuals on the TANF Data Report and, if applicable, the SSP-MOE Data Report, each State must:
  - (1) Establish and employ procedures for determining whether its work activities may count for participation rate purposes;
  - (2) Establish and employ procedures for determining how to count and verify reported hours of work;
  - (3) Establish and employ procedures for identifying who is a work-eligible individual;
  - (4) Establish and employ internal controls to ensure compliance with the procedures; and
  - (5) Submit to the Secretary for approval the State's Work Verification Plan in accordance with paragraph (b) of this section.
- (b) A State's Work Verification Plan must include the following:
  - (1) For each countable work activity:
    - (i) A description demonstrating how the activity meets the relevant definition at § 261.2;
    - (ii) A description of how the State determines the number of countable hours of participation for self-employed individuals; and
    - (iii) A description of the documentation it uses to monitor participation and ensure that the actual hours of participation are reported;
  - (2) A description of the State's procedures for identifying all work-eligible individuals, as defined at § 261.2;
  - (3) A description of how the State ensures that, for each work-eligible individual, it:
    - (i) Accurately inputs data into the State's automated data processing system;
    - (ii) Properly tracks the hours through the automated data processing system; and
    - (iii) Accurately reports the hours to the Department.
  - (4) A description of the procedures for ensuring it does not transmit to the Department a work-eligible individual's hours of participation in an activity that does not meet a Federal definition of a countable work activity; and
  - (5) A description of the internal controls that the State has implemented to ensure a consistent measurement of the work participation rates, including the quality assurance processes and sampling specifications it uses to monitor adherence to the established work verification procedures by State staff, local staff, and contractors.
- (c) We will review a State's Work Verification Plan for completeness and approve it if we believe that it will result in accurate reporting of work participation information.

## **Attachment B: Glossary of Acronyms**

**ACF** – Administration for Children and Families

**BRS** – Bureau of Refugee Services

**DDM** – Division of Data Management

**ESL** – English as a Second Language

**FFY** – Federal Fiscal Year

**FIA** – Family Investment Agreement

**FIP** – Family Investment Program

**FLSA** – Fair Labor Standards Act

**GDG** – Generation Data Group

**GED** – General Equivalency Diploma (GED)

**HHS** – U.S. Department of Health and Human Services

**IABC** - IDHS Automated Benefit Calculation system

**IDHS** – Iowa Department of Human Services

**IJS** – Individualized Job Search

**IM** – Income Maintenance

**ISSV**- IABC Issuance Verification system

**IWD** – Iowa Workforce Development

**I WORKS** – IWD system

**LBP** – Limited Benefit Plan

**MOE** – Maintenance of Effort

**OJT** – On-the-Job Training

**PJCRT** – PROMISE JOBS Case Reading Tool

**PJT** – PROMISE JOBS Territory

**QA & I** – Quality Assurance & Improvement

**RBA** – Division of Results Based Accountability

**SDJS** – Self-Directed Job Search

**SPSS** - Statistical Program for the Social Sciences

**SSI** – Supplemental Security Income

**SSN** – Social Security Number

**SSP** – Separate State Program

**TANF** – Temporary Assistance for Needy Families

## Attachment C: Glossary of Commonly Used Words or Terms

“**ABC**” means the Automated Benefit Calculation system.

“**Case**” for the Iowa Automated Benefit Calculation System is a set of program and individual data.

“**Case number**” is the six-character serial number, a two-character FBU, a one-character code, and a one-character check digit. If no case number is entered, the system assigns the next sequential serial number.

“**Check digit**” is the last character of a case or state identification number. Check digits are system-generated based on a mathematical calculation of the other numbers. This helps prevent entry of invalid numbers.

“**Current month**” means calendar month.

“**Current system month**” is the month that is most often aligned with the current calendar month. The current system month begins after IABC cutoff in one month and ends with IABC cutoff in the next month. Example: The current system month of January begins the day after December’s IABC cutoff and ends the day of IABC cutoff in January.

“**Disabled**” means a mental or physical impairment or combination of mental and physical impairments that results in substantial functional limitations in one or more of the following areas of major life activity;

- Self-care;
- Receptive and expressive language;
- Learning;
- Mobility;
- Self-direction;
- Capacity for independent living; and
- Economic self-sufficiency.

When applied to infants and young children (birth through 5), includes those children who have substantial developmental delay or specific congenital or acquired conditions with a high probability of resulting in disabilities if interventions are not provided.

“**Family Investment Agreement**” means a contract negotiated between the PROMISE JOBS work eligible and IDHS. This agreement details the steps the household will take to achieve self-sufficiency, the services the state will provide, and the time limits for the work eligible to achieve self-sufficiency.

“**Family Investment Program**” is the name of Iowa’s TANF cash assistance program. The purpose of FIP is to provide financial and other assistance to needy, dependent children and the parents or relatives with whom they live.

**“FBU”** means “family budget unit.” This is a two-digit portion of the case number that follows the serial number. It is used to distinguish certain kinds of cases.

**“Income Maintenance Worker”** is staff within the Iowa Department of Human Services who determines eligibility for the Family Investment Program and refers individuals to the PROMISE JOBS employment and training program.

**“Iowa Workforce Development”** is the agency that provides employment-related services such as work and training programs, applications for job insurance benefits, and job placement services. The agency also provides services to PROMISE JOBS work eligibles.

**“Issuance Verification System”** is the system used by IABC and the child support system called ICAR to:

- Prevent duplicate authorization of Food Assistance benefits.
- Provide a history of warrant and food stamp or Food Assistance issuance.
- Provide the work eligible with information on child support rebate issuance through the Audio Response Unit.

This system includes an on-line file that is available to everyone who has access to the IABC system and to the client through the Audio Response Unit. ISSV is accessible through the LINK system. ISSV is not part of IABC.

**“I WORKS”** means the IWD system used by PROMISE JOBS staff for case management of PROMISE JOBS cases, including entry of hours of participation of in employment and training activities.

**“Limited benefit plan”** means a period of terminated FIP benefits that an individual chooses instead of signing or cooperating with a family investment agreement.

**“Mainframe”** is the centralized computer application system that stores software and data for IABC and other application systems.

**“Parent”** means a legally recognized parent, including an adoptive parent, or a biological father if there is no legally recognized father.

**“PJCase”** means the IDHS database comprised of multiple tables containing current and historical information on referred individuals. PJCase receives information on work eligible individuals receiving FIP grants from IABC and IWD, including, but not limited to, status, benefit information, family composition, demographic data and component activities. Data is added to and retrieved for reporting in nightly batch processing.

**“PROMISE JOBS”** stands for PROMoting Independence and Self-sufficiency through Employment, Job Opportunities, and Basic Skills. This is IDHS’ employment and training program for FIP applicants and recipients.

**“PROMISE JOBS Case Reading Tool”** means the web-based tool used by supervisors and quality assurance coordinators to verify data entry by PROMISE JOBS work and training case managers.

**“Serial number”** means the first group of six characters in a case number.

**“System month”** means the period used for processing. A system month begins after IABC cutoff in one month and ends with IABC cutoff in the next month.

**Attachment D: IDHS System-Coding Instructions**

Attachment D contains a table with data pertinent to this Work Verification Plan that IM workers enter into Iowa’s Automated Benefit Calculation System. The pertinent data are entered on screens titled TD screens.

The table below is divided into three columns:

*First Column* – This column describes the specific field that is being updated.

*Second Column* – This column identifies the location where the worker enters the data.

The screen name is listed first:

- TD01 is used to display or enter data for the “Identification” and the “Name/Address” portions of the case master file.
- TD02 is used to display or enter data for the FIP portion of the case master file.
- TD03 is used to display information from the individual master file or to enter data to update the individual master file. Entries on this screen create an individual transaction.

Next is the section number that is identified by a Roman numeral. The field number indicates the place in the section where the entry is made.

*Third Column* – This provides coding instructions that staff use when updating the field.

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
Birth date	TD03 Screen Section VII Field 177	The IM worker enters the individual’s eight-digit date of birth. The date must be in MMDDCCYY format. Invalid dates must not be entered. Individual data are not recorded on TD03 until a valid (not necessarily verified) date has been provided.
Case Aid Type Code	TD01 Section I Field 16	The IM worker enters the aid type under which FIP cash assistance is calculated. The FIP aid types as of October 1, 2006, are: 30-0 FIP, regular 30-2 FIP, money management 30-4 FIP, non-parental case 32-8 FIP, protective payee, guardian, or conservator 33-8 FIP, two-parent, when both parents are included in the grant and both are mandatory PROMISE JOBS, with a protective payee, guardian, or conservator 35-0 FIP, two-parent, when both parents are included in the grant and both are mandatory PROMISE JOBS

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
Case Name	TD03 Screen Section VII Fields 174 - 176	The IM worker enters the case name. For FIP, this is the head of household.
Case Number	TD01 Screen Section C.I. Field 1	<p>The IDHS case number consists of a six-character serial number, a two-character FBU, a one-character multiplier code (always "0" at this time), and a one-character check digit.</p> <p>IDHS local office staff checks new cases to see if the case name (i.e., head of household for FIP) has been assigned a case number. If no case number exists, then the system assigns the next sequential number to the case.</p>
Citizenship Status	TD03 Screen Section VII Field 179	<p>The IM worker enters the individual's citizenship status. Valid codes are:</p> <ol style="list-style-type: none"> <li>1 <u>U.S. Citizen</u></li> <li>2 <u>8 USC 1641 Alien</u> Except for certain classifications that are barred from FIP for five years from the date they entered the U.S., these aliens can be included in the FIP grant. Unless they are exempt due to receipt of SSI, alien classifications described at 8 USC 1641 are mandatory PROMISE JOBS work eligibles even if they are ineligible for FIP.</li> <li>3 <u>Other documented alien.</u> Ineligible for FIP or PROMISE JOBS.</li> <li>4 <u>Undocumented alien.</u> Ineligible for FIP or PROMISE JOBS.</li> </ol> <p>The Citizenship field has an on-line HELP screen. To display the codes and select a code to be entered, the worker types a "?" in the Citizenship field, presses ENTER, and types an "X" next to the worker's choice.</p> <p>Options for returning to TD03 screen are:</p> <ol style="list-style-type: none"> <li>1. Cancel. Field not updated.</li> <li>2. Update. Field is updated.</li> </ol>

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
In-Home Code	TD03 Screen Section VII	<p>Entry is required for each individual being approved or pending for FIP. The IM worker enters or re-enters the code to indicate when the individual is in the home. Valid codes are:</p> <p>Y - Person is in the home N - Person is not in the home</p> <p>Entry of "Y" is also required if an individual is being activated on Food Assistance or FMAP-related medical when:</p> <ul style="list-style-type: none"> <li>• Case is in FIP aid type (<i>see "Case Aid Type Code"</i>), and</li> <li>• TD02 FIP case status is "A," "B," "C," "D," or "E" (<i>see "Status Code – Case"</i>) and,</li> <li>• The person being activated for Food Assistance and/or FMAP-related Medicaid has an individual FIP status of "I," "M," "N," "R," or "S" (<i>see "Status Code – Individual"</i>).</li> </ul> <p>The IABC system automatically changes the in-home code to "N" for each person when the FIP program is canceled or denied. When an individual's FIP is being cancelled or denied on TD03, the worker must manually enter the appropriate code.</p> <p>On-line edits require entry or reentry of the INHOME code for each person when:</p> <ul style="list-style-type: none"> <li>• Any FIP status is entered on TD03 or</li> <li>• Referring a non-active or non-pending person to PROMISE JOBS.</li> </ul>
Limited Benefit Plan	TD03 Screen Section VII	<p>The IM worker does not make an entry. If the individual is active in an LBP on the PJCASE system, the effective date of the LBP is displayed in MMCCYY format. The display indicates "1st" for a first LBP chosen or "Sub" for a subsequent LBP chosen.</p>
Marital Status	TD03 Screen Section VII. Field 180	<p>The IM worker enters the code that identifies the individual's marital status. Valid codes are:</p> <p>S Single (never married) M Legally married (includes common-law marriage) D Divorced L Legally separated P Separated, no legal action W Widowed</p>

<b>DESCRIPTION OF FIELD</b>	<b>SCREEN/ SECTION &amp; FIELD #</b>	<b>CODING INSTRUCTIONS</b>
Negative Action	<p>TD02 Screen Section IV Fields 86 and 87 (codes for cases)</p> <p>TD03 Section VII Field 202 (location for entry of code to cancel or deny an individual when FIP case is active)</p>	<p>A negative action is an adverse action on a case or individual that is prompted by entry of a three-digit notice reason code. The IM worker enters the notice reason code for some notice reasons. Entries made in other systems such as IWORKS prompts some notice reason codes; and the IABC system automatically generates some codes.</p>
Negative Action Date	<p>TD02 Screen Section IV Field 90</p> <p>TD03 Section VII Field 203</p>	<p>This is system-generated as the last day of the current system month. The income maintenance worker enters program sanction end dates.</p>

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
PROMISE JOBS (JOBS) Referral Codes	TD03 Screen Section VII Field 264	<p>The IM worker enters the PROMISE JOBS referral code. This code shows if the individual is exempt or mandatory status. Mandatory codes indicate the individual is referred as a work eligible.</p> <ul style="list-style-type: none"> <li>1 Exempt, refugee or non-refugee</li> <li>3 Mandatory, non-refugee applicant</li> <li>4 Mandatory, non-refugee hardship applicant</li> <li>7 Mandatory work eligible, non-refugee hardship applicant</li> <li>8 Mandatory work eligible, non-refugee</li> <li>A Mandatory, refugee applicant</li> <li>B Mandatory, refugee hardship applicant</li> <li>K Mandatory work eligible, refugee hardship applicant</li> <li>L Mandatory, work eligible refugee</li> <li>T Mandatory, refugee hardship applicant with LBP</li> <li>U Mandatory non-refugee with LBP</li> <li>V Mandatory refugee with LBP</li> <li>W Mandatory, non-refugee hardship applicant with LBP</li> <li>X Non-refugee, referral status not known</li> <li>Y Refugee, referral status not known</li> </ul> <p>Most individuals are referred to IWD. Those who entered the U.S. as refugees and who do not speak fluent English are referred to the Bureau of Refugee Services.</p> <p>When U.S. citizenship is attained, the IM worker changes the referral code from a refugee code to a non-refugee code. A referral is then sent to IWD.</p> <p>The IABC system or the PJCASE system automatically changes an individual's referral code to "X" or "Y" when:</p> <ul style="list-style-type: none"> <li>• FIP is canceled or denied for the individual.</li> <li>• IM or the IABC system changes an individual's INHOME indicator on TD03 from a "Y" to "N."</li> <li>• PROMISE JOBS makes an entry in the PJCASE system to document that an applicant: Did not sign an FIA, or Abandoned an LBP reconsideration attempt.</li> </ul> <p>On-line edits may require entry or reentry of a code for each individual for whom TD03 entries are made when:</p> <ul style="list-style-type: none"> <li>• Pending a person.</li> <li>• Referring a person to PROMISE JOBS.</li> <li>• An application is approved or denied.</li> <li>• Reopening or reinstating FIP.</li> <li>• The FIP individual status code is changed.</li> </ul> <p>The JOBS field has an on-line HELP screen. To display the codes and select a code to be entered, the IM worker types a "?" in the JOBS field, presses ENTER, and types an "X" next to the worker's choice. The IM worker deletes the "X" next to any previous selected code.</p>

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
		<p>Options for returning to the TD03 screen from HELP are:</p> <ol style="list-style-type: none"> <li>1. Cancel. Field is not updated.</li> <li>2. Update. Field is updated.</li> </ol>
Relationship	TDO3 Screen Section VII Field 181	<p>The IM worker enters the code that indicates the individual's relationship to the case name (i.e., head of household for FIP). Valid codes are:</p> <ul style="list-style-type: none"> <li>0 Head of household</li> <li>1 Spouse</li> <li>2 Son or daughter</li> <li>3 Grandchild</li> <li>4 Sibling (sister or brother)</li> <li>5 First cousin</li> <li>6 Nephew or niece</li> <li>7 Parent (not MAC)</li> <li>8 Stepchild</li> <li>A Second cousin (not for Medicaid)</li> <li>B Other related adult</li> <li>C Unrelated child</li> <li>D Unrelated adult</li> <li>E Other related child</li> <li>F Foster child (FIP only)</li> <li>P Co-parent of a common child (not a spouse to case name (i.e., head of household for FIP))</li> </ul> <p>REL has an on-line HELP screen. To display and select a relationship code, type a "?" in the REL field, press ENTER, and type an "X" next to your choice.</p> <p>Options for returning to the TD03 screen are:</p> <ol style="list-style-type: none"> <li>1. Cancel. Field is not updated.</li> <li>2. Update. Field is updated.</li> </ol>
SSN - Social Security Number	TD03 Screen Section VII Field 182	<p>The IM worker enters the nine-digit number for the individual's Social Security number. If the individual does not have a Social Security number, enter all 9s when the individual has applied for the number. Enter all 0s only when application for an SSN has not been made or is not required.</p>

DESCRIPTION OF FIELD	SCREEN/ SECTION & FIELD #	CODING INSTRUCTIONS
Status Code - Case	TD02 Screen Section IV Field 85	<p>The IM worker enters the code that identifies the worker-determined status of the FIP program. Valid codes are:</p> <ul style="list-style-type: none"> <li>A Opened</li> <li>B Reinstated</li> <li>C Reopened, no application</li> <li>D Pended</li> <li>E Suspended</li> <li>I Sanctioned</li> <li>M Denied</li> <li>N Cancelled</li> <li>R Closed for lump sum</li> <li>S Never opened (system-generated)</li> </ul>
Status Code - Individual	TD03 Screen Section VII Field 201	<p>The IM worker enters the code that identifies the individual's FIP status as determined by the worker. Valid codes are:</p> <ul style="list-style-type: none"> <li>A Opened, due to application (either for case or adding an individual)</li> <li>B Reinstated</li> <li>C Reopened, is not an application procedure</li> <li>D Pended</li> <li>E Suspended</li> <li>F Excluded parent (not sanctioned)</li> <li>H Stepparent or self-supporting parent in minor parent case</li> <li>I Sanctioned</li> <li>M Denied</li> <li>N Cancelled</li> <li>R Closed for lump sum</li> <li>S Never opened (system-generated)</li> </ul>

# PROMISE JOBS

## PROMISE JOBS IWorks Case Management Guidance





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## PJ IWorks Data Entry Steps - Overview

IWorks Screens / Tabs	Mandatory	Data Entry
Seeker Record	Exists	Created when IWD receives the nightly referral file from DHS
		Use  in the speed button bar to find a seeker.
Seeker Info Tab	Page 8	Fields are automatically populated with data known through the nightly referral file from PJCase.
	Mandatory	<b>Review the Personal Information section:</b> 1. If the seeker is job searching or considered work ready, make sure the “Searchable” and “Share Resume” boxes are checked. 2. If the seeker is not work ready, make sure to uncheck the “Searchable” and “Share Resume” boxes.
	Mandatory	<b>Review the Seeker Status section:</b> 1. Make sure seeker shows “Active” in the Case Management field. If not, activate by clicking “Options” on the menu bar and select “Activate/Inactivate Case Mgmt”.
	Mandatory	<b>Assign a Counselor:</b> (PROMISE JOBS Case Manager) <i>PROMISE JOBS worker must be assigned as counselor—this needs to match the PJWorker listed on PJCase.</i> 1. On the menu bar, click on Options, Counselor Information and assign the counselor. If a counselor is not assigned at this point, the system will prompt for the assignment of a counselor before letting the PJ Case Worker continue with the assessment data entry.
PROMIE JOBS / Veteran - Shared Seeker/Participant Procedure	Mandatory	PROMISE JOBS workers are the Primary Counselor and Veteran Representatives are assigned as the Secondary Counselor. No release of information is required. You can provide client information without a signed release of information when referring clients to other state agencies or other entities providing a service determined to be necessary for successful participation in PROMISE JOBS and the family investment agreement
No Call No Show/No Signed FIA Procedure	Mandatory	1. Assign self as Counselor. 2. Create a Case Note—this is mandatory. 3. Print Case Note and place in physical file. 4. Inactivate in Case Management using the procedure explained in Activate/Inactivate Case Management. 5. Remove self as Counselor. 6. Make appropriate entries in PJCase.
Assessment 	Page 13	
Employment Tab	Mandatory – If/Then	Enter employment information <b>if</b> the participant is job ready or working.
Education Tab	Mandatory	Enter Education Level & Degree information for everyone. Enter school information if the participant is participating in an educational component.
Family Situation Tab	Mandatory - enter missing info	Enter missing information as needed for fields that do not fill from the DHS nightly referral file.
Financial Needs Tab	Optional	Optional for PROMISE JOBS workers use.
Transportation Tab	Mandatory	Enter transportation information.
Legal Tab	Mandatory	Enter legal information as appropriate for the participant.
Heath & Treatment Tab	Mandatory – If/Then	Enter health information <b>if</b> the participant is participating in a health treatment or rehabilitation component.
Cage & Tale Tab	Mandatory	Complete the paper form and file in the physical Case File. Do not record in IWorks at this time.
Eligibility 	Read Only	Read only screen. Information will fill from DHS nightly referral file when available. <b>Do Not Click on Enroll.</b>

Employment Plan 	Page 21	
Enrollment Tab	Mandatory	<b>Enroll the participant in PROMISE JOBS:</b> <ol style="list-style-type: none"> <li>After the participant has signed an FIA, check the box next to PROMISE JOBS in the “Other Potential IWD Programs section. Also check the box next to Two Parent if applicable.</li> <li>Click on the Enroll button to complete the enrollment process.</li> <li>Enter the FIA information by clicking on the Agreement button. <ol style="list-style-type: none"> <li>Place a check mark in the Participate box next to the current FIA.</li> </ol> </li> </ol>
Employment Plan Tab	Mandatory	<b>Enter and monitor component activities on this tab.</b> <ol style="list-style-type: none"> <li>Enter the O*Net code, Goal and Justification. The Goal can be as simple as “Self-sufficiency”. The Justification is always “PROMISE JOBS”.</li> <li>Enter each Objective and Service as listed in the FIA. Make sure the objective (component) you choose is prefaced by “PJ”, ie: PJ Job Readiness/Job Club.</li> <li>Enter the estimated start date and the estimated number of hours the client is expected to engage in the component. Data enter participation hours using the Monitoring button on the right side of the screen. Enter weekly hours for each month, with each week ending on a Friday. All entries need to be made no later than the 20<sup>th</sup> of the following month. (The Friday before if the 20<sup>th</sup> falls on a weekend) for the reported hours to be considered in the work participation calculation. Enter any employment information in the Employer Details section of the screen.</li> </ol>
Entering LBP’s	Mandatory	LBP “status” services can be added to the Employment Plan, the same as any other Objective and Service for PROMISE JOBS activities. Each of these LBP services will need to be entered and closed like any other activity in IWorks. As with other services, once the LBP service(s) are closed they can always be found by clicking on the Closures tab, and selecting closed services.
Funding Tab	Exists	Not used by PROMISE JOBS.
Closures Tab	Mandatory	<b>Use this tab to close open services as they are completed. The employment plan is also closed using this tab.</b> <i>Workers can see any service that does not contain an end date.</i>
Case Notes Tab	Mandatory	Case notes are to be entered on this screen. Notes must then be printed and placed in the participant file.

## Monthly Case Management Checklist for Job Searching, Job Ready or Working Clients

Page 36	Mandatory	Job Searching and Job Ready Clients: <ol style="list-style-type: none"> <li>Check seeker record to see a snapshot of services received.</li> <li>Job referrals can be viewed on the seeker’s Referrals tab.</li> </ol> Working Clients: <ol style="list-style-type: none"> <li>Set up a task in the scheduler as a reminder to verify projected hours.</li> </ol>
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## Transferring Cases

Page 37	Mandatory	<ol style="list-style-type: none"> <li>Leave the employment plan and any objectives/services open.</li> <li>Task a case worker in the office the file will be transferred to.</li> <li>Mail the file that same day to the new PROMISE JOBS office.</li> </ol>
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## Closing Cases

Page 41	<p>On the Seeker Info Tab, check the FIP Status Field – Not Active</p> <ol style="list-style-type: none"> <li>1. Check the PJCase Person screen in PJCase.</li> <li>2. This screen has information on the FIP Status and the INDV Negative date.</li> <li>3. If the negative date has passed, this file can go in your closed file (or LBP file if the person was LBP'd)</li> <li>4. Monitor the case for the next 2 months.</li> <li>5. After checking ISSV and the individual has missed 2 full months of warrants, you can consider the case is closed.</li> </ol> <p>Close the individual in IWorks.</p>
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## Address Changes

Page 39	Work with the IM to get the address changed in IABC.
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## PJ Case Management Tools

<b>Scheduler</b> 	Tasks – Mandatory Page 43	PROMISE JOBS Workers will use the Scheduler (Tasks) daily.
<b>Case Mgmt Search</b> 	Page 46	PROMISE JOBS Workers can track their caseloads using this feature.
<b>Seeker History</b> 	Page 48	Shows a history of important changes that have been made to the Participant's record.
<b>Individual JO Search</b> 	Page 50	Allows PROMISE JOBS Workers to search for jobs that match for an individual.
<b>Spell Check</b>	Page 53	PROMISE JOBS Workers can right click in any free form field to spell check.

## PJ IWorks Terms

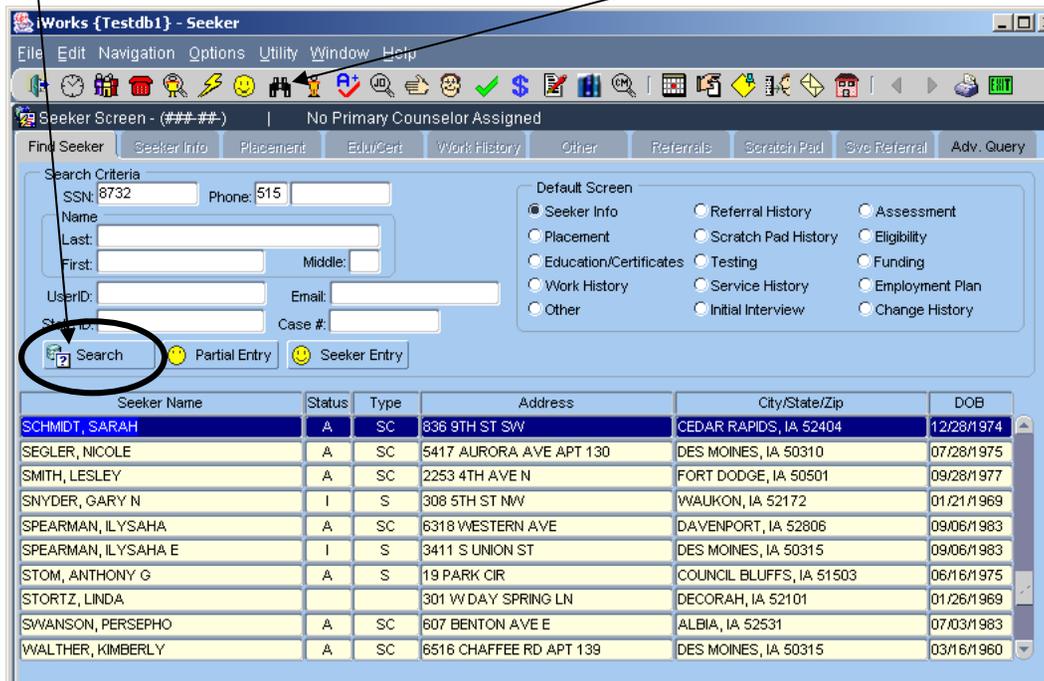
IWorks Term	PROMISE JOBS Equivalent
Seeker	Client
Counselor	PROMISE JOBS Worker
Case Worker	PROMISE JOBS Worker
Objective	Component Category—will match the different columns that are on the Work Participation Activity Report.

Service	Actual component activity including indicators
---------	--

# Seeker Information

## Find Seeker Tab

Referrals from DHS will come into IWorks without a PROMISE JOBS case worker assigned. A referral needs to be assigned to a case worker before you can search for them using the  Case Management Search Function. Use the Find Seeker function  to locate the participant. To locate your assigned participant, click on the  icon and the following screen will appear.



Seeker Name	Status	Type	Address	City/State/Zip	DOB
SCHMIDT, SARAH	A	SC	836 9TH ST SW	CEDAR RAPIDS, IA 52404	12/28/1974
SEGLER, NICOLE	A	SC	5417 AURORA AVE APT 130	DES MOINES, IA 50310	07/28/1975
SMITH, LESLEY	A	SC	2253 4TH AVE N	FORT DODGE, IA 50501	09/28/1977
SNYDER, GARY N	I	S	308 5TH ST NW	WALUKON, IA 52172	01/21/1969
SPEARMAN, ILYSAHA	A	SC	6318 WESTERN AVE	DAVENPORT, IA 52806	09/06/1983
SPEARMAN, ILYSAHA E	I	S	3411 S UNION ST	DES MOINES, IA 50315	09/06/1983
STOM, ANTHONY G	A	S	19 PARK CIR	COUNCIL BLUFFS, IA 51503	06/16/1975
STORTZ, LINDA			301 W DAY SPRING LN	DECORAH, IA 52101	01/26/1969
SWANSON, PERSEPHO	A	SC	607 BENTON AVE E	ALBIA, IA 52531	07/03/1983
WALTHER, KIMBERLY	A	SC	6516 CHAFFEE RD APT 139	DES MOINES, IA 50315	03/16/1960

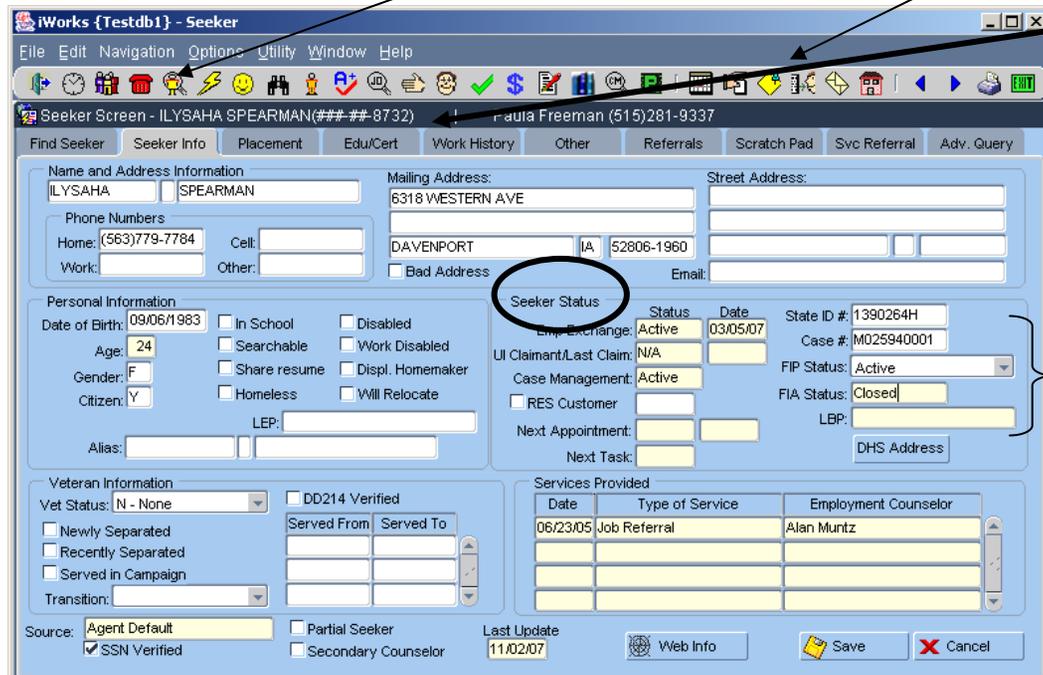
You can:

- Search for a seeker by SSN, the last 4 digits of the SSN, Phone Number, or Last Name/First Name/Middle Initial, Case Number, or SID.
- Set the Default screen by selecting one of the **Radio Buttons**
- If name search is not a precise match, possible **Seeker Names** will display in the grid. Select the name you want by double clicking the name or highlighting and hitting Enter key.
- The **Status** column in the grid shows the seeker status - "I" for inactive or "A" for active
- The **Type** column in the grid shows the type of seeker – "S" for employment exchange seeker; "U" for seeker on unemployment; "C" for case management seeker
- The **Address, City/State/Zip** and **DOB** (date of birth) columns show information to help select the correct seeker

## Seeker Info Tab

Once the Seeker record has been found the worker can double click on the name on the Find Seeker Screen and IWorks will automatically take you to the Seeker Info Tab, and you will see the following screen. Any information that comes over in the DHS referral file will populate many of the existing fields in IWorks.

NOTE: Anyone with access to IWorks can read the Notes entered with the Notes function . PROMISE JOBS Case notes need to be entered in the Case Management part of the system.



The screenshot shows the IWorks interface for a Seeker record. The title bar reads "IWorks {Testdb1} - Seeker". The main window title is "Seeker Screen - ILYSAHA SPEARMAN(###-##-8732)". The form is organized into several sections:

- Name and Address Information:** Name: ILYSAHA SPEARMAN; Mailing Address: 6318 WESTERN AVE; Street Address: (empty); City: DAVENPORT, IA; Zip: 52806-1960.
- Personal Information:** Date of Birth: 09/06/1983; Age: 24; Gender: F; Citizen: Y. Includes checkboxes for "In School", "Disabled", "Searchable", "Work Disabled", "Share resume", "Displ. Homemaker", "Homeless", and "Will Relocate".
- Seeker Status (Circled in Red):** Status: Active; Date: 03/05/07; State ID #: 1390264H; Case #: M025940001; FIP Status: Active; FIA Status: Closed; LBP: (empty).
- Veteran Information:** Vet Status: N - None; DD214 Verified: (checkbox); Transition: (dropdown).
- Services Provided:** A table with columns: Date, Type of Service, Employment Counselor. One entry: 06/23/05, Job Referral, Alan Muntz.
- Source:** Agent Default; SSN Verified: (checkbox checked); Partial Seeker: (checkbox); Secondary Counselor: (checkbox); Last Update: 11/02/07.

The partial SSN (only the last 4 digits are visible) is located behind the participant's name.

There may be a Case Worker identified if someone else has worked with this person previously. If you are not listed as the case worker you need to change the case worker according to the instructions on page 22

Information about the participant will show in the Seeker Status portion of the screen. The State ID, Case #, FIP Status, and FIA status, and LBP information will be visible only to a PROMISE JOBS worker.

The FIP status should never be changed by a worker. That information can change depending on the participant's current status in PJ Case and will change depending on information about the participant that may be updated in the nightly files from DHS.

The following information is found on the **Seeker Info** tab:

- The seeker **Name and Address**
- There is a section for **Personal Information**.
- **Seeker Status** (Combination of the Status and Type columns on the Find Seeker tab)
- **Veteran Information** (The veteran type, service dates and DD214 verification)
- **Services Provided** (Shows the date, service type and worker that provided the service)
- The **Source** shows the worker that first entered this seeker record.

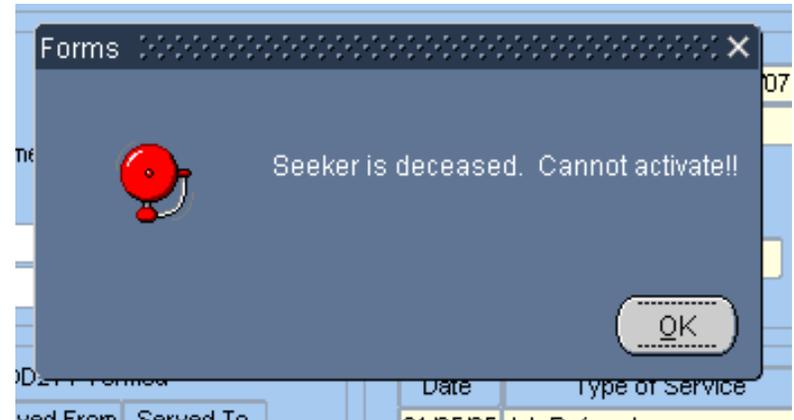
## Deceased Seeker

On the Seeker Info Tab for a deceased individual will show the name field in gray with the type displayed in white. If the deceased seeker was a Veteran, the field will be gray with type displayed in green.

The screenshot shows the 'IowaWorks {Production} - Seeker' application window. The 'Seeker Info' tab is active, displaying personal and veteran information for Vicky Miller. The name field 'VICKY MILLER' is highlighted with a black circle, and a red arrow points to the text 'Deceased' displayed in white on a gray background. The interface includes various input fields for address, phone numbers, and personal details, as well as a 'Services Provided' table.

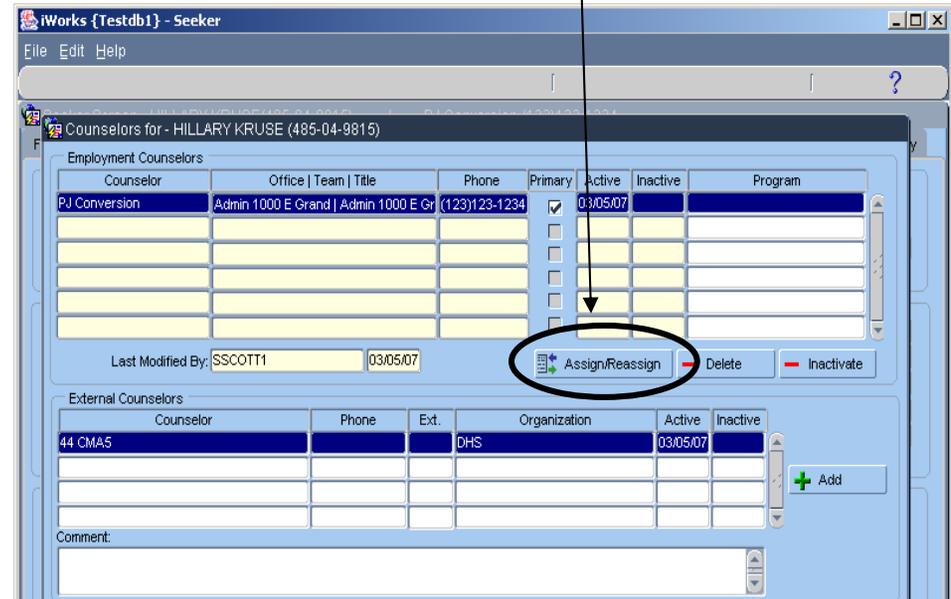
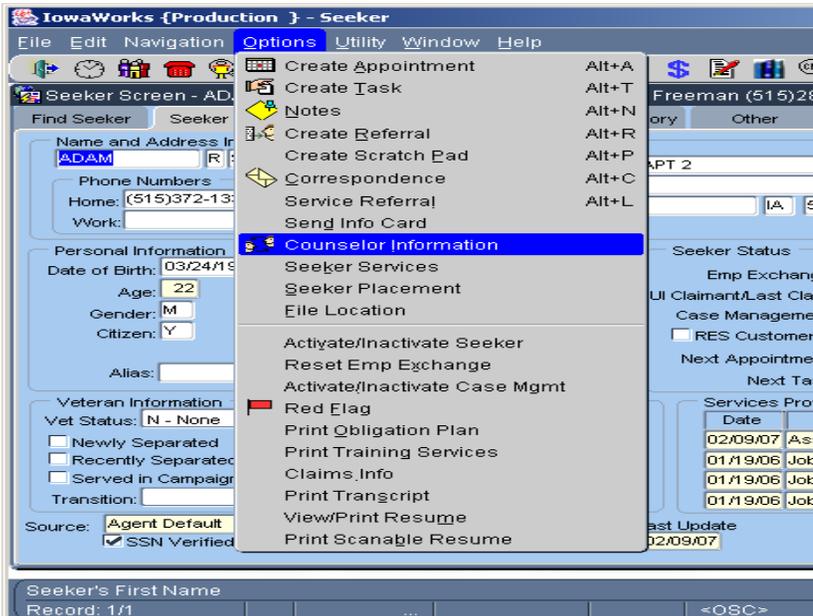
Date	Type of Service	Employment Counselor
01/25/05	Job Referral	Agent Default
01/25/05	Job Referral	Agent Default
01/04/05	Local Office Contact	Agent Default
01/04/05	Job Referral	Thais Grosskruger

If you try to activate a deceased seeker record for case management, the following dialog box will appear.



## Assigning a Counselor (PROMISE JOBS Case Manager)

1. Click on Options on the Menu bar, and click on Counselor Information. Click on the Assign/Reassign button, to assign yourself as the PROMISE JOBS worker for this person.
2. Verify that the Counselor assigned matches what is in  PJCase.



The **Counselor Information** pop-up is used to assign job seekers to workers (for case management).

- The Employment Counselors section of the screen shows a history of assigned counselors. The grid is view only and actions can only be taken by using the **Assign/Reassign**, **Delete** and **Inactivate** buttons.
- Assigned counselor, office/team/title, phone, primary counselor yes or no, and the active start and end dates is displayed.
- A history of **External Counselors** can also be seen. (Counselor, Phone, Organization, Active and Inactive dates are displayed)
- Workers can make **Comments** on this pop-up as needed.
- Both Employment Counselors and External Counselors will display only active counselors unless the **Show Inactive Counselors** check box is checked.

## Searchable and Share Resume

Before moving into other case management activities the worker needs to review two fields on the Seeker Info tab.

If the participant is already job searching or is work ready, be sure that there is a check mark in the Searchable box and the Share Resume box. When these boxes are checked they can be searched for available job openings. If the participant is not job ready, leave these two boxes blank.

The screenshot shows the 'iWorks {Testdb1} - Seeker' application window. The 'Seeker Info' tab is active, displaying personal and status information for ILYSAHA SPEARMAN. The 'Searchable' and 'Share resume' checkboxes in the 'Personal Information' section are circled in black. The 'Services Provided' table shows a job referral on 06/23/05 by Alan Muntz.

Date	Type of Service	Employment Counselor
06/23/05	Job Referral	Alan Muntz

## Activate/Inactivate Case Management

The Status in the Case Management field should show active. If it doesn't show as Active the worker will need to activate the person for case management first.

The screenshot shows the 'Seeker Screen' for HEATHER BEOUGHER. The 'Case Management' field is circled in red and shows 'Active'. The 'Seeker Status' section includes a table with the following data:

Date	Type of Service	Employment Counselor
03/04/06	Job Referral	Counselor Web

The screenshot shows the 'Options' menu with the 'Activate/Inactivate Case Mgmt' option highlighted. The menu items include:

- Create Appointment
- Create Task
- Notes
- Create Referral
- Create Scratch Pad
- Correspondence
- Service Referral
- Send Info Card
- Counselor Information
- Seeker Services
- Seeker Placement
- File Location
- Activate/Inactivate Seeker
- Reset Emp Exchange
- Activate/Inactivate Case Mgmt
- Red Flag
- Print Obligation Plan
- Print Training Services
- Claims Info
- Print Transcript
- View/Print Resume
- Print Scannable Resume



To activate Case Management, click Options on the Menu bar and click on Activate/Inactivate Case Management.  
To inactivate Case Management, click Options on the Menu bar and click on Activate/Inactivate Case Management.

Case Management can not be inactivated if there are open activities in the Employment Plan. You will need to make sure that all objective/services are closed and you can do that by going to the Employment Plan and Closures Tab. If the participant had employment as an activity be sure to go to the monitoring screen, and enter the employment end date to close the employment, and close the employment plan.



## ***No Call No Show/No Signed FIA Procedure***

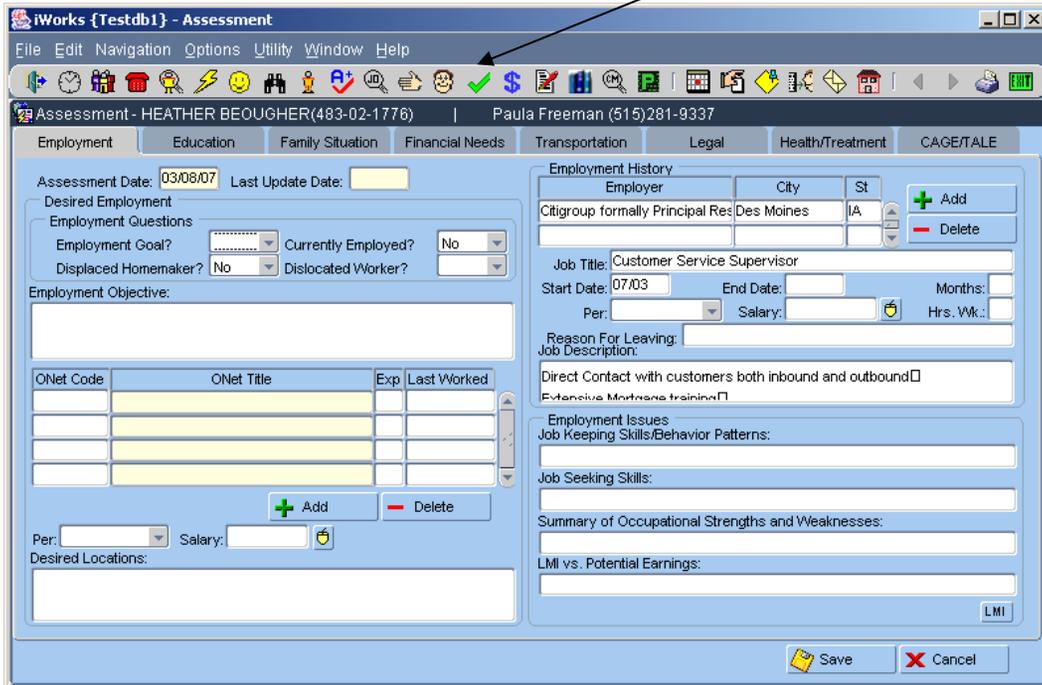
1. Assign self as Counselor
2. Create a Case Note in the Employment Plan—this is mandatory.
3. Print Case Note and place in physical file.
4. Inactivate in Case Management using the procedure explained in Activate/Inactive Case Management
5. Remove self as Counselor.
6. Make appropriate entries in PJCase.



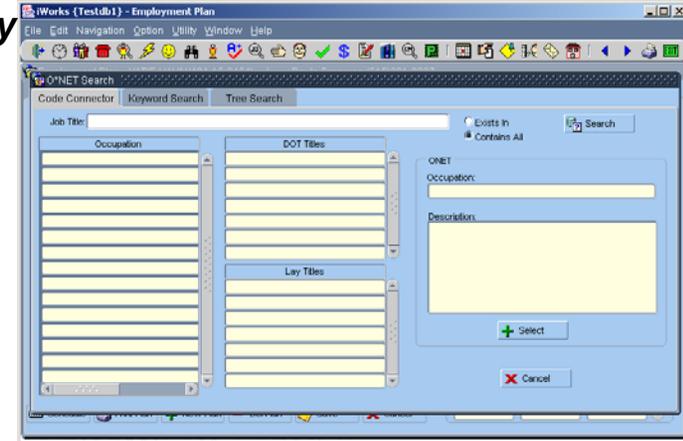
# Assessment

Once the Case Manager has been assigned, you move on to Assessment by clicking on the green check mark . This information is similar to what you find on the Self Assessment form that the participant brings with them to the FIA interview. The information contained in each tab will vary based on the participant. Some of the fields will back fill from the referral file we receive from DHS. Some of these participants may have registered for employment services before being referred to PROMISE JOBS, and that information populates into this section and series of tabs.

## Employment Tab—Mandatory if Client is Working or Work Ready



## O\*NET Search



After you double click on the ONET Code field you will get this ONET Search screen. If the participant is in training for a CNA career, you can type that job title in the Job Title field, and click on Search. IWorks will search for matches and display them in the Occupation fields on the left side of the screen. By clicking one time to highlight the job title, it will display the description of the job in the Description box on the right side of the screen. Once you have determined what job title is the correct one for the participant's desired occupation, click on

The **Assessment - Employment** screen is used to enter information about the customers work potential and barriers. Information entered on this screen will help the worker understand the customer's employment strengths and weaknesses.

- The **Desired Employment** section of the screen includes **Employment Questions**, the **Employment Objective**, **Desired ONET's/Experience**, **Salary** desired and **Desired Locations** for employment. This information will pre-populate from the Seeker screens.
- The **Employment History** section of the screen includes the customer **Employment History** records. Employment history records entered on the Seeker Employment History screen will display here. New records can be added here and will display on the Seeker screen.
- The **Employment Issues** section of the screen allows the worker to enter possible employment problems the customer may have. This section also includes an **LMI** button. The LMI button can be used to access State Labor Market Information.

## Education Tab – Mandatory

Assessment - ADAM R SMITH(485-06-8120) | Paula Freeman (515)281-9337

Employment | **Education** | Family Situation | Financial Needs | Transportation | Legal | Health/Treatment | CAGE/TALE

Assessment Date: 11/29/06 Last Update Date:

Certificates of Training

+ Add - Delete + Additional

Education Level

Education Level: High School/GED Currently in School: No

Comments:

Education History

School: BOONE JR/SR HIGH City: BOONE State: IA

Major:  Minor:

Degree: High School/GED Completion Date: 12/02

+ Add - Delete

Education Issues

Training not completed and need for more:

Interests and Aptitudes:

LEP:

Describe:

Lacks basic education skills:

Describe:

Indication of learning disabilities:

Describe:

Pell grant status:  Yr:  Amt:

Describe:  Financial Aid

Licenses and Certificates

Type	License/Certificate	Date	St
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

+ Add - Delete

Save Cancel

Description of certificates of training customer has received. (FF)

Enter Education Level and Degree fields for everyone.

If the participant is in an educational component, enter all education information as it applies to the participant's situation.

The **Assessment - Education** screen is used to enter information about the customer's educational background. Information entered on this screen will help the worker understand the customer's educational strengths and weaknesses.

- The **Certificates of Training** section of the screen can be used to enter training certificates the customer has.
- The **"Additional"** button is a pop-up that displays Additional Education records for education not related to a specific degree.
- The **Education Level** section of the screen lists the highest education level. This information pre-populates from the Seeker screen.
- The **Education History** section of the screen lists the customer's education history. This information pre-populates from the Seeker screen. New records can be added here and will display on the Seeker screen.
- The **Education Issues** section of the screen allows the worker to enter possible education issues the customer may have. The Financial Aid button provides access to the Free Application for Federal Student Aid (FAFSA) web site.
- The **Licenses and Certificates** section of the screen lists any licenses or certificates the customer may have. New records can be added here and will display on the Seeker screen.

## Family Situation Tab – Review – Add Additional Information as Appropriate

Information is populated into this tab from the DHS nightly referral file. Review screen and enter any missing information that applies to the participant's situation.

First	Mi.	Last	Birthday	Age	Gender	Relation	Dep

NOTE: In the Household Members section, there may be duplicate listings for the same person. If you find a duplicate listing, please remove the duplicate.

The **Assessment - Family Situation** screen is used to enter information about the customer's family. Information entered on this screen will help the worker understand the customer's family situation including potential for support and any dangers that may be family related.

- The **Family Composition** section of the screen can be used to enter the customer's family related information.
- The **Housing** section of the screen provides current and past housing information.
- The **Family Situation Issues** section of the screen allows the worker to enter possible family issues the customer may have.
- The **Household Members** section of the screen can be used to enter information about the family members living in the household.

## Deceased Household Member

If there is a member of the household, listed in this field that is deceased, you will see that the name field for that individual is gray with the type in white.

The screenshot shows the IowaWorks Assessment interface. The 'Household Members' table is highlighted with a black circle. The table has the following columns: First, Mi., Last, Birthday, Age, Gender, Relation, Dep, and Dd. The first row is highlighted in gray, indicating a deceased member.

First	Mi.	Last	Birthday	Age	Gender	Relation	Dep	Dd
MCKENSIE			05/30/04	4	Fe...			Y

There will also be a "Y" in the Dd field to indicate that this household member is deceased.

## Financial Needs Tab – Currently this tab is Optional for PROMISE JOBS Workers Use

IowaWorks {Production } - Assessment

File Edit Navigation Options Utility Window Help

Assessment - CANDYCE FRINK(454-13-8094) | Toni Angle (319)283-2751 103

Employment Education Family Situation **Financial Needs** Transportation Legal Health/Treatment CAGE/TALE

Assessment Date: 03/19/07 Last Update Date:

Assessment Month & Year

10/2007  
09/2007  
08/2007

Comment:

Copy + Add - Delete

Assessment Month Net Difference  
(Total Resources minus Expenditures): 968

Resource Type	Description	Amount
Food Stamps		\$542.00
FIP		\$426.00

Total Monthly Resources: 968

+ Add - Delete

Expenditure Type	Description	Amount

Total Monthly Expenditures:

+ Add - Delete

Save Cancel



Always check DHS systems for current grant amounts.

The **Assessment – Financial Needs** screen is used to determine the customer's income and expenses. Information entered on this screen will help the worker create a budget for the customer and determine their financial status.

- The **Assessment Month & Year** section of the screen can be used to enter the budget month and year. There is a section for comments and a field that displays the monthly difference between the Income and expenses.
- The **Copy** button allows the worker to copy another month's budget information into the current month. After the information is copied it can be modified before it is saved. The **Add** and **Delete** buttons allow the worker to add new budget months or delete them.
- The **Monthly Household Resources** section of the screen is used to enter the resources the household has for a given month. Resources can be added or deleted by selecting the Add or Delete buttons at the bottom of the section.
- The **Monthly Household Expenditure** section of the screen is used to enter the expenses the household has for a given month. Expenses can be added or deleted by selecting the Add or Delete buttons at the bottom of the section.

## Transportation Tab – Mandatory

iWorks {Testdb1} - Assessment

File Edit Navigation Options Utility Window Help

Assessment - ADAM R. SMITH(485-06-8120) | Paula Freeman (515)281-9337

Employment Education Family Situation Financial Needs Transportation Legal Health/Treatment CAGE/TALE

Assessment Date: 11/29/06 Last Update Date: [ ]

Personal Transportation  
Transportation Issues:

Type

+ Add  
- Delete

Other Transportation

Access to vehicle: [ ]  
Access to public transportation: [ ]  
Access to alternate transportation: [ ]

Comments:

Drivers License

State: [ ] Class: Class C- Com... Endorsements: [ ]

Comments:

Save Cancel

The **Assessment - Transportation** screen is used to enter information about the customer's transportation situation. Information entered on this screen will help the worker determine if the customer has transportation related issues.

- The **Personal Transportation** section of the screen can be used to enter transportation issues the customer may have. Double click or F2 in the **Type** field to select types of transportation from the list (LOV = List of Values).
- Answer the questions in the **Other Transportation** section of the screen and enter any additional concerns in the **Comments** box.
- Use the **Drivers License** section of the screen to enter details about the customer's driver license and endorsements. Enter the **State** where the license was issued, the **License Class** from the drop down list, any **Endorsements** by double clicking or selecting F2 in the endorsements field and enter any other driver license information in the **Comments** box.

## Legal Tab – Review – Mandatory if Drug Felon

The screenshot shows the 'Legal' tab in the iWorks Assessment software. The 'Offender Status' dropdown menu is circled in red. The form includes sections for Legal Responsibilities, Gang Involvement, and CSR Issues. The 'Offender Status' dropdown is currently set to 'None'. The 'Legal Responsibilities' section includes fields for 'Offender Status', 'Probation/Parole officer's name', and 'Probation/Parole officer's phone'. The 'Gang Involvement' section includes a dropdown for 'Seeker or anyone within seeker's household had, or has any type of gang involvement' and a 'Comments' field. The 'CSR Issues' section includes dropdowns for 'CSR Involvement', 'Court ordered child support', and 'Depend on order for income', along with a 'Comments' field. The 'Assessment Date' is 05/25/16 and the 'Last Update Date' is 05/25/16. The 'Save' and 'Cancel' buttons are at the bottom right.



If there are no legal issues for the participant, no action needs to be taken with this tab, as the default Offender Status is



A convicted Drug Felon is a person who has been convicted under federal or state law of a felony that includes the charge of possession, use, or distribution of a controlled substance.

- The **Assessment - Legal** screen is used to enter any legal information about the customer. Information entered on this screen will help the worker determine if the customer has legal problems that could effect their ability to become self sufficient.
- The **Legal Responsibilities** section of the screen can be used to enter any legal information about the customer. Select from the **Offender Status** dropdown if applicable and enter any related information. Detail any **Current Criminal Issues** or **Current Civil Issues** in the Free Format boxes provided.
- The **Gang Involvement** section of the screen can be used to enter any gang related information about the customer.
- Use the **CSR Issues** section of the screen to enter any Child Support & Recovery Services issues that the customer may be experiencing.

## Health & Treatment Tab – Mandatory if the Participant is in Health Treatment or Rehabilitation Component

The **Assessment – Health/Treatment** screen is used to enter information about the customer's health. Information entered on this screen will help the worker determine if the customer is in a treatment program, has health problems or has insurance related issues.

- The **General Health** section of the screen can be used to enter Health concerns about the customer. Enter any disability information in this section including information about medical forms that the customer has had the Doctor complete to prove temporary disability.
- The **Insurance** section of the screen can be used to enter Insurance information the customer has.
- The **Other Health Issues** section of the screen is used to enter details about any other special Health concerns about the customer.
- Use the **Treatments** section of the screen to enter any information about Treatments the customer may be receiving. Double click or F2 in the **Type** field to select type of treatment the customer is receiving. Use the **Add** button if you need to enter multiple treatment records.

## ***Cage & Tale Tab – Do Not Enter in IWorks - Paper Form is Mandatory - File Form in the Case File***

CAGE = Cut, Annoyed, Guilty, Eye.

TALE = Threatened, Annoyed, Lost, Emotionally.

The screenshot shows the 'iWorks {Testdb1} - Assessment' window. The 'CAGE/TALE' tab is selected. The interface includes a menu bar (File, Edit, Navigation, Options, Utility, Window, Help), a toolbar with various icons, and a header area with patient information: 'Assessment - ADAM R. SMITH(485-06-8120)' and 'Paula Freeman (515)281-9337'. Below this, there are tabs for 'Employment', 'Education', 'Family Situation', 'Financial Needs', 'Transportation', 'Legal', 'Health/Treatment', and 'CAGE/TALE'. The main content area is divided into two columns: 'CAGE Questions' and 'TALE Questions'. Each column contains four questions with dropdown menus for answers. The 'CAGE Questions' include: 'In the past year have you felt you should Cut down on drinking or drug use?', 'In the past year have people Annoyed you by criticizing your drinking or drug use?', 'In the past year have you felt bad or Guilty about your drinking or drug use?', and 'In the past year have you had a drink or drugs first thing in the morning (Eye opener) to steady nerves, rid a hangover, or get the day started?'. The 'TALE Questions' include: 'In the past year have you felt Threatened or afraid of a partner in any way?', 'In the past year have you been Annoyed by friends or family for criticizing about how your partner treated you?', 'In the past year have you Lost a friend or stopped associating with someone because of your partner?', and 'In the past year have you been physically or Emotionally injured by a partner?'. Below the questions are fields for 'Referred to Social Worker:' and 'Date referred:', a 'Referral Form' button, and 'Save' and 'Cancel' buttons. A footer note reads: 'Ask question as written, indicate "Yes" or "No" (LOV)'. A hand icon is visible on the right side of the screenshot, pointing towards the CAGE/TALE tab.



CAGE/TALE information is not to be entered into IWorks at this time.

- Participant is to complete the paper CAGE/TALE form.
- This paper form is then filed in the physical case file



- If participant answers yes to questions, follow the instructions in PJPM, family violence referral, and make referrals to community supportive services for the identified barriers.

The **Assessment – CAGE/TALE** screen is used to determine if the customer has problems related to Substance Abuse or Domestic Violence. Unlike the rest of the Assessment screens, ask these questions exactly as they are written.

- The **CAGE** section of the screen is used to ask the customer question about substance abuse.
- The **TALE** section of the screen is used to ask the customer question about domestic violence.

# Employment Plan

## Enrollment Tab - Mandatory

The screenshot shows the 'Enrollment Tab' in the iWorks software. The 'Eligible Enrollments' section is active, showing a list of programs. The 'Other Potential IWD Programs' section contains a table with one row for 'PROMISE JOBS'. The checkbox next to 'PROMISE JOBS' is unchecked. The 'Enroll' button is circled in red. A hand icon points to the 'Add' button in the 'Other Potential IWD Programs' section. The 'Enroll' button is also circled in red. The 'Actual Enrollments' section is empty. The 'Oops!' button is visible in the bottom right corner of the 'Actual Enrollments' section. The 'Save' and 'Cancel' buttons are at the bottom of the screen.

After the participant has signed their FIA, you need to “enroll” them into PROMISE JOBS.

1. Click on the paper and pencil icon to move to the Employment Plan/Enrollment tab. PROMISE JOBS will be listed in the Other Potential IWD Programs field.
2. Place a check mark in the box to select PROMISE JOBS
3. Click on Enroll to “enroll” them in PROMISE JOBS.

NOTE: If PROMISE JOBS is not displaying in the Other Potential IWD Programs section, see next page.

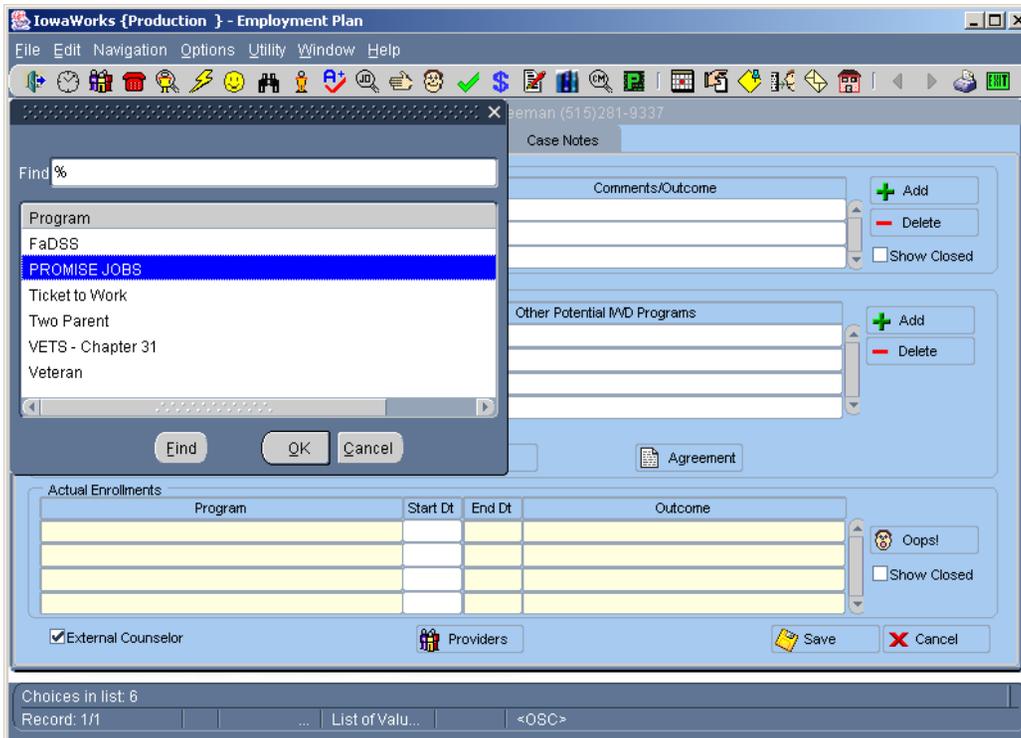
The **Enrollment** screen is used to enroll customers in programs they are eligible and qualify for.

- **Possible Enrollments** section displays programs being considered for enrollment. Programs cannot be enrolled from this section. This is the Worker’s FYI or scratch pad section.
- **Eligible Enrollments** section lists programs that pass eligibility requirements. Workers determine if the customer is appropriate to participate. Programs show in this section after eligibility has been determined. Check the box next to the program and click on the “**Enroll**” button to move to Actual Enrollments.
- **Other Potential Programs** section lists (LOV) programs that do not require use of the Eligibility screen to determine eligibility. **Check the box next to the program and click on the “Enroll” button to move to Actual Enrollments.**
- The **Actual Enrollments** section shows the program(s) the customer is officially enrolled in.
- The “**Oops!**” button can be used to un-enroll an actual enrollment when an enrollment has been enrolled in error. The “Oops” button only works the day the enrollment is made.

## Other Potential IWD Programs

Usually when a referral comes from DHS, IWorks will display PROMISE JOBS automatically in this section. If it does not show for you to enroll them, you will need to manually select it from the Other Potential IWD Programs list.

To “pull” the PROMISE JOBS program into the field, you need to double click on the field. The following menu of programs will display:



Select PROMISE JOBS from the list. It will then populate in the Other Potential IWD Programs field.

1. Place a check mark in the box to select PROMISE JOBS
2. Click on Enroll to “enroll” them in PROMISE JOBS.
3. Click on the Agreement button to enter the FIA Start and estimated End date information.

## The Agreement Button Screen - Mandatory

Once the PROMISE JOBS enrollment is complete you need to enter the FIA information on the Agreement Button Screen.

Program Agreement	Start	End	Participate
			<input type="checkbox"/>

Program	Start Dt	End Dt	Outcome
PROMISE JOBS	03/13/07		

### Data Entry Steps:

1. Enter the FIA start date, and estimated end date.
2. Check mark the Participate check box to identify the current FIA.
3. Remove the check mark from the previous FIA.

**FIA NOTE:** If data entry is not completed on the day the FIA was written the worker needs to be careful not to use the dates that pop up automatically.

- On the **Enrollment** tab the FIA start date under Agreement and the Enrollment Date need to reflect the actual date the FIA was written.
- On the **Employment Plan** tab the FIA start date on the Agreement screen and the Enrollment Date need to reflect the actual date the FIA was written.
- On the **Employment Plan** tab the Employment Plan start date needs to have that same date.

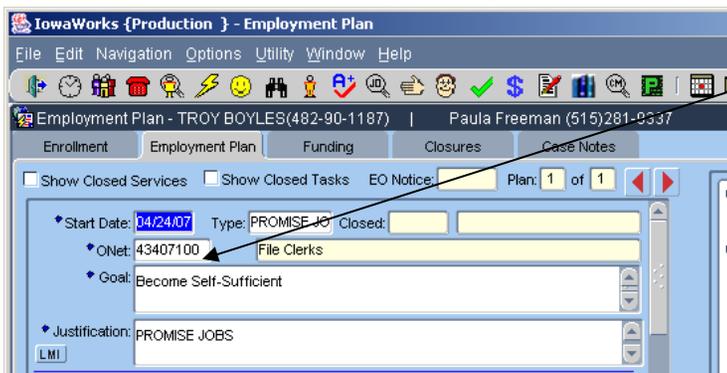


### NOTE: Don't forget:

1. To update PJCcase with the FIA start date on the Person Screen.
2. If the FIA start date already exists in PJCcase and you need to have it removed, contact IWD Central office (Paula Freeman).
3. Update your worker information in PJCcase on the Person Screen.

## Employment Plan Tab - Mandatory

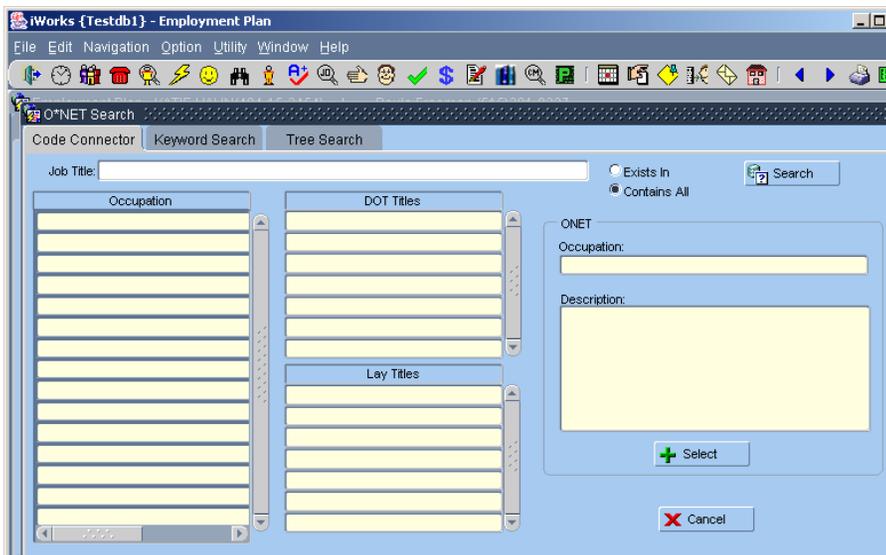
### O\*Net Code – Mandatory Entry



The screenshot shows the 'Employment Plan' tab in the IOWAWorks software. The 'O\*Net' field is populated with the code '43407100' and the job title 'File Clerks'. A hand icon is pointing to this field. Other fields include 'Start Date' (04/24/07), 'Type' (PROMISE JOB), 'Goal' (Become Self-Sufficient), and 'Justification' (PROMISE JOBS).

- The O\*Net code chosen should reflect the occupation the client is working towards.
- If the client is unable to work, use an O\*Net code that reflects work they have done

### O\*NET Search



The screenshot shows the 'O\*NET Search' screen. It features a 'Job Title' field, a 'Search' button, and two radio buttons: 'Exists In' and 'Contains All'. Below these are three columns of search results: 'Occupation', 'DOT Titles', and 'Lay Titles'. On the right side, there is a 'Description' box and a '+ Select' button. A 'Cancel' button is at the bottom right.

After you double click on the ONET Code field in the employment plan tab, you will get this ONET Search screen.

1. If the participant is in training for a CNA career, you can type that job title in the Job Title field, and click on Search. IWorks will search for matches and display them in the Occupation fields on the left side of the screen.
2. By clicking one time to highlight the job title, it will display the description of the job in the Description box on the right side of the screen.
3. Once you have determined what job title is the correct one for the participant's desired occupation, click on Select.

## Employment Plan – Goal and Justification - Mandatory

IowaWorks {Production } - Employment Plan

File Edit Navigation Options Utility Window Help

Employment Plan - TROY BOYLES(482-90-1187) | Paula Freeman (515)281-9337

Enrollment Employment Plan Funding Closures Case Notes

Show Closed Services Show Closed Tasks EO Notice: Plan: 1 of 1

Start Date: 04/24/07 Type: PROMISE JO Closed: ONet: 43407100 File Clerks

Goal: Become Self-Sufficient

Justification: PROMISE JOBS

LMI

Objective: PJ Basic Start Date: 04/24/07 Authorize

Service: PJ Disabled - Able to Work Hours: Add Task

Actual Start Date: Del Task

End Date: Outcome: Del Service

Objective: PJ Job Readiness/Job Search Start Date: 04/24/07 Authorize

Service: PJ Assessment Hours: Add Service Comments Monitoring

Funding Summary Totals for All Plans

Source: Obligated: Authorized: Paid:

Source: Obligated: Authorized: Paid:

Schedule Print Plan New Plan Del Plan Save Cancel



You must enter a Goal and Justification in the employment plan. Minimum entries should be:

- Goal – Become Self-Sufficient
- Justification – PROMISE JOBS

If workers want to be more specific that is up to their discretion.

## Employment Plan Tab - Mandatory



- The Employment Plan in IWorks should contain the beginning component activities with concurrent and sequential components added as they occur.
- Enter the actual start date and hours when the participant actually starts the activity.
- Enter hours on the Monitoring screen, for the appropriate week for the activity.

The **Employment Plan** screen is a tool the Worker can use to outline a plan to help customers achieve self-sufficiency.

- Employment Plans must have a **Start Date**, **O\*NET**, **Employment Goal** and **Justification**.
- **Objectives & Services** are selected from an (LOV). Use these to build the outline of the plan. Objectives/Services can be closed when the customer has completed all the tasks related to the objective/service. Enter Date and Outcome (LOV) to close. Click the “Add Service” or “Del Service” buttons to add or delete objectives/services. More information on Objectives and Services can be found in that section of the manual, following the O\*NET Search page.
- **Tasks** allow more specific detail about how the customer will meet each Objective/Service. Tasks are used to detail how the customer will achieve each section of their employment plan. Tasks can be set as completed (Y) or not completed (N). Click the “Add Task” or “Del Task” buttons to add or delete tasks.
- Use the **Employment Plan Tree** to go to a specific objective or service by clicking on the objective or service desired.
- The “Authorize” button will not be used by PROMISE JOBS. Expenses will still be entered through PJ  SE.

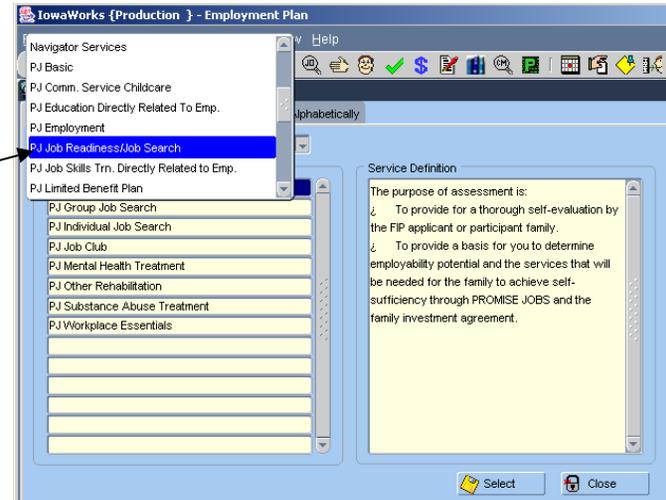
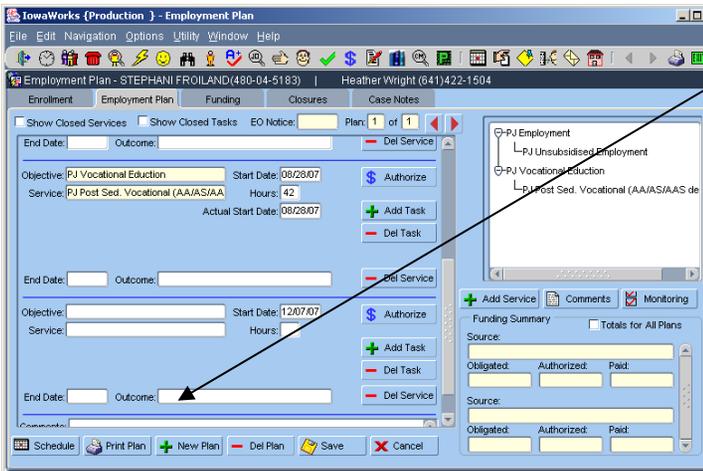
IWorks allows any number of services with an estimated start date and associated estimated hours to be entered.

- Entering all FIA activities gives the worker a good picture about the participant's FIA steps and helps the worker track where the participant is, in the process to self-sufficiency.

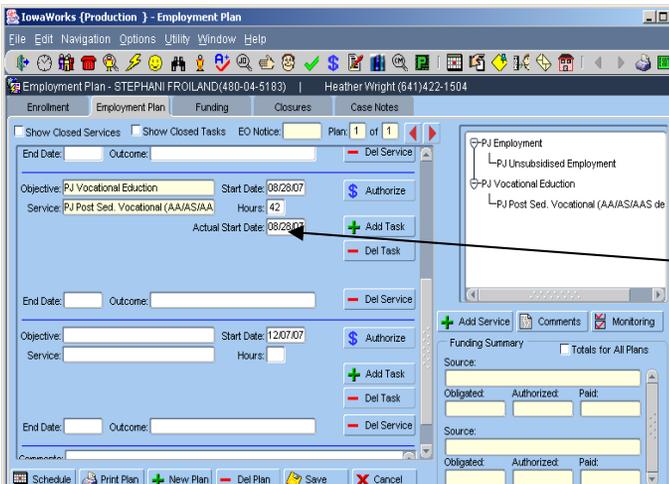
- Once the participant actually begins the activity, the worker will need to enter the actual start date and track the hours on the monitoring screen in IWorks.
- If the activity is listed in the employment plan and the worker is entering hours for another activity, they may realize that the participant has started another activity. The worker would then have a reminder to enter the actual start date, and get those hours entered on the monitoring screen.
- Actual start dates should not be entered until the participant has actually started the component.

## Objectives and Services - Mandatory

1. Double click in the Objective field on the Employment plan screen to enter the Services screen.
  2. Click on the Objective Field and select the category.
  3. Once you have selected the category, you will see a list of PROMISE JOBS component choices, which fit in that category. Select a component. A short description will show in the Service Definition portion of the screen.
  4. Click on Select and the system will add the component to the Objective and Service fields in the employment plan.
- NOTE: There is a chart in the appendix that will show the objective category and the services associated with the objective.



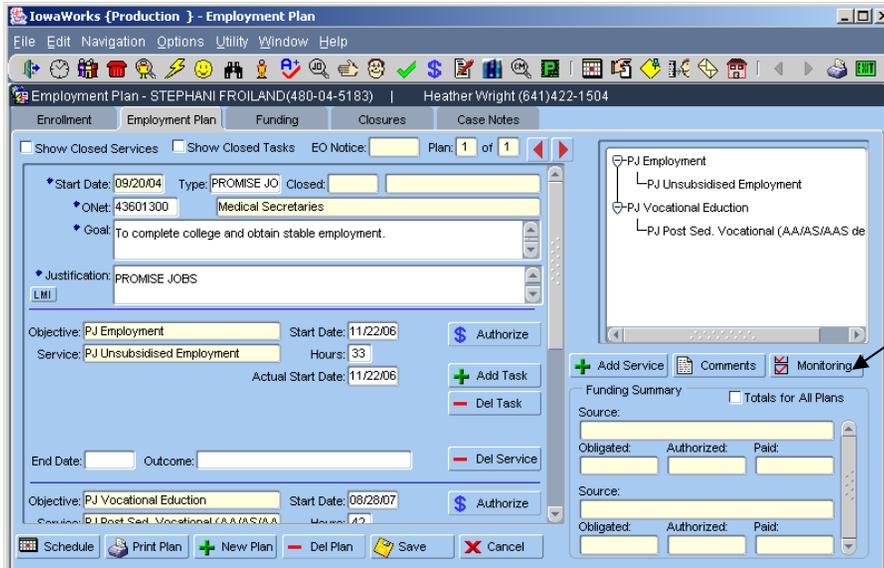
Use objectives preceded by "PJ", i.e. PJ Job Search & Job Readiness



The hours you enter are in the hours box (by the objective) are estimated hours. Actual hours will be entered for the objective by clicking the Monitoring button. Additional information about the Monitoring screen is

5. You must add hours.
6. Click on Save. Objective and Service will start building your "Employment Tree."
7. The Employment Tree should match the FIA steps

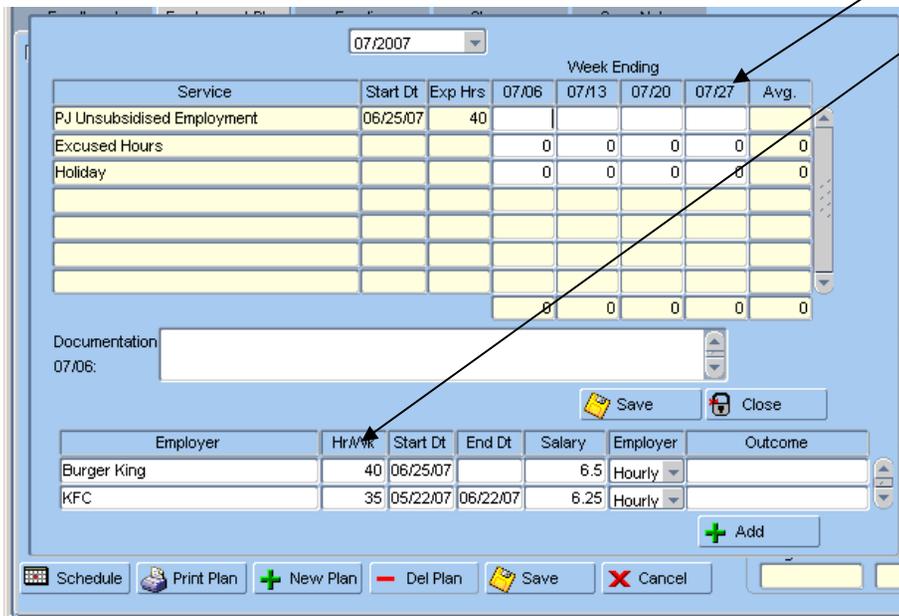
# Monitoring Button Screen - Mandatory



Hours of participation are recorded in the Monitoring screen. Workers will also use the Monitoring screen to record excused absences and holidays.

NOTE: Addition information on excused absences and holidays is included in the

- Hours of participation are recorded by week each month for all services except employment.
- Employment information is entered in the Employer detail section of the screen.
- Employment hours should be the verified actual hours the participant is to work. Once work hours have been verified, these hours may be projected for up to six months.
- For WPR, hours for services come from the top portion of the monitoring screen. Employment hours



Employment Components will display in the top section of the monitoring screen. Participation hours for this component need to be recorded in the Employer details section at the bottom of the



One month of employment must be verified to be projected for up to 6 months.

## Entering Excused Absences/Holiday Hours

Service	Start Dt	Exp Hrs	Week Ending					Avg.
			11/02	11/09	11/16	11/23	11/30	
PJ Post Sed. Vocational (AA/AS/AAS degr)	08/28/07	42	42					42
PJ Unsubsidised Employment	11/22/06	33						
Excused Hours			0	0	0	0	0	0
Holiday			0	0	0	0	0	0
			42	0	0	0	0	42

Documentation  
11/02:

Save Close

For all services/activities - (**Except employment. Verified actual employment hours are projected up to 6 months**)

- As of October 2007, PROMISE JOBS workers need to use the Excused Absences and Holiday tracking form to manually record the number of excused absences and/or holiday(s) occurrences.
- When recording the absence or holiday in **IWorks (not the paper excused absences and holiday form)**, the worker will need to convert the occurrence to the number of hours missed in the activity.
- PROMISE JOBS cannot report hours in IWorks for:
  - More than 10 occurrences of excused absences in a 12 month period.
  - More than 2 occurrences of excused absences in a given month.
  - More than 10 state, federal or mandated holidays in a given year.

NOTE: More information about entering Excused Absences and Holiday hours in IWorks is coming soon.

## Entering LBP's in the Employment Plan

LBP "status" services can be added to the Employment Plan, the same as any other Objective and Service for PROMISE JOBS activities. Each of these LBP services will need to be entered and closed like any other activity in IWorks. As with other services, once the LBP service(s) are closed they can always be found by clicking on the Closures tab, and selecting closed services.

The screen print below lists the LBP services. These can be found by double clicking the Objective field, and going to the PJ Limited Benefit Plan objective and selecting the correct LBP service for the situation.

The screenshot displays a software interface with a blue header and a light blue background. At the top, there are four tabs: "By Objective", "Service Tree", "Key Word", and "Alphabetically". Below the tabs, a dropdown menu labeled "Objective:" is set to "PJ Limited Benefit Plan".

On the left side, there is a list titled "Services / Activities" with a vertical scrollbar. The list contains the following items:

- LBP Appeal Filed (highlighted in blue)
- LBP Decision Denied
- LBP Decision Upheld
- LBP Entered
- LBP Entered in Error
- LBP First
- LBP Submitted for Review
- LBP Subsequent
- (Empty row)

On the right side, there is a large empty yellow rectangular area titled "Service Definition" with a vertical scrollbar. At the bottom right of the interface, there are two buttons: "Select" (with a yellow folder icon) and "Close" (with a red X icon).



## Funding Tab – Not Used by PROMISE JOBS

## Closures Tab - Mandatory

The screenshot shows the 'Closures' tab in the 'Works {Testdb1} - Employment Plan' application. The interface is divided into several sections:

- Services:** A table with columns: Service, Start, End, Outcome, Closure Comments. A checkbox 'Show Closed Services' is present.
- Employment Plan:** Fields for Start and End dates, Reason, and Plan Closure Comments.
- Enrollments:** A table with columns: Program, Start, End, Outcome, Comments. A checkbox 'Show Closed Enrollments' is present.
- File Location and Archive Comments:** Input fields for these details.
- Buttons:** Save and Cancel buttons at the bottom right.

The **Closures** screen provides Worker's the ability to close Services, Enrollments and the Employment Plan from one screen.

- The **Services** section displays all of the open services for the current employment plan. To see closed services for this plan click the "Show Closed Services" box. To close services enter a service End Date and Outcome. The Closure Comments field is optional and Outcomes are selected from a list (LOV).
- The Employment Plan section only displays the employment plan start date. To close the plan, enter the End Date and Reason for closure. The Plan Closure Comments field is optional and Reason is selected from a list (LOV). Employment plans cannot be closed if there are open services.
- The Enrollments section displays all of the open enrollments. To see closed enrollments click the "Show Closed Services" box. To close enrollments enter an End Date and Outcome. The Comments field is optional and Outcomes are selected from a list (LOV).
- The **File Location** and **Archive Comments** section is used to identify the location of cases. The information aides workers looking for case files that closed in the past and now are re-opening.

- When you close a Plan and all enrollments the system will prompt you and ask if you want to De-obligate any funds still remaining. You will also be asked if you want the Case Management status changes to inactive. If you click “Yes” the status will be set to Inactive and worker status will be inactivated.

## Case Notes – Mandatory



Don't forget to spell check.

1. Type your note.
2. Right click in the Note Text field.
3. Click on “Spell Check” to begin

To enter a Case Note, you must type the Note text first. Then double click on the Date field. A calendar will pop up and you can select the date of the case note. You must always enter a subject. After you have completed the note, click on Save. If you click on Add, IWorks assumes that you want to add another case note.

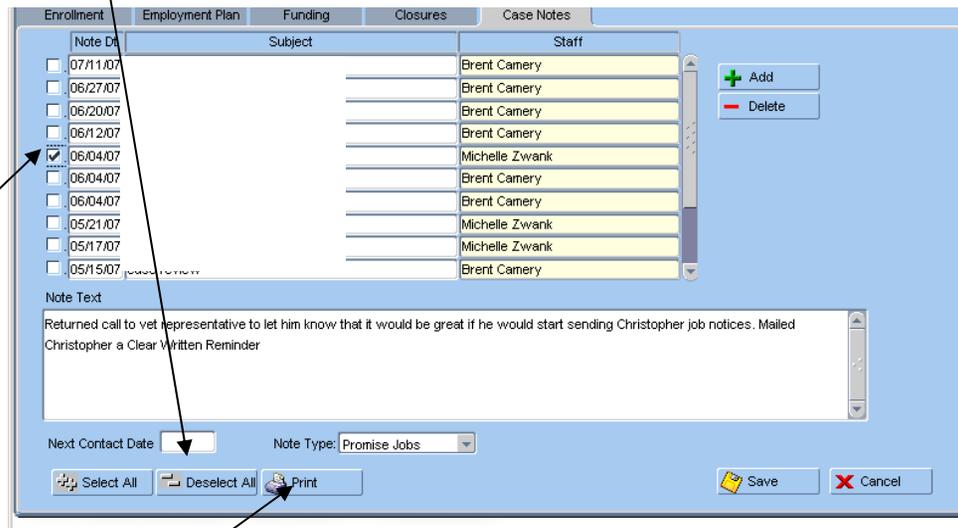
When you are logged in as a PROMISE JOBS worker, and enter a case note, the Case Note Type field will default to PROMISE JOBS. This means that only PROMISE JOBS workers can read the case notes.

# Printing Case Notes

In the employment plan case notes tab

## ***To print one single note:***

Click on Deselect All to remove all check marks.



Click in the box to select the case note that you want to print.

Click on Print at the bottom of the screen. IWorks will launch and display the case note, and you can print it off.

### ***To print multiple notes:***

Click on Deselect All to remove all check marks.

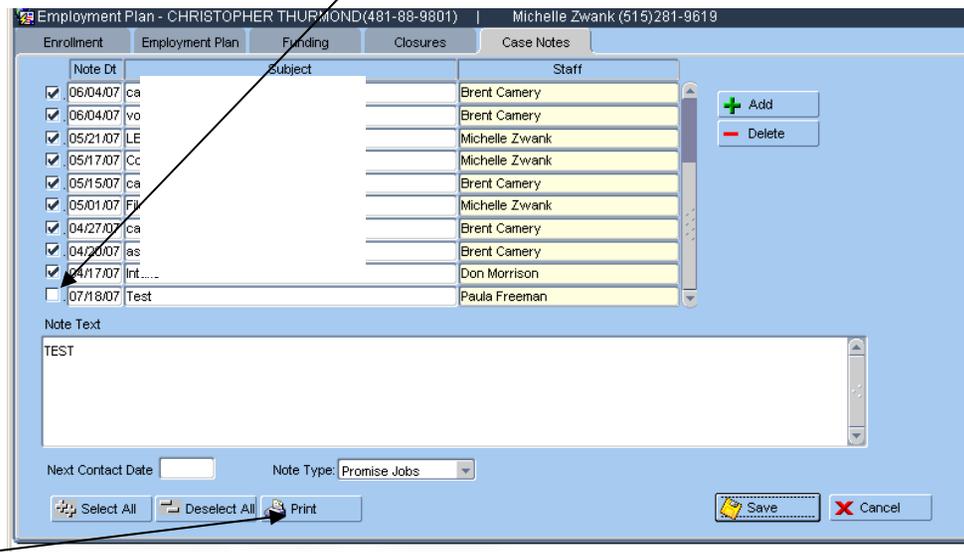
Click in each box to select the notes that you want to print.

Click on Print at the bottom of the screen. IWorks will launch and display a Selected Notes List, and you can print it off.

### ***To print a single “new top page”:***

Leave all boxes checked.

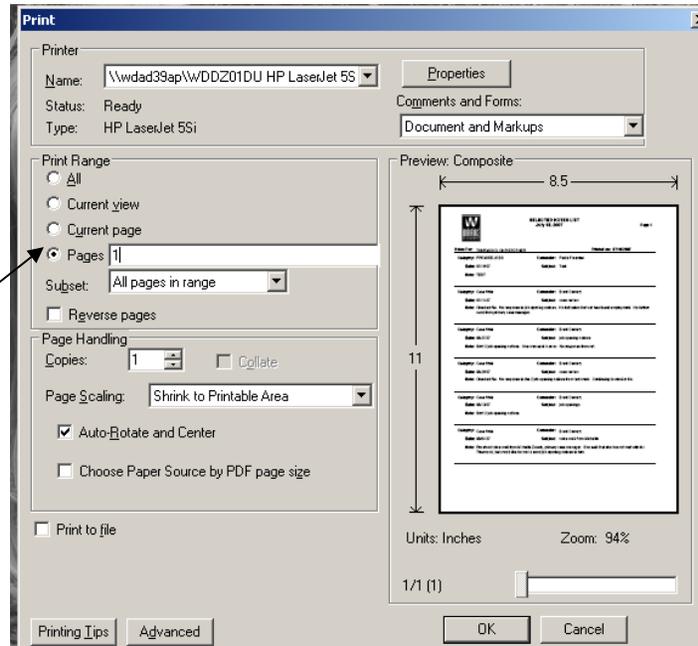
Add your new case note, place a check mark in the box beside your new case note (i.e. Test in the screen print below) and click on Save.



Click on Print. IWorks will launch and display all of the selected case notes.

## Printing a New Top Page for the File

To print 1 new top page of notes to replace your current “old” top page, click on File > Print from the menu bar, and the following dialog box will appear.



Select Pages and enter a 1 in that field. Click OK.

# Monthly Case Management Checklist for Job Ready, Job Searching or Working Clients

## Job Searching and Job Ready Clients:

**Referrals Table:**

Date	Type of Service	Employment Counselor
10/29/07	Assessment	Duane Meyer
08/30/07	Job Referral	Linda Pingel
04/16/07	Assessment	Duane Meyer
05/05/05	Job Referral	Agent Default

1. Check seeker record to see a snapshot of services received.
2. Job referrals can be viewed on the seeker's Referrals tab.

**Referrals Table:**

Job Order	Job Title	Employer Name	Ref D.	Source	Referred by	Result	Result D.
62-2364	Brand Amoco/cedar	ADECCO USA INC	12/23/05	M	Colores List	NH	01/08/06
4301342	CASEWORKER I	TANAGER PLACE	08/23/05	S	Counselor Web	NH	10/7/05
4302711	PROGRAM THERAPIST	TANAGER PLACE	08/23/05	S	Counselor Web	NH	10/7/05
4321164	CASE MANAGER	J.C.MHDD SERVICES	08/23/05	S	Counselor Web	NH	08/08/05

NOTE: Workers need to review this for their job searching participants. A participant's failure to follow up on job referrals from and/or through IWD can be an LBP issue.

## Working Clients:

Make sure that Job Ready, Job Searching participants have both the Searchable and Share

1. Set up a task in the scheduler as a reminder to verify projected hours. Use the Task button  on the button bar, or go into your Scheduler



## Transferring Files – NOTE: We are still trying to make this easier.

### Get the case file ready to transfer:

Case File: Review the physical file for completeness.

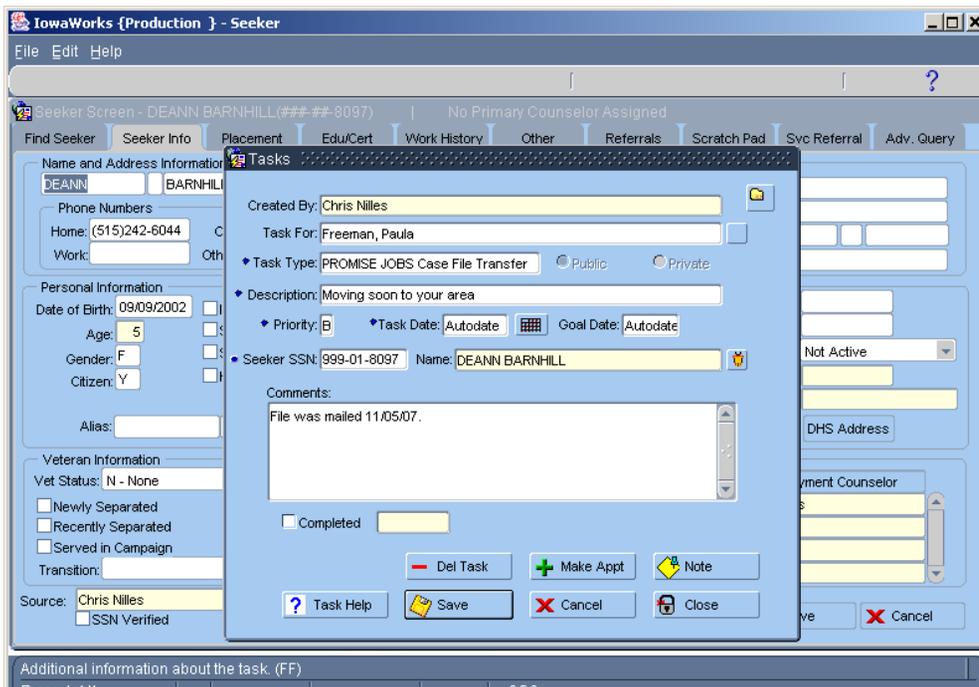
In IWorks: Current Employment Plan should be left open—in other words, do not arbitrarily close the employment plan.

Close only the services that need to be closed, but do not close the employment plan.

Note in Case Notes where the file is being transferred and that the local SME has been notified.

Notify your SME that the case is ready to be transferred. You can use the Task function in the IWorks Scheduler or use the “Create Task”

button  on the button bar to notify your SME. Your SME will then notify the SME in the area that the participant is moving to.

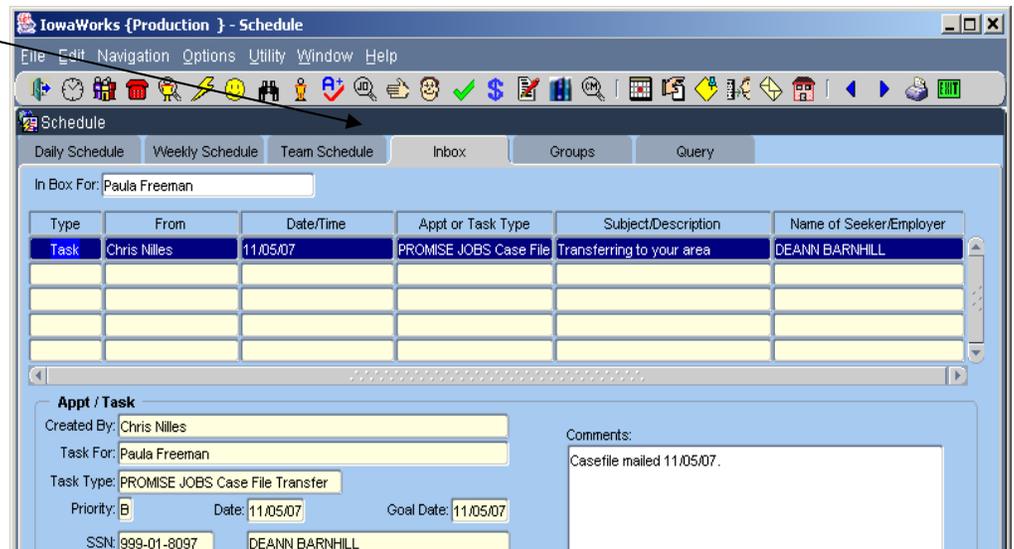
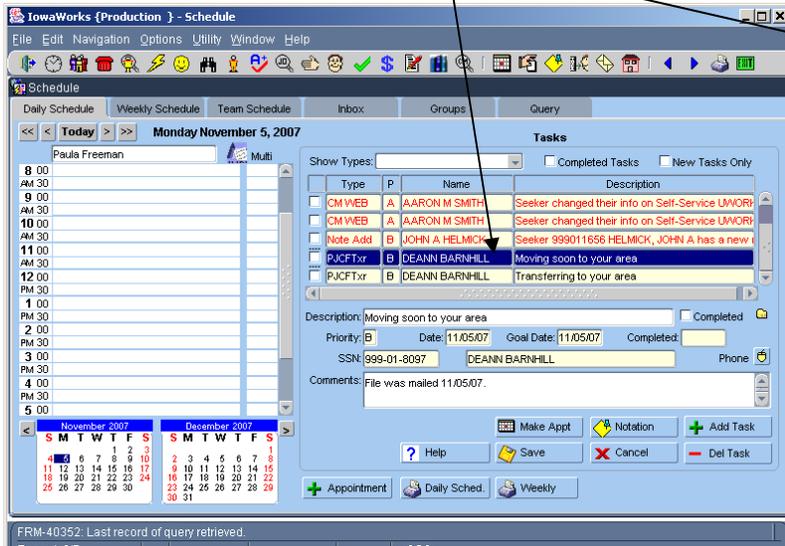


The screenshot displays the IowaWorks (Production) - Seeker application interface. A "Tasks" dialog box is open, showing the following details:

- Created By:** Chris Nilles
- Task For:** Freeman, Paula
- Task Type:** PROMISE JOBS Case File Transfer (Public/Private options)
- Description:** Moving soon to your area
- Priority:** B
- Task Date:** Autodate
- Goal Date:** Autodate
- Seeker SSN:** 999-01-8097
- Name:** DEANN BARNHILL
- Comments:** File was mailed 11/05/07.
- Completed:**

Buttons at the bottom of the dialog include: Del Task, Make Appt, Note, Task Help, Save, Cancel, and Close. The background application shows the "Seeker Screen - DEANN BARNHILL(###-##-8097)" with various tabs like "Find Seeker", "Seeker Info", "Placement", etc., and a "Tasks" button on the main interface.

The task then displays in that SME's Tasks section of the Daily Schedule tab in the Scheduler. Please note, any task assigned to you by another worker is found quickly by looking in the Inbox.



The SME will notify the SME in the receiving area that the file is being transferred by assigning a task to the SME in the receiving area as described above, OR

- If the sending SME was notified by task, they can simply reassign the task to the SME in the receiving area by double clicking on the task to open the Tasks popup.

Tasks

Created By: Chris Nilles

Task For: Paula Freeman

Task Type: PROMISE JOBS Case File Transfer

Description: Moving soon to your area

Priority: B

Task Date: 11/05/07

Goal Date: 11/05/07

Seeker SSN: 999-01-8097

Name: DEANN BARNHILL

Comments:  
File was mailed 11/05/07.

Completed

Reassign Del Task Make Appt Note

Task Help Save Cancel Close

Click on the Reassign button.

Type in the name of the SME you want to assign the task to. Click Save.

The SME receiving this task can follow the same process for reassigning the case to the new worker.

Reassign Tasks

Assign to: nilles

Save Close

## Procedure for Updating a Participant's Address

- Work with the IM to get the address changed in IABC.



Communication between PJCase and IWorks is a one way street.

- Information passes from PJCase into IWorks.
- Information does not pass from IWorks to PJCase.



The Seeker History button, Change History tab shows a history of some of the important changes that have been made, including address changes.

With address changes:

- If the counselor is IWorks\_ Owner, the address was changed when the change file came over from DHS.
- If the counselor is a case manager or staff person's name, the address was changed by that case manager or staff person.
- If the counselor is Counselor Web, the participant changed the address themselves using the internet.

## Updating Address Notifications in IWorks

A new button, DHS Address, is in the Seeker Status section of the seeker Info tab screen

The screenshot shows the 'Seeker Info' tab with various fields for contact and status information. In the 'Seeker Status' section, there is a 'DHS Address' button located at the bottom right of the status area.

A task notification is sent by the system into the counselor's Task section in IWorks, stating that there has been an address change sent to

The screenshot shows the 'Tasks' section with a list of tasks. One task is highlighted: 'Address Changed by DHS' for 'ANDREW BURKE'. The description of the task reads: 'Address changed from: PO BOX 286'.

The counselor can review address information by double clicking on the person's name in the task list. The counselor can navigate to the person's record to change the address by clicking on

The screenshot shows the 'Tasks' detail view for a task assigned to 'David Kolbe'. The task description is 'Address Changed by DHS'. The 'Seeker SSN' is '478-08-5215' and the 'Name' is 'ANDREW BURKE'. The 'Comments' section contains the address: 'Address changed from: PO BOX 286 ALBION, IA 500050000'.

To change the address you have to be in the person's seeker info tab. Then click the DHS Address button to bring up the DHS Address Popup. This is the new address change that is sent over by DHS.

Use the "Copy to Mail Address" button to change the Mailing Address to match what is in the DHS Address box. Please note: it is up to the counselor's discretion to change the address or not. There may be times when you don't want to update the DHS address into IWorks. If you choose not to change the address, you can click on Close, and the address will not be changed from what it

The screenshot shows a 'DHS Address' popup dialog box. It contains a text field with '602 N 4TH AVE', a dropdown for 'MARSHALLTOWN', and a dropdown for 'IA' with '50158-0000' next to it. There is a 'Bad Address' checkbox and two buttons: 'Copy to Mail Address' and 'Close'.



## Closing a Case File

On the Seeker Info Tab, check the FIP Status Field – for “Not Active”.

1. Check the PJCase Person screen in PJCase.
2. This screen has information on the FIP Status and the INDV Negative date.
3. If the negative date has passed, this file can go in your closed file (or LBP file if the person was LBP'd).
4. Monitor the case for the next 2 months.
5. If after checking ISSV the individual has missed 2 full months of warrants, you can consider the case is closed.
6. Close the individual in IWorks.

EXAMPLE:

- PJ Case Person screen indicates an INDV negative date of 05/31/07.
- Sometime in early June you should note in Case Notes that the case closed on 05/31/07.
- Put the files in your closed file.
- June is the 1<sup>st</sup> month the case is closed.
- July is the 2<sup>nd</sup> month.
- In early August you close the file.

LBP PROCESS - Same as above, until notified differently.

### ***Close Out the File in IWorks:***

#### **Enrollment Tab**

1. Click the Agreement Button.
2. Change the end date of the current FIA to the date that you are closing the record in IWorks.  
(Or in our example the date would be the August date that you close the file.)
3. Uncheck the Participate box.
4. Save and Close.

#### **Case Notes Tab**

Update your case notes; print and file in the hard copy case file.

#### **The case needs to remain open and monitored for 2 full months after the last month of FIP.**

- If FIP closes in the middle of the month, the PROMISE JOBS Case Manager is still responsible for the case. The 2 month countdown starts at the beginning of the next month, following the month that FIP was closed.
- If the case closes on June 24, the client received FIP in June. The 2 month countdown is for July and August.
- At the beginning of the 3rd month without FIP (September), the case can be closed.



## Closures Tab

Go to the Closures Tab to close your activities, enrollments and the employment plan. Once everything is closed, you will get a pop-up box asking if you want to inactivate case management. Click OK and you have closed your records correctly.

1. Close all open services first.
  - Enter the date that you are closing the record for the End Date of the service.
  - Double click in the Outcome field and choose the best outcome for the situation.
  - Enter any appropriate Closure Comments.
2. Close the Employment Plan.
  - Enter the date that you are closing the record for the End Date of the service.
  - Double click in the Reason field and choose the best reason for the situation.
  - Enter Plan Close Comments.
3. Close open Enrollments.
  - Enter the date that you are closing the record for the End Date of the service.
  - Double click in the Outcome field and choose the best outcome for the situation.
  - Enter Enrollment Close Comments.
4. Review your entries and click Save.

## Employment Plan Reason - Employment

For a participant who is leaving PROMISE JOBS due to employment, and you have selected that employment is the reason that you are closing the case, you have a few more steps:

After clicking Save, you will get a pop-up that asks you to Select an O\*Net for this Closure. Select the appropriate O\*Net code.

You will get another window that says that Closures are permanent. Are you sure that you want to continue? If yes, click OK.

You will get a window that says, you have closed an enrollment with an outcome related to employment. Would you like to enter placement information? Yes or No.

If you are closing a file because the person is employed, you should be sure to enter the employment information, so click on Yes. This will take you to the Placement History section in IWorks for you to enter the employment information.

Once you have closed the case, be sure to return to the Seeker Info tab. It should read:

FIP Status – Not Active

FIA Status – Closed

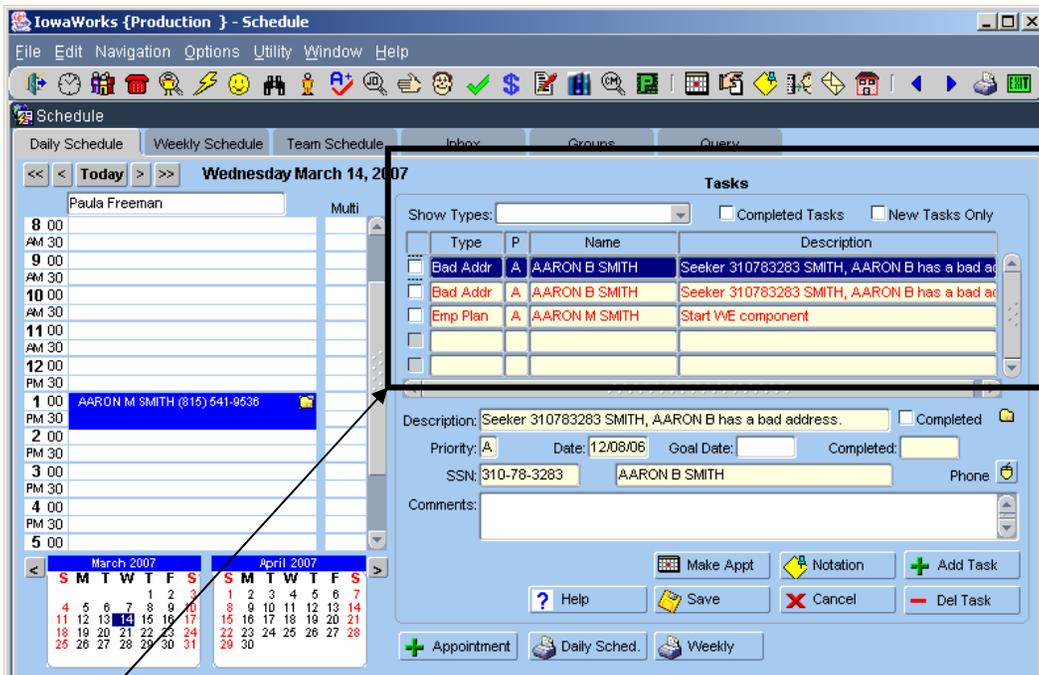
Case Management – Inactive

Even though you have inactivated case management you may still see your name listed as the counselor, even though it will show closed in the counselor information screen. IWorks refreshes periodically throughout the day, so it does take some time for that action to remove your name as the counselor for the person you just inactivated for case management.

## IWorks Schedule

### IWorks Schedule: Tasks

The Schedule  is a powerful case management tool. PROMISE JOBS workers **must** check the Schedule screen **daily**. Tasks show on the right side of the screen. Tasks are notifications to the Case Worker about things that need the Case Worker's attention. The **task** detail area located in the bottom right corner shows all pertinent information relating to the highlighted task.

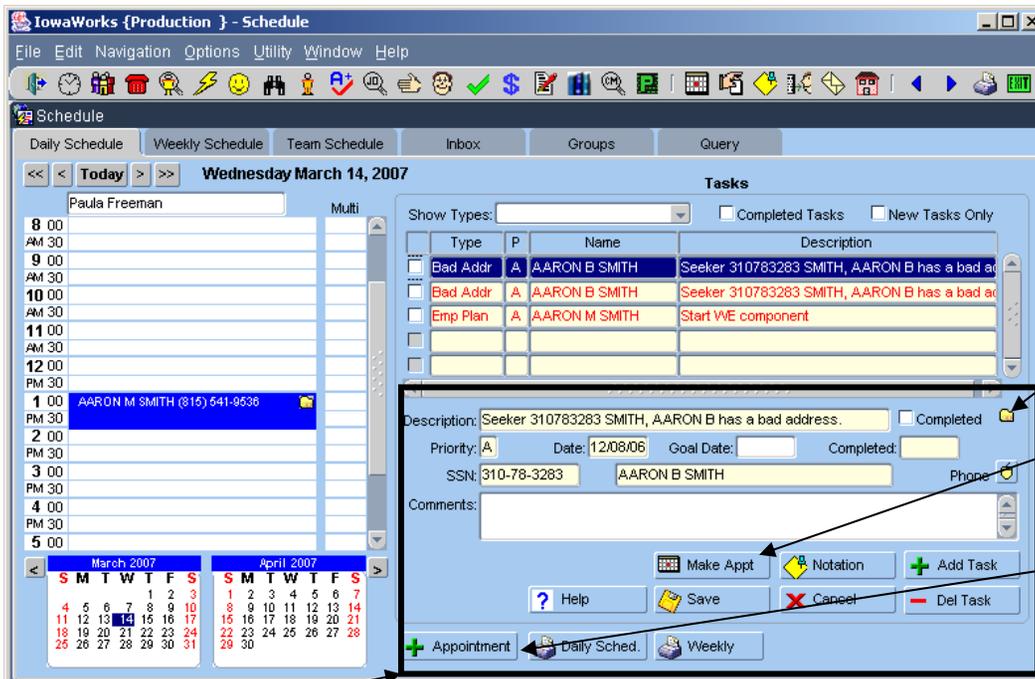


**Tasks** area shows all “alerts” that are assigned to the worker.

- All daily/overdue tasks are shown by default (including both system/worker-generated task), but user can sort/filter list by task **Types** (dropdown list)
  - Overdue tasks show in red

- User can also filter listed tasks by status (**Completed** or **New**)
- Grid shows **Type, Priority, Name, & Description**
- There are three priorities for tasks: A – Highest importance/urgency | B – Second highest importance/urgency | C – Least importance/urgency
- User cannot delete priority 'A' or system-generated tasks – they must be marked 'Completed'

## IWorks Schedule: Task Detail



Folder Link

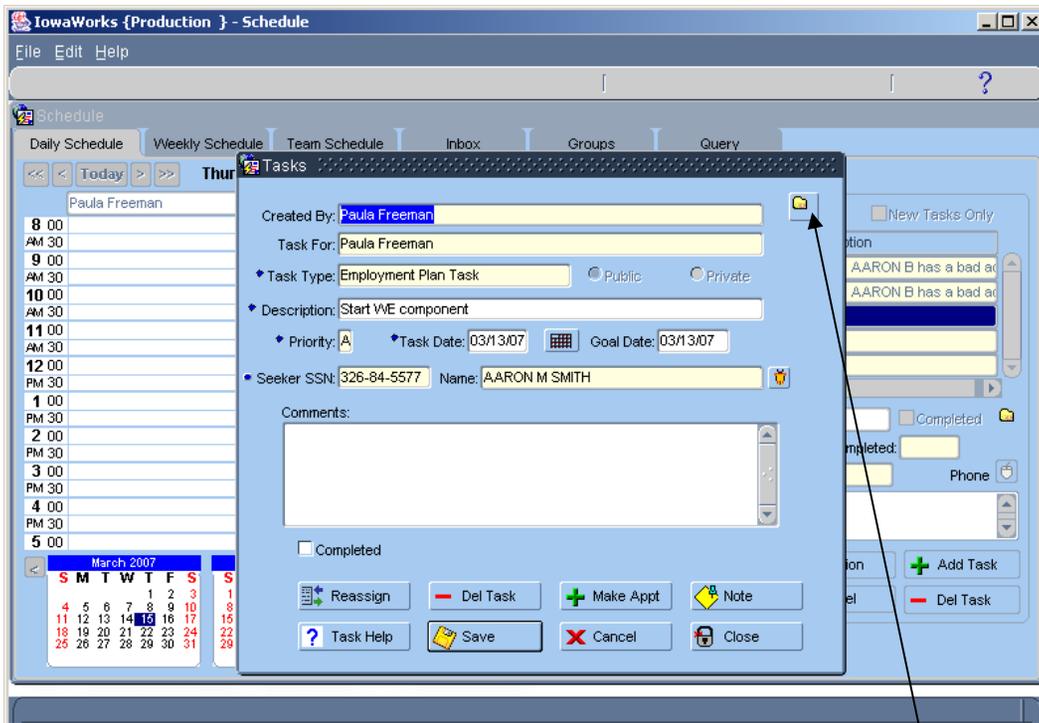
Make Appt button is used when making an appointment associated with a Task.

Use the Appointment button to make an appointment not associated with a task or double click Time on the schedule.

The **task detail area** shows all pertinent information relating to the highlighted task above, including:

- Folder that will link to seeker / employer / job order when related to it
- Priority / Date of task (non-updateable if priority A)
- Tasks can be **completed** in the grid or below – completed date is auto-filled
  - **Note:** Will show completed on date completed, NOT date due!
- Task can be “converted” to appointment or note using buttons
- Help button used to explain task type
- Buttons below to create a new appointment or print the daily / weekly schedule

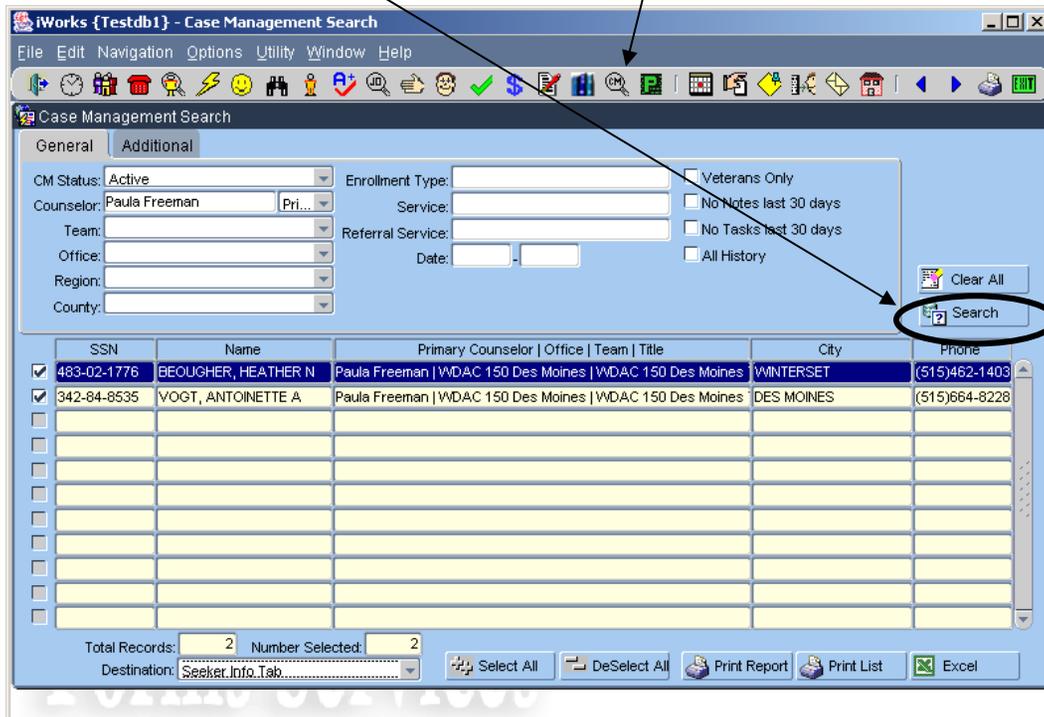
## IWorks Schedule: Tasks (Continued)



A participant's seeker record can be accessed from the Schedule screen by double clicking the participant listed in the task section. A Tasks dialog box will open. In the upper right corner of the dialog box, there is a folder . Click on the folder  and IWorks will open the participant's seeker record. Once the necessary action is done, IWorks will remove the task from the tasks list on the Schedule screen. If the Case Worker receives a task, and after reviewing the participant information, the Case Worker determines that no action needs to be taken, the Case Worker can delete the task from the Task list by selecting the task, and clicking on Delete Task on the Schedule screen.

## Case Management Search

Once a referral from DHS is received by IWD, a Seeker Record will be created in IWorks. After the PROMISE JOBS worker has been assigned the case worker can use the Case Management Search Button  to locate the case worker's active participants. When the case worker clicks on the Case Management Search Button  the following screen will appear. The PROMISE JOBS worker's name should show in the Counselor field. To bring up the worker's current active participants click on Search. A list of participants will populate the table on the bottom of the screen.



SSN	Name	Primary Counselor   Office   Team   Title	City	Phone
<input checked="" type="checkbox"/> 483-02-1776	BEOUGHNER, HEATHER N	Paula Freeman   WDAC 150 Des Moines   WDAC 150 Des Moines	WINTERSET	(515)462-1403
<input checked="" type="checkbox"/> 342-84-8535	VOGT, ANTOINETTE A	Paula Freeman   WDAC 150 Des Moines   WDAC 150 Des Moines	DES MOINES	(515)664-8228
<input type="checkbox"/>				

Use the **Case Management Search** to find customers that are being case managed. There are many search elements that can be used to find customers but the primary purpose of this screen is matching case managed customers to workers. Print search results or export to Excel.

- Search for customers by **Case Management Status, Worker Name, Team, Office, Region, County, Zip Code** or **Date Range**.
- The **All History** check box searches for all customers that were assigned to a worker. The worker may not be assigned to the customer now but they were at some time in the past.
- Search for customers based on **Enrollment Type**, Employment Plan **Service**, and **Provider** they received an authorization for. Search by **Referral Service Provider, Petition Number, Age Range, Pseudo SSN** or **Undocumented Aliens**.
- The check boxes on the right side of the screen provide specialized searches. Find customers that are **Active with no plan, Enrolled with no plan, Live outside office area, Veterans**, only customers with **Obligation/Authorizations**, customers that have **Unpaid Authorizations and have a closed plan and Authorizations that are not paid**.

- The search results are displayed in the table and can be re-sorted by right clicking in the column you want to resort.

## Case Management Search – Active Case Management No Plan

This is a nice tool for the PROMISE JOBS workers. If the worker needs to find out which participants are active for Case Management, but do not have an enrollment plan, they can find those participants by using the Additional Tab in the Case Management Search function. This is a useful tool for the PROMISE JOBS worker if they are interrupted while doing data entry for their participant.

**Case Management Search - Additional Tab**

Active with no plan       FEP participation hrs. under 34  
 Enrolled with no plan  
 Lives outside office area  
 Obligations/Authorizations  
 Unpaid Authorizations for a closed plan  
 Unpaid Authorization over [ ] days  
 VMA Youth 5%

Search for Pseudo SSN Only  
 Search for Undoc. Alien Only

SSN	Name	Primary Counselor   Office   Team   Title	City	Phone
<input checked="" type="checkbox"/> 310-78-3283	SMITH, AARON B	Paula Freeman   WDAC 150 Des Moines   WDAC 150 Des Moines	CLARINDA	
<input checked="" type="checkbox"/> 480-94-0601	SMITH, AARON M	Paula Freeman   WDAC 150 Des Moines   WDAC 150 Des Moines	NORTH LIBERTY	(319)360-2624
<input checked="" type="checkbox"/> 342-84-8535	VOGT, ANTOINETTE A	Paula Freeman   WDAC 150 Des Moines   WDAC 150 Des Moines	DES MOINES	(515)278-2414
<input type="checkbox"/>				

Total Records: 3    Number Selected: 3

Destination:                    

Click in box to select a specific case

## IWorks Seeker History: Seeker Services

Seeker Histories - AARON M SMITH(480-94-0601) | Paula Freeman (515)281-9337

Seeker Services | Change History | Content Manager

Display Options

- Service History
- Correspondence
- Workshop Notices
- Tasks
- Appointments
- WSL Referrals

Counts

- DWS Referrals: 0
- Self Referrals: 2
- Employer Referrals: 0
- Placements: 0
- Services: 8
- Scratch Pads: 0

Print List

Date	Type of Service	Counselor	Description	Results
03/20/07	Task	Paula Freeman	Need to start component	Completed
03/20/07	Task	Paula Freeman	Start component for WE	Not Complet
03/16/07	Service	Paula Freeman	Assessment	
02/28/07	Task	Raymond Truitt	research training plan	Completed
09/02/06	Service	Counselor Web	Job Referral	
09/02/06	Service	Counselor Web	Job Referral	
09/02/06	Correspondence	Paula Freeman	EO Notice	Mailed
01/27/05	Service	Debbie Fisher	Employment Development Plan	
08/16/04	Service	Linda Pippen	Employment Development Plan	
08/16/04	Service	Linda Pippen	Testing - Assessment	
08/16/04	Service	Linda Pippen	Local Office Contact	
08/16/04	Service	Linda Pippen	Employment Development Plan	

Date service was provided. Right click to re-order

The **Seeker Services** tab shows a history of services provided to the job seeker.

- When **Display Options** check boxes are checked those services will be shown in the grid, if any exist. For example, if you only want to see tasks and appointments you would only have the Tasks and Appointments boxes checked.
- The **Counts** section allows you to see Staff-assisted, Self, and Employer Referrals. You can also see Job Placements, Services and Scratch Pad counts.
- **Print List** allows you to print out a list of all of the services shown on the screen.

## IWorks Seeker History: Change History

Date	Change Type	Counselor	Detail
06/23/05	Assessment	Eric L. Strong	
06/23/05	Assessment	Eric L. Strong	
06/23/05	Assessment	Eric L. Strong	
06/23/05	Assessment	Eric L. Strong	
06/23/05	Assessment	Eric L. Strong	
06/22/05	Address	Jamie Lowe	1385 S STATE ST SALT LAKE CITY,UT 841155403
06/21/05	Address	Jamie Lowe	140 E BROADWAY SALT LAKE CITY,UT 841112305
06/20/05	Employment Plan	Eric L. Strong	
06/20/05	Funding - Obligation	Eric L. Strong	Yr1(2005) \$0 Yr2(2006) \$0 Yr3(2007) \$0
06/20/05	Employment Plan	Eric L. Strong	
06/20/05	Funding - Obligation	Eric L. Strong	Yr1(2005) \$0 Yr2(2006) \$0 Yr3(2007) \$0
06/20/05	Address	Jamie Lowe	1385 S STATE ST SALT LAKE CITY,UT 841155403
06/17/05	Address	Jamie Lowe	140 E BROADWAY SALT LAKE CITY,UT 841112305
06/16/05	Employment Plan	Kathy Koller	
06/16/05	Address	Jamie Lowe	1385 S STATE ST SALT LAKE CITY,UT 841155403
06/15/05	Employment Plan	Jeffrey P. Pryor	
06/15/05	Employment Plan	Jeffrey P. Pryor	



The address that comes from DHS takes precedence, even if an old or incorrect address comes over.

Work with the IM to get the address changed in IABC.

The **Change History** tab shows a history of some of the important changes that have been made.

- Change history will show the **Date** of the change, **Change Type**, **Staff** (Worker that made the change) and the **Details**.

With address changes:

- If the counselor is IWorks Owner, the address was changed when the change file came over from DHS.
- If the counselor is a case worker's name, the address was changed by that case manager.
- If the counselor is Counselor Web, the participant changed the address themselves using the internet.

## IWorks Individual Job Order Search: Individual Job Search (Page 1)

O*NET Codes	Desired Job Title	Exp	Partial
	Food Service Managers	36	119051



Remember, you “Control” the search by using your control key and the mouse to select your search criteria.

The **Individual Job Order Search** will help job seekers complete a custom search for jobs.

- All the fields are populated with the job seeker **default** information. This data comes from the seeker record.
- Searches can be done by ONET job title, Skills, Key Word searches, Shifts, Will Work, Drivers Licenses Class/Endorsements, Certificates and Licenses, Degree, Benefits, Testing, Registers and Misc Other criteria.
- Only fields that are **highlighted** are active as search criteria. **Age** is the only search criteria that auto defaults.
- **Highlight/un-highlight** a field by selecting **F4** or **Ctrl/Click** (Hold down the Ctrl key and click the cursor in the field.)
- Search **Output** results can be created by selecting **View Lists** or **Show Jobs** radio buttons.

## IWorks Individual Job Order Search: Individual Job Search (Page 2)

**IowaWorks [Production] - Individual Job Order Search**

File Edit Navigation Options Utility Window Help

Individual Job Order Search - PEDRINA MESSINAROUND(999-00-0003)

Individual Job Search Search Results

O\*NET Codes

Desired Job Title	Exp	Partial
Food Service Managers	36	119051

Job Search Area

Counties: Marshall Zip Codes:

Misc Other

Age: 41 Commission  
Salary: 6.00 H Live In  
Lifting: 3 Car Access  
Dates: 04/02/05 - 05/17/05

Skills

Human Resources	General Office	Bookkeeping / Accountin
Quarterly Taxes	Ten Key	Real Estate
Medical Terminology	Library	Legal Terminology
Insurance	Dictaphone	Data Entry
Collections	Banking	Payroll

Words

Contains All Exists In

Shifts

Day  
 Swing  
 Graveyard  
 Rotate

Drivers License

Standard  
 Class C  
 Class B  
 Class A

Certificates and Licenses

Appraiser

Degree

Type: Agriculture, Agricultural Operati

Testing

	Net	Gross	Acc
Typing:	75	80	94
DE Num:			
DE Alpha:			

Registers

Output

View List Show Jobs

Total Records Matched: 0

Clear Chg Seeker Reset Count Search

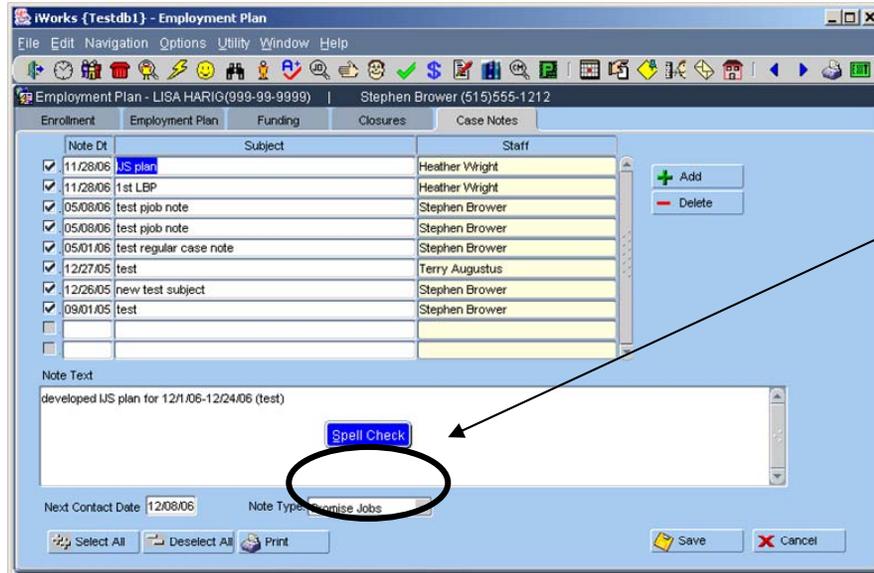
Record: 1/1 <OSC> 16/30

- Selecting the **Clear** button will clear data from all fields so searches can be done from scratch.
- Selecting the **Chg Seeker** button will bring up a pop-up that will allow the worker to enter an SSN to change seekers.
- The **Reset** button will change all information back to the original defaults.
- The **Count** button will do a search and show the number of matches in the **Total Records Matched** field.
- Selecting the **Search** button will do a search and open the **Search Results** tab.



# Spell Check

Right click in any free form field to access the spell check option. Click on "Spell Check" to begin the check.



Most free form fields will automatically spell check. However, it is encouraged to spell check your Case Notes by running the spell check option manually

# Appendix

# Excused Absences & Holiday Tracking Form

## Tracking Form

For all services/activities - (Except employment. Actual employment hours are projected up to 6 months)

- As of October 2007, PROMISE JOBS workers need to use this form to manually record the number of excused absences and/or holidays occurrences when the hours of the absence or holiday are reported in IWorks.
- PROMISE JOBS cannot report hours in IWorks for:
  - More than 10 occurrences of excused absences in a 12 month period.
  - More than 2 occurrences of excused absences in a given month.
  - More than 10 state, federal or mandated holidays in a given year.
  - These limits apply to the reporting of hours in IWorks only. There are no limits to the number of times that PROMISE JOBS can excuse a person from participation.
- Keep this form in the participant's file on the top left-hand side.

Participant Information								
Name			Case Number			SID		
Federal Fiscal Year 2008								
Month	Week Ending					Month Total	Excused Absence Year Total	Holiday Year Total
<b>October 2007</b>	10/05	10/12	10/19	10/26				
Excused Absences								
<b>November 2007</b>	11/02	11/09	11/16	11/23	11/30			
Excused Absences								
Holiday								
<b>December 2007</b>	12/07	12/14	12/21	12/28				
Excused Absences								
Holiday								
<b>January 2008</b>	01/04	01/11	01/18	01/25				
Excused Absences								
Holiday								
<b>February 2008</b>	02/01	02/08	02/15	02/22	02/29			
Excused Absences								
Holiday								
<b>March 2008</b>	03/07	03/14	03/21	03/28				
Excused Absences								
<b>April 2008</b>	04/04	04/11	04/18	04/25				
Excused Absences								
<b>May 2008</b>	05/02	05/09	05/16	05/23	05/30			
Excused Absences								
Holiday								

<b>June 2008</b>	06/06	06/13	06/20	06/27				
Excused Absences								

<b>July 2008</b>	07/04	07/11	07/18	07/21				
Excused Absences								
Holiday								
<b>August 2008</b>	08/01	08/08	08/15	08/22	08/29			
Excused Absences								
<b>September 2008</b>	09/05	09/12	09/19	09/26				
Excused Absences								
Holiday								

- This form tracks the number of occurrences entered as hours of participation in IWorks. When reporting in IWorks, convert the occurrence to the number of hours.

## Using the Excused Absences and Holidays Tracking Form - Examples

The Federal regulations do not take into consideration the number of excused hours, compared to an occurrence. For example, if the participant needs to leave 1 hour early, due to a sick child, that 1 hour equates to 1 occurrence of an excused absence. It does not matter if the participant misses half an hour, or a full 8 hour day, it is counted as a single occurrence.

This is how tracking on the Excused Absences/Holidays Tracking Form is to be recorded.

- Enter the participant's name, case number, and SID on the tracking form.
- Enter the occurrence, as 1. (Do not record the number of hours the participant missed.)

**Federal Fiscal Year 2008 - Example**

Month	Week Ending					Month Total	Excused Absence Year Total	Holiday Year Total
	10/05	10/12	10/19	10/26				
<b>October 2007</b>	10/05	10/12	10/19	10/26				
Excused Absences		1				1	1	
<b>November 2007</b>	11/02	11/09	11/16	11/23	11/30			
Excused Absences	1		1			2	3	
Holiday			1	2		3		3
<b>December 2007</b>	12/07	12/14	12/21	12/28				
Excused Absences								
Holiday				1		1		4

You will use this one tracking form for an entire Federal Fiscal year (October 1, 2007 – September 30, 2008).

The months that have Iowa's ten identified holidays, have the Holiday line for tracking purposes. If the month does not have a Holiday line, you should not be entering holiday hours on the tracking form (nor in IWorks).

- Once the participant has reached 2 excused absences in a month, you can not use a 3<sup>rd</sup> excused absence in the same month to "make up" work participation hours.
- Once the participant has reached 10 occurrences of excused absences in the year, you can not use an 11<sup>th</sup> occurrence to "make up" work participation hours.

Once the participant has reached 10 occurrences of a state, federal or mandated holidays in a given year, you can not use an 11<sup>th</sup> occurrence to "make up" work participant hours.

## ***Entering Excused Absences and Holidays in IWorks Monitoring Screen***

### **Excused Absences:**

- For work activities, Iowa will report the number of scheduled hours as hours of participation when a participant is absent from the activity due to an excused absence or a holiday. For each participant, Iowa will report no more than 10 days of excused absences in a 12-month period, and no more than two days of excused absences in a given month.
  
- Iowa will consider using the following instances in defining an absence from a scheduled unpaid work activity as “excused”:
  - Illness.
  - Court-appearance. (Mandatory for participant, participant spouse, or participant child)
  - Attendance at school functions for children, i.e. parent/teacher conferences.
  - Attendance at required meetings with IDHS or IWD.
  - Required in the home due to illness of another family member.
  - Family emergency, using reasonable standards of an employer.
  - Bad weather, using reasonable standards of an employer.
  - Absent or late due to a participant’s or spouse’s job interview, when the hours cannot be counted as job search.
  - Leave due to the birth of a child. When a child is born or joins a family through adoption or foster care after referral, necessary absence shall be determined in accordance with the Family Medical Leave Act of 1993.

### **Holiday Policy:**

When an absence is due to a holiday and when the participant would normally be scheduled for a work activity on that day and the participant does not attend the activity because the worksite, training facility, or activity-site:

- Is closed due to a holiday, or
- Is open on a given holiday and allows a participant to take their normally scheduled hours off on a different day, in order for the activity to continue despite the holiday.

For a participant participating in work activities, Iowa will excuse state and federal holidays when the participant would otherwise be scheduled for a work activity. No participant may receive credit for more than a total of 10 state, federal or mandated holidays in a year. Holidays must be identified and documented in each participant’s FIA and updated as necessary. The ten holidays that Iowa will allow includes:

1. New Year’s Day
2. Martin Luther King Day
3. President’s Day
4. Memorial Day
5. 4<sup>th</sup> of July
6. Labor Day
7. Veterans Day
8. Thanksgiving
9. Day after Thanksgiving
10. Christmas – or another identified religious holiday in lieu of Christmas

All documentation related to calculating and verifying work participation is maintained in the participant's case file while the file is active and for the length of time determined appropriate by the Iowa Records Commission based on federal and state law, regulation or rule after the case has been closed.

## Entering Excused Absences/Holiday Data Entry into IWorks:

Based on the hours in the example Excused Absences/Holidays Tracking Form above:

In IWorks, locate your participant and go to the employment plan.

Open the monitoring screen.

**October Example:** (1 hour excused absence from a work activity)

- In the Excused Absences field, for the occurrence of 1 hour of excused absence during the week ending 10/12, enter 1 hour.
- The hours that the participant did participate for the rest of that week would be the hours they actually attended, reported in the same week ending field for the appropriate work activity, minus the one hour that is now being reported in the excused absences field.

Service	Start Dt	Exp Hrs	Week Ending				Avg.
			09/07	09/14	09/21	09/28	
PJ Workplace Essentials	09/04/07	30	29				29
PJ Job Club	09/12/07	20		20			20
Excused Hours			1	0			1
Holiday			0	0			0
			30	20			50

Documentation  
09/07:

Save Close

### November Example:

**Excused Absences:** (2 occurrences in a month, different hours for each occurrence)

- In the Excused Absences field, for the occurrence of a 4 hour excused absence during the week ending 11/02, enter 4 hours.
- The hours that the participant did participate for the rest of that week would be the hours they actually attended, reported in the same week ending field for the appropriate work activity, minus the 4 hours that is now being reported in the excused absences field.
- In the Excused Absences field for the occurrence of a 2 hour excused absence during the week ending 11/16, enter 2 hours.
- The hours that the participant did participate for the rest of that week would be the hours they actually attended, reported in the same week ending field for the appropriate work activity, minus the 2 hours that is now being reported in the excused absences field.

**Holidays:** (3 occurrences in a month, Veteran's Day, Thanksgiving Day and the Friday following = 3 Holidays in the month)

- In the Holiday field, for the occurrence, enter the number of hours the participant missed due to the holiday.
- If the work activity would have been 4 hours for the day (Veteran's Day) you would enter the 4 hours in the holiday field for that week, and enter the remaining activity hours for the work activity for the rest of the week, minus the 4 hours that is now being reported in the holiday field.
- If the work activity would have been 6 hours for each day (Thanksgiving Day & Friday) you would enter the 12 hours in the holiday field for that week, and enter the remaining activity hours for the work activity for the rest of the week, minus the 12 hours that is now being reported in the holiday field.

PJ Individual Job Search	11/03/06		16	16	18	12	16
PJ Unskilled Employment	09/18/06	30					
Excused Hours			4	0	2	0	6
Holiday			0	4	0	8	12
			20	20	20	20	80

Documentation  
11/24:

 Save  Close

**December Example:**

**Excused Absences:** (N/A, no occurrence of excused absences in the month)

**Holidays:** (1 occurrence, Christmas)

- In the Holiday field, for the occurrence, enter the number of hours the participant missed due to the holiday.
- If the work activity would have been 6 hours for the day, you would enter the 6 hours in the holiday field for that week, and enter the remaining activity hours for the work activity for the rest of the week, minus the 6 hours that is now being reported in the holiday field.

Service	Start Dt	Exp Hrs	Week Ending					Avg.
			12/01	12/08	12/15	12/22	12/29	
PJ Individual Job Search	11/03/06		20	20	20	20	16	19
PJ Unsubsidised Employment	09/18/06	30						
Excused Hours			0	0	0	0	0	0
Holiday			0	0	0	0	4	4
			20	20	20	20	20	100

Documentation  
12/29:

Save Close

## IWorks Objective/Services & Component Code

Objective/Services	Code
<b>PJ Basic</b>	
PJ Parenting Skills ( 19 & younger)	7A
PJ Parenting Skills (All Others)	7B
PJ Family Development (Parents 17 & Under w/FaDSS)	8A
PJ Family Development (All Others)	8B
PJ Family Planning	9
PJ FaDSS	3
PJ Component Waiting List	4
PJ Vocational Rehabilitation	VR
PJ Vocational Rehabilitation Wait List	VW
PJ FSSG	10
PJ X - Other	X
PJ Family Violence Option	DV
PJ Disabled - Able to Work	DA
PJ Caring/Disabled Family Member	DF
PJ Disabled - Long-Term	DL
PJ Disabled - Short-Term	DS
<b>Ed. Directly Related to Emp.</b>	
PJ HS Attendance	E
PJ GED	F
<b>PJ Employment</b>	
PJ Unsubsidized Employment	6
PJ Self-Employment	SE
<b>PJ Job Readiness/Job Search</b>	
PJ Assessment	AB
PJ Job Club	BA
PJ Group Job Search	C
PJ Individual Job Search	2B

Objective/Services	Code
<b>PJ Job Skills Trng. Directly Related to Employment</b>	
PJ Post Secondary (BA/BS Degree)	PE
PJ Basic Skills (ABE)	G
PJ English as a Second Language	H
<b>PJ On-the-Job Training</b>	
PROMISE JOBS OJT	RA
OJT - Other	RB
<b>PJ Satisfactory Attendance Secondary School</b>	
PJ HS Attendance	E
PJ GED	F
<b>PJ Subsidized Employment - Private</b>	
PJ Subsidized Employment - Private	SB
<b>PJ Subsidized Employment - Public</b>	
PJ Subsidized Employment - Public	SP
<b>PJ Unpaid Comm. Service</b>	
PJ Unpaid Comm. Service	N
<b>PJ Vocational Education</b>	
PJ Post Sec. Vocational (AA/AS/AAS degrees)	PV
PJ Short Term Training (30 - 52 wks)	VE
PJ Training (Less than 30 wks)	VV
PJ Non-Approvable Training	W
<b>PJ Work Experience</b>	
PJ Work Experience	L

PJ Workplace Essentials	WE
PJ Mental Health Treatment	MH
PJ Substance Abuse Treatment	SA
PJ Other Rehabilitation	OR



## **Attachment F: Systems Details On Determining: Work Eligible; Work Participation Status; Calculating Monthly Hours; and Detail of Data Elements:**

Attachment F provides details regarding the monthly process that is used to create the monthly system file that is eventually incorporated into the quarterly TANF Data and SSP-MOE Data Reports. It consists of five sections:

- 1 – Referral Procedures
- 2 – Description of IABC
- 3 – Identification of work-eligible individuals and their case category
- 4 – Determination of work participation status
- 5 – Recording of weekly hours in work activities
- 6 - Documenting Work Participation Activities Electronically
- 7 – Detail of Data Elements

### **1. Referral Procedures:**

IDHS Income Maintenance (IM) workers identify each FIP individual's PROMISE JOBS referral status through referral code entries on the IDHS Automated Benefit Calculation (IABC) system. The IABC system is updated nightly through a batch process. After the IABC system updates, the PROMISE JOBS referral system:

- Creates a referral data file that identifies and contains pertinent information for all individuals required to participate in work activities according to Iowa's referral policies, including information on newly referred mandatory persons and changed information on currently and previously referred individuals.
- Systematically sends the referral file to IWD, and
- Updates IDHS' PROMISE JOBS referral master file with the information from IABC.

IWD processes the referral data file the same night and updates IWD's IWORKS system with the data. PROMISE JOBS case managers use the IWORKS system for recording case management activities, such as: the signing of the (Family Investment Agreement) FIA and anticipated self-sufficiency date, a scheduled activity, actual hours of participation in a specific activity, and employment information, including projected work hours.

Attachment D contains IABC system-coding instructions that apply to this work verification plan. Attachment E contains IWORKS system-coding instructions that PROMISE JOBS staff use.

**2. Description of IABC:** The IDHS Automated Benefit Calculation system is a computer system designed to:

- Gather and store information about the Department's income maintenance program clients.
- Calculate benefit levels and determine income eligibility.
- Enable issuance of benefits.
- Generate Medicaid eligibility cards.
- Issue client notices and forms.
- Generate various management reports to assist in program administration.
- Pass information to other systems.

The IABC system stores information about individuals and cases as separate records. The system uses a unique number to identify an individual. This number is called the state identification number. The system uses another unique number to identify the case. The state identification number and case number connect the record of the individual to the record of the case.

IM workers enter information about each individual, including benefit status and income information into IABC. Data input by the end of the day are normally processed that same night. This method is called “batch processing.” If processed, screens display the entered data the next day. When information is not updated, Worker Action Report screens display error messages, allowing the IM worker to correct or delete the entered information. All entries are permanently stored using the data system batch process.

### **3. Identifying Work-Eligible Individuals:**

Iowa uses the PROMISE JOBS referral master file, IABC, and the PROMISE JOBS Component file, from IWD that includes hours of participation in employment and other activities to identify work-eligible individuals according to federal regulations at 45 CFR § 261.2. See Section 6, Documenting Work Participation Activities Electronically for more information regarding the data in these files.

The following process is used to identify work-eligible individuals that received a FIP grant. Iowa’s plan for identifying non-recipient parents in the home of children on FIP as required by the Final Federal rule at 261.2(n)(1) is described later in this section.

- Identify individuals active on the FIP case for the month of examination:
  - An active FIP individual status code is included as potentially work-eligible, or
  - A canceled FIP individual status code with an individual negative action date that indicates the individual was on the case and receiving assistance within the month of examination.
    - IDHS checks ISSV to determine if the individual received a FIP grant for the month. If an individual received FIP for the month, the individual is considered active for consideration as work-eligible.
  - An active FIP individual status code for the current month and an inactive FIP individual status code for the prior month, received a FIP grant for the prior month in the current month and no FIP grant in the preceding “prior” month is included as potentially work-eligible. (For example, FIP received for November in November, FIP received for October in November, and no FIP received in September). This step is for the optional inclusion of months of retroactive FIP eligibility. Data is validated through a second data match with ISSV.

Of those individuals identified as receiving a FIP grant for the evaluation month, Iowa uses the following process to conclude if the individual is deemed as work-eligible:

- Step 1: Determine whether the individual on FIP is an adult parent or relative, or minor child head of household. This is done by means of:
  - Birth date. Any individual 19 or older as of the month of examination is deemed an adult and potentially work-eligible.

- Relationship code. This code indicates the status of the individual in relationship to other individuals in the household. Any individual who has a code that indicates status as head of household or spouse of the head of household who is 19 years of age or older is considered an adult. This code allows for the inclusion of a minor parent head of household as potentially work eligible.
- Step 2: Of those deemed an adult, and those identified as head of household or adult spouse of the head of household, determine if the individual is a parent caring for a disabled family member and excluded from the work eligible population for the examination month as allowed by final Federal Rule at 261.2(n)(1). Iowa identifies parents caring for a disabled family member with an identification code in the PROMISE JOBS Component file. PROMISE JOBS use this code to identify the parent caring for a disabled family member, the beginning date of the exclusion, and the anticipated ending date according to medical documentation. The ending date will allow for tracking to ensure that continued eligibility for this exclusion is reviewed in a timely manner.

Iowa determines “work-eligible non-recipient parents” and “non-recipient parents eligible for exclusion as work-eligible” by using a combination of various system codes. Non-recipient parents in the home and receiving FIP for children are identified as coded in the IABC system with FIP individual status code of “F” (excluded parent) or “I” (sanctioned parent) and FIP individual “in-home” code of “Y” will be included with the “work-eligible” group as described in the previous section, except as follows:

- Ineligible alien – CIT (citizenship) code of “2”, “3” or “4” in the individual master file of IABC (X470.C650 or on TD03 on IABC).
- SSI recipients do not receive FIP and are excluded during the process described in the previous section. Iowa is choosing to exclude all SSI recipients, as Iowa does not have a means for counting an SSI recipient’s participation if the SSI recipient is participating in countable work activity.

Only those deemed to be “work-eligible individuals” are entered into the work participation file that will be used within the TANF Data Report and SSP-MOE Data Report.

Once the individual is deemed as a work-eligible individual, the case aid type is used to determine whether the individual belongs to a single parent or two-parent FIP case. This aid type is recorded by the local income maintenance worker based upon the circumstances of each individual case and is updated as the situation warrants. The appropriate code for case category is then recorded based upon this case aid type indicator.

#### **4. Work Participation Status**

The following describes the process for determining work participation status for individuals identified as work-eligible:

Since an individual can meet the definition of more than one “work participation status” code for the TANF Data Report, IDHS identifies the code that best represents the circumstances for each individual and is most beneficial for work participation rate calculations.

**Step 1:**

Each individual's hours of work activity is determined for the month of examination (described in more detail in Section 5 of this Attachment). Based upon the case category (aid type) already determined and described in Section 1, IDHS determines if the total hours of work activity for the individuals on the case meet the standards set for each case based upon:

- Whether the case is countable as an all-family case only or needs to be counted as a two-parent case as well (as determined by the aid type).
- Whether any single parent or needy caretaker relative case has a child under six years of age.
- Whether the case has a minor parent. This is determined through the work-eligible individual identification outlined above.
- Whether the case received federally funded child care for the month. This is obtained by inclusion of child care system files and merged by means of a personal identifier with children's files and then merged by the case identifier.

**Step 2:**

Once the determination has been made on whether the individual is countable for work participation, the work participation status code is assigned in this order:

- If the case is not countable for work participation and is a single-parent case with a child under one year of age, it is coded as disregarded for this reason.
- A disabled parent in a two-parent case is coded to allow the case to be excluded from the two-parent rate.
- If the case is not countable for work participation and can be disregarded due to refusal to participate, it is coded as disregarded for this reason.
- All other individuals are coded so that they show as a non-disregarded case.
- All minor parents who are maintaining school attendance are coded as such. The minor parent status is identified through the process outlined in item 1 of this section.
- All single non-minor parents who are meeting 20 hours per week of work activity are coded as such.
- All other individuals are coded as either meeting or not meeting work participation as they are calculated.

It should be noted that any case countable for work participation is included as a mandatory case even if they would qualify as a disregarded case. That designation is removed and the individual(s) are then coded as being either countable or not countable with references to minor parents and those single parents or needy caretaker relatives with a child under six years of age as appropriate.

**5 – Recording of Weekly Hours in Work Activities:**

In order to determine monthly hours of participation in activities, IDHS uses the following data elements:

*Education and training activities*

- Beginning date

- Termination date
- Actual weekly hours of participation. Up to five weekly slots exist on this file. PROMISE JOBS case managers report the weekly hours for each month based upon the weeks in the month in which a Friday falls. For example, if there are five Fridays in September, the PROMISE JOBS case manager reports all weeks ending on those Fridays in the September file.

*Employments*

- Beginning date
- Termination date
- Projected weekly hours based on actual hours of employment

IDHS considers an activity active and its hours contribute to the determination of work participation for the month of examination when the following two criteria are met:

The activity's beginning date falls either during or before the month of examination, and the activity's termination date is either open (i.e., blank) or the date falls within or after the month of examination.

As a general rule, IDHS adds together all hours reported by PROMISE JOBS case managers for the month and then divides by the number of Fridays in the month to convert to a weekly, hourly figure.

The following are exceptions to this treatment of monthly hours of work activity:

*Employments*

PROMISE JOBS case managers enter a projected weekly average based on actual hours of employment, IDHS converts the weekly hours to a monthly figure and then to a weekly figure by dividing by the number of Fridays in the month (4 or 5).

IDHS undertakes the conversion to a monthly figure through the following two steps:

- Step 1: Determine the percentage of the month that the individual was employed, by using the beginning and ending dates. For example, if an individual was employed prior to the month of examination and shows no termination date, IDHS deems the individual to be employed for 100% of the month. As another example, if an individual starts an employment on the 16<sup>th</sup> of the month and the month has 30 days, then IDHS considers the individual to be employed for 50% of the month (15 total days of work divided by 30 calendar days in the month).

Step 2: Once IDHS determines the percentage of time employed, then IDHS multiplies this figure by the total projected hours for the month and then converts to a weekly figure by dividing by 4 or 5 depending on the number of Fridays in the month. Using the second example above, presume the individual is expected to put in 30 hours per week:

- Total hours converted to a monthly figure (30 times 4 = 120 or 30 times 5 = 150)

- Percentage of month employed (50%)
- Total hours projected to be worked (.50 times 120 = 60 or .50 times 150 = 75)
- Total weekly hours (60 divided by 4 or 75 divided by 5 = 15 hours per week)

So, even though IDHS expects the individual's employment to be at 30 hours weekly, IDHS would only show a converted amount of 15 hours per week since the individual only had employment for half of that month. For future months, if the individual remains employed, IDHS will show 30 hours per week for the full month of employment.

#### *Job Search/Job Readiness*

The following are the maximum totals that IDHS can use to count hours in these activities for each 12-month period:

- 120 hours for a parent with a child less than 6 years of age or 180 hours for others. (This becomes 240 or 360 total hours if the State is considered a "needy State." See note at the bottom of this subsection.).
- Four weeks consecutively.

In order to determine countable hours, IDHS considers each week's worth of activity separately and compares them to the "total hours" and "total consecutive weeks" appearing at that point.

Note: The four-consecutive-weeks maximum is considered independently of the 120 or 180 hours (240 or 360 hours for "needy state") maximum. Whenever a week goes by without hours for these activities or the "total consecutive weeks" reaches four, the value for consecutive weeks reverts to zero. If any other weeks have activity, the four-consecutive-weeks limit will not apply and will not impact upon the ability to count 120 or 180 hours (240 or 360 hours for "needy state").

In order to carry over totals from the prior month, IDHS generates an ongoing system file each month that has the up-to-date total hours and "total consecutive weeks" as it stood at the end of the immediately preceding month. This allows for the counter to resume as it stood at the end of the month for the first week in the month of examination. This file contains the SSN of the work eligible so that IDHS can match the SSN to the same individual's records in the following month. Countable hours are added to the total number of hours of activity for the report month and added to hours accumulated during the preceding 11-month period for each work eligible individual. Countable hours accumulated within any 4-week period count towards the 4-week consecutive limit.

IDHS places any countable hours that exceed the maximum number of the maximum allowable hours for that work eligible individual or that occur beyond the maximum of four consecutive weeks for within a 12-month period in the part of the file to report "other work activities." In the event that IDHS determines that the individual's case is not a countable family for work participation each month, then the figures for "total hours" and "total consecutive weeks" revert

to where they stood at the beginning of the month of examination. (This is done because any time of activity in these activities can be disregarded from those maximums in any month not countable for work participation.)

The 12-month period includes the current report month plus the preceding eleven months.

Note: On September 25, 2006, HHS issued a Program Instruction (TANF-ACF-PI-2006-04) regarding how States can claim and use “needy State” status to qualify for being able to count 240 (for persons with a child less than age 6) or 360 total hours rather than 120 or 180 hours of job search/job readiness for TANF work participation per Federal Fiscal Year. Based on criteria in the Program Instruction, Iowa anticipates meeting the definition of “needy State” for each month of FFY 2007. Iowa has updated programs to count job search and job readiness up to the maximum of 240 (for persons with a child less than age 6) or 360 hours within a 12-month period for each individual for each month that the State qualifies as a “needy State.”

### *Vocational Education*

Iowa allows a lifetime limit of 12 months for vocational education to be counted.

IDHS maintains an ongoing file that lists by SSN the total months for which an individual took part in vocational education up to that point. IDHS then matches this record to work activity in the subsequent month by the SSN. If the month of examination includes hours for vocational education and the running total equals or exceeds 12, then IDHS does not record the hours under vocational education. Rather, IDHS records the hours in “job-seeking skills related to employment”. If the total is less than 12, then IDHS adds the value of “1” to the running total and enters the running total into the new version of the monthly file for consideration in the following month.

For any month for which the case cannot be counted for work participation, IDHS does not change the ongoing running counter with a value of “1”. (This is done because Federal regulations allow IDHS to disregard the existence of hours in vocational education for any month for which the case cannot be counted for work participation.)

## **6. Documenting Work Participation Activities Electronically**

The process of documenting work participation activities by work-eligible individuals in the FIP program involves the following steps:

- Identifying work-eligible adults and minor children who are heads-of-household
- Identifying their FIP case status (i.e., single-parent, two-parent FIP, or caretaker case)
- Identifying receipt of FIP assistance
- Identifying their work participation status
- Recording their weekly hours in work activities

The process involves the creation of a monthly system file that is then incorporated into the monthly TANF Data Report and SSP-MOE Data Report. The Division of Data Management prepares the monthly report file.

This monthly file created for use in the TANF Data Report and SSP-MOE Data Report includes the following system files:

- IABC Issuance Verification file (ISSV)\_(for identification of work-eligible individuals). IDHS updates this file daily.
- PJCase database contains current and historical information from IABC and IWD on all work eligible individuals. Data is added to and retrieved for reporting in nightly batch processing.
- Sixty-month FIP history file (for identifying cases that received a FIP grant)
- Limited Benefit Plan file (for identifying those cases with individuals who have refused to participate in work activities). IDHS updates this file daily in a cumulative fashion to allow for identifying all occasions of refusal historically.
- Child care files (for identifying the receipt of Federally-funded child care, since this information is used for determining number of hours a two-parent case needs to meet work participation). IDHS updates these files daily.
- PROMISE JOBS component and employment files. IDHS receives these files from IWD on a monthly basis. IDHS maintains a historically cumulative master file for identifying work eligibles' hours in work activities.

The files listed above contribute the following information needed to identify various aspects of the work participation calculation:

*Work-eligible individuals (PROMISE JOBS referral master file)*

- SSN
- FIP case number
- FIP individual status code. Codes used to identify work-eligible individuals are:
  - A, B, C, E = Receiving FIP.
  - F = Non-recipient parent in the home of child on assistance – not sanctioned.
  - I = Sanctioned individual.
- PROMISE JOBS Referral Code.
- In-Home indicator.
- Citizenship code.
- FIP individual status code (codes A/B/C/E indicate active FIP status)
- FIP negative action date. FIP individual status codes N and R indicate closed status at the end of the month and a negative action date showing as the end of the month indicates active case status during the month.
- Relationship code. This code indicates the relationship of all individuals on the FIP case to the head of household.
- Birth date
- Case category (FIP case aid type code).
  - FIP case aid types 33-8 and 35-0 indicate a two-parent FIP case. These cases are included for work participation.
  - FIP case aid types 30-0, 30-2 and 32-8 indicate a single-parent FIP case. These cases are included for work participation.
  - Aid type 30-4 indicates a caretaker case. These cases are excluded unless the caretaker is considered as “needy” and is included on the FIP grant.

- Identification code for parents caring for a disabled family member.

See Attachment D for additional detail regarding this coding.

*Existence of a FIP grant (sixty-month FIP history file)*

- FIP case number
- Individual slots for the total FIP grant received in the past 60 months, ending for the month in which the file is created

*Eligibility for the disregard for refusal to work (Limited Benefit Plan File)*

- SSN (for individual refusing to cooperate)
- FIP case number (case identifier for the family on FIP assistance)
- Beginning month of the LBP
- Termination date of the LBP (if applicable)

*Identification of disabled parent in two-parent cases (PROMISE JOBS referral master file and the PROMISE JOBS component file)*

- Case category (FIP case aid type code) of 33-8 and 35-0, identifying a two-parent FIP case.
- Identifying component code for a disabled parent from the component file.

*Two-parent FIP cases receiving Federally funded child care for determination of need to make the 35 or 55 hour standard for work participation (Child care files)*

- FIP case number
- Effective month of child care
- Individual identifier (where no FIP case number exists in the system file, this individual I.D. is used to match with FIP system files that do contain a case number identifier)

*Work activity hours (PROMISE JOBS component and employment files)*

- Work activity codes (for identifying activity and proper assignment to federally defined categories)
- Beginning day of activity
- Termination date of activity
- Actual weekly hours of participation (or in the case of the employment file: projected weekly hours of work)

IDHS processes these system files, identified immediately above, on a regular schedule (either daily or monthly) and does not vary the schedule from day to day or month to month. Also, IDHS does the processing of the monthly program on a regimented time schedule each month to ensure the referenced files relate to the appropriate month. The following table contains information on how these files are processed:

Name of File	Description of Processing
PJCase Database	DDM updates PJCase data base with new IABC information daily. At month-end DDM then matches against ISSV to verify the status of the work eligible.
Sixty-month FIP history file	DDM in IDHS process this file at the calendar month-end of each month. Each time DDM creates this file, the file displays the total FIP grant individually for each of the past 60 months in order from oldest month to most recent month.
Limited Benefit Plan file	DDM in IDHS processes this file every day. DDM does processing in a cumulative fashion so that all instances of the LBP are recorded.
Child care files	DDM in IDHS processes these files each day. DDM also does processing in a cumulative fashion so that all child care payments made for each case and individual are recorded.
PROMISE JOBS component/employment files	<p>IWD usually creates these files on the evening of the 20<sup>th</sup> day of each month for all activities and updates that pertain to the immediately preceding month. However, if the 20<sup>th</sup> of the month falls on the weekend, IWD creates these files on the evening of the first workday following the 20<sup>th</sup> of the month.</p> <p>RBA merges these files with the master component and employment files previously sent by IWD. The purpose of merging is to create updated master files that show up-to-date data for each individual in each activity.</p> <p>RBA saves these master files on the state mainframe, so many months' worth of files are saved. This allows IDHS to run reports for individual months at any given time without the risk of loss of data pertaining to any particular month.</p>

As mentioned earlier, the process of documenting work participation activities involves the creation of a monthly system file that is then incorporated into the quarterly TANF Data Report and SSP-MOE Data Report. Documentation exists in the computer program preparing this monthly system file that gives the processor specific instructions as to the entries that need to be made (i.e., date fields and time for processing). Consequently, IDHS consistently uses the appropriate files and timeframes for each month of examination.

Since the creation of system files follows a fixed schedule and does not vary, IDHS can make the timing of the submission of the required computer programs standard each month. For the files that provide entries in a cumulative fashion, the computer programs allows anyone using any current version of these files to select only those records pertaining to the month of examination

through the usage of the effective dates for the activities contained therein. For the referral file and component/employment files, different versions of these files need to be accessed in order to select data pertaining to the specific month of examination.

For the referral file, the version IDHS creates at the end of each calendar month includes the date (in YYYYMM format) in the data set name. By doing this, each time IDHS runs the program, an alpha name such as “month1” is placed within the data set name itself and instructions are displayed in the program to change each entry for “month1” to the YYYYMM for the month of examination. IDHS does this so that all data fields as well as this file name pertain to the appropriate month.

For the sixty-month FIP history file, IDHS creates this file in a GDG (Generation Data Group) format. This means there are many versions of the file created and available at any given **time**. IDHS references these files with an indicator such as (+0, -1, -2, etc.) which then pulls the most recent month’s master file, the month prior, the month two months prior, and so forth. The monthly computer program that creates the file on work activities references the same version of the component and employment master files each month. IDHS does not run this computer program until the files are sent over from IWD and merged into the master files. Since IWD does the file creation on a fixed schedule each month:

- The file pertaining to the month of examination is always situated in the version of these files which pertains to that particular month; and
- The month referenced within each file will pertain to the month of examination since the chronological order of the display of the months of FIP grants always pertains to the 60 months ending in the month of examination.

IDHS creates the monthly component and employment master files in a GDG format. This means there is many versions of the file created and available at any given time. IDHS references these files with an indicator such as (+0, -1, -2, etc.) which then pulls the most recent month’s master file, the month prior, the month two months prior, and so forth. The monthly computer program that creates the file on work activities references the same version of the component and employment master files each month. IDHS does not run this computer program until the files are sent over from IWD and merged into the master files. Since IWD does the file creation on a fixed schedule each month, the file pertaining to the month of examination will always be situated in the version of these files that pertains to that particular month.

## **7. Detail of data elements:**

- *Reporting Month:* The TANF Data Reporting and SSP-MOE Data Reporting systems use a manually inserted date control card input data set to indicate for which reporting month the programming is to process. Based on the date in the control card, the programming performs date matching to identify which cases have received TANF assistance for the desired month.
- *Case Number:* IDHS IM workers use the IABC system to establish case numbers for families applying for FIP assistance, as well as food stamps and Medicaid. An individual

record of each person in each program's "assistance unit" is created and identified with a state identification number, and is attached to the case number. A case number is unique and cannot be duplicated, as it is system-generated.

Case numbers are kept on a master file permanently. (Prior to February 23, 2006, the IABC system deleted cases that were inactive for all programs after two years.) The original state identification number assigned to an individual is retained indefinitely.

- IM staff reuses a case number only if the case name is that of the applicant and the applicant's state identification number is attached to the case number. The case number is obtained from the IABC system for TANF data reporting purposes.
- *Disposition:* For each reporting month, the TANF Data Reporting and SSP-MOE Data Reporting systems designate a case as being active if the case received TANF assistance for that month. A case is designated as being closed if the case did not receive assistance for the month, but did receive assistance for the month immediately prior to the reporting month.  
Note: This response presumes "disposition" means active or closed.
- *Type of Family for Work Participation:* As described in Section III, item 1, Iowa first identifies work-eligible individuals. Once an individual is deemed as a work-eligible individual, the case aid-type from the IABC system is used to determine if the person belongs to a single-parent or two-parent FIP case. The IDHS IM worker enters this aid-type in IABC based upon the circumstances of each case, and updates as necessary. IABC system edits disallow entry of a two-parent aid-type on a case that includes only one parent on FIP assistance to help ensure data accuracy.
- *Amount of Food Stamps Assistance:* The IABC system calculates and issues food stamp assistance. The IABC system uses the Issuance Verification System to record and issue food stamp assistance.
- *Receives Subsidized Child Care:* For the report month, the TANF Data Reporting and SSP-MOE Data Reporting systems obtain subsidized child care data from the Promise Jobs system's Expense master file and the Purchase of Service system's Payment History file.
- *Amounts of TANF (and SSP-MOE) Assistance:*
  - TANF (FIP) and PROMISE JOBS expense allowances: The IABC system calculates the amount of TANF (FIP) assistance for individual cases. The PROMISE JOBS Case Manager calculates PROMISE JOBS expense allowance payments and makes entry in the PJCase system to authorize the payment allowance. IABC and PJCase use Iowa's Issuance Verification System to issue and record the issuance of TANF (FIP) assistance and PROMISE JOBS expense allowances.

- Two-parent households: The case aid-type from the IABC system is used to identify two-parent households. This aid-type is entered in IABC by the IDHS IM worker based upon the circumstances of each case and is updated as the situation warrants. IABC system edits disallow entry of a two-parent aid-type on a case that includes only one parent on FIP assistance to help ensure data accuracy. Once a two-parent case is identified, Iowa's Issuance Verification System can be used to verify the amount of assistance.
- Child Care Assistance: When the child care is needed to participate in a PROMISE JOBS activity other than work, the PROMISE JOBS Case Manager calculates and makes entry in the PJCase system to authorize the payment allowance. PJCase uses the Issuance Verification System to issue and record the issuance of the child care. IDHS IM staff calculate and make entry in the Service Reporting System to authorize and issue all other child care assistance payments.
- Family Development and Self-Sufficiency: Program managers and fiscal management staff are able to validate the amount of funds used to support this program.
- Battered Aliens: IDHS IM workers enter specific coding in the IABC system for FIP cases that contain a battered alien parent. The amount of assistance issued on these cases can be validated with the use of this code in combination with the Issuance Verification System.
- The amount of FIP assistance, other than assistance provided to Two-Parent Households and Battered Aliens is included in the quarterly TANF Data Report. FIP assistance for Two-Parent Households, Battered Aliens, and PROMISE JOBS expense assistance, including child care assistance is included in the SSP-MOE Data Report.
- *Family Affiliation Code*: To determine the family affiliation code for an individual, the TANF Data Reporting and SSP-MOE Data Reporting systems use the following factors:
  - Whether the individual was on the TANF assistance grant.
  - The individual's relationship to the head of household. This is a required data element in the IABC system.
  - The individual's FIP individual status code. This is a required data element in the IABC system.
  - The case aid type. This is a required data element in the IABC system.
  - Whether an individual receives SSI unearned income.
- *Non-custodial Parent Indicator*: Iowa's definition of FIP family does not include the non-custodial parent. Therefore, TANF Data Reporting and SSP-MOE Data Reporting systems report every adult or minor child head of household as a value of "2" (meaning "no").

- *Date of Birth (Adult)*: Date of birth is a required data element in the IABC system and must be a valid date.
- *Relationship to Head-of-Household*: Relationship to head of household is a required data element in the IABC system.
- *Parent with Minor Child*: The TANF Data Reporting and SSP-MOE Data Reporting systems use an individual's Family Affiliation setting and the case's Type of Family for Work Participation setting to determine the individual's Parent with Minor Child.
- *Work-Eligible Individual Indicator*: Validated as described in Section III.
- *Date of Birth (Child)*: Date of birth is a required data element in the IABC system and must be a valid date.