Promise Jobs PROVIDER MANUAL

Promise Jobs
Promoting Independence and Self-Sufficiency through Employment
Job Opportunities and Basic Skills

The Department of Human Services in Partnership with the Departments of Economic Development, Education, Human Rights, Management, and Workforce Development.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

MEMO

TO: Tony Dietsch, John Williams, Marilyn Rowe, and Jane Schockemoehl, Iowa Workforce Development
Wayne Johnson and John Wiedemeier, Bureau of Refugee Services
DHS Regional Administrators, Benefit Payment Administrators, and Service Administrators
DHS Area Administrators and Income Maintenance Supervisors

FROM: Deb Bingaman, Administrator, Division of Economic Assistance

SUBJECT: PROMISE JOBS MEMO #159 – Implementation of a Waiting List for the On-the-Job Training Component

DATE: October 1, 2001

Due to the State's budget situation and the need to ensure that we manage our limited resources, it has become necessary to implement a waiting list for the PROMISE JOBS component, On-the-Job Training (OJT).

Effective immediately, participants may be enrolled in all PROMISE JOBS components except for the OJT component. If OJT is appropriate for a participant, place this participant on the waiting list as of the date a Family Investment Agreement (FIA) is signed. Participants on the OJT waiting list are expected to actively participate in PROMISE JOBS in accordance with their FIA.

Discontinue any negotiations to establish new OJT contracts immediately and amend FIAs as necessary. If a contract with the OJT employer has been signed, honor that contract regardless of the established beginning date. Do not proceed on any contract that is not signed.

Current OJT placements may continue for the life of the contract in existence. Do not renew or extend the duration of an OJT training period. Since OJT contracts are limited to a 6-month period of time, no OJT contracts should exist after March of 2002.

DHS will notify IWD/PROMISE JOBS when the waiting list can be lifted and the appropriate procedures to follow.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact DeAnn Barnhill by e-mail at dbarnhi@dhs.state.ia.us. or by calling (515) 281-4607.

cc: Gloria Conrad

BCC: Tom McMorris, Children and Families, DHHS
Sally Titus Cunningham, Deputy Director for Field Operations
Bill Brand, Department of Human Rights, Division of Community Action Agencies
Gloria Conrad, DeAnn Barnhill, Linda Mount, Shari Seivert, Beverly Zimmer, Division of Economic Assistance
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Dianne Milobar, Diane Forrest, Jack Mustapha, Iowa Workforce Development
Sue Lerdal and Sam Leto, Legislative Fiscal Bureau
Legal Services of Iowa
Charles Palmer, Institute for Social and Economic Development
Circulate to DEA Staff
File

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

MEMO

TO: Tony Dietsch, Marilyn Rowe, Paula Freeman, Jane Schockemoehl, Iowa Workforce Development
Wayne Johnson and John Wiedemeier, Bureau of Refugee Services
DHS Service Area Managers and Income Maintenance Supervisors

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: **PROMISE JOBS MEMO #160 – Procedure Revision – Scheduling the First Family Investment Agreement (FIA) Activity.**

DATE: April 22, 2005

Policy that took effect November 1, 2004 requires FIP applicants to sign a Family Investment Agreement as a condition of FIP eligibility. Due to the uncertainty of FIP approval, current procedure instructs PROMISE JOBS staff to establish a start date no sooner than 30 days from the date a client files their application for Family Investment Program (FIP) benefits when writing an FIA for an applicant who is not in a subsequent LBP.

The uncertainty surrounding FIP approval is eliminated for PROMISE JOBS due to recent system changes. Currently, PROMISE JOBS staff is automatically notified of FIP approval with a system-generated e-mail. Therefore, with the issuance of this memo, PROMISE JOBS staff has another option when writing an FIA for a FIP applicant who is not in a subsequent LBP:

- Use "Upon FIP Approval" as the Targeted Start Date instead of a start date that is at least 30 days from the FIP application date.
- Estimate the Targeted End Date based on the activity. For example, for Job Club, use "3 weeks after start date" as the targeted end date.
- When you receive e-mail notification that IM has approved FIP:
    - Send a *Notice of Appointment or Participation, form 470-0813* for the first activity, unless the client is already participating in the activity, i.e. employment or classroom training.
    - Issue expense allowances as agreed to in the FIA.

Policy has not changed with the writing of an FIA for an applicant who needs to complete 20 hours of PROMISE JOBS activity to end a subsequent LBP. In this situation, continue with the policy as described beginning on page 282 of the PROMISE JOBS Provider Manual.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact DeAnn Barnhill by e-mail at dbarnhi@dhs.state.ia.us or by calling (515) 281-6082 or Shari Seivert at sseiver@dhs.state.ia.us or by calling (515) 281-6011.

BCC: Bill Brand, Janet Gartin, Lorie McCormick, Tim Fitzpatrick, Department of Human Rights, Division of Community Action Agencies
Lucinda Wonderlich-Fuller, DeAnn Barnhill, Shari Seivert, Division of Economic Assistance
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STATE OF IOWA

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MEMO

TO: Tony Dietsch, Lori Adams, Marilyn Rowe, Paula Freeman, Jane Schockemoehl, Jack Mustapha, Iowa Workforce Development
Wayne Johnson and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Janet Gartin, Lorie McCormick, Tim Fitzpatrick, Department of Human Rights
DHS Service Area Managers and Income Maintenance Supervisors

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: **PROMISE JOBS MEMO #161– Hours of Participation for Two-Parent Cases, Suspension of Self-Directed Job Search, New Procedures for Reporting Hours of Participation for Postsecondary Training, and Reminders on Existing Post-Secondary Training and Employment Policies**

DATE: October 6, 2006

This PROMISE JOBS memo implements revised policies and procedures:
- To suspend use of the Self-Directed Job Search component until further notice, and
- For the entry of hours of participation in post-secondary training.

The memo provides reminders on the existing policies for:
- Post-secondary training, and
- Full-time employment.

The revised policies become effective immediately with the issuance of this memo. Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual. The PROMISE JOBS Provider Manual will be updated as soon as possible.

Background on TANF Reauthorization:

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 created the Temporary Assistance for Needy Families (TANF) program. Under this legislation:
- Adults are limited to 60-months of TANF assistance in a lifetime.
- Adults receiving assistance are expected to engage in work activities and develop the capability to support themselves before the 60-month limit runs out.
- States must meet work participation rates in order to maintain TANF funds.
- Acceptable work activities were broadly defined, giving states flexibility in the types of activities and services to provide clients.

The federal Deficit Reduction Act (DRA) of 2005 reauthorized the TANF program. The legislation directed the Administration for Children and Families (ACF), Health and Human Services (HHS) to further define acceptable work activities. Also under the new law, states must establish work activity verification procedures. ACF/HHS issued interim final regulations on

June 28, 2006, requiring states to comply with the newly defined work activities by October 1, 2006. The new regulations decrease state flexibility in the types of activities and services that count towards participation rates, define how states must count participation in the work activities, and increase the requirements for verifying participation in the work activities.

For the most part, Iowa's existing work activities and methods for counting and verifying participation in these activities are within the interim regulations. However, the TANF regulations specifically disallow participation in training leading to a baccalaureate degree as countable toward the federal participate rate. Iowa must change the way participation in training leading to a baccalaureate degree is reported to comply with the interim regulations. Additionally, the interim regulations require that job search activities be supervised on an ongoing basis, no less frequently than daily. Under Iowa's Self-Directed Job Search component, participants provide no documentation of their job search activities to PROMISE JOBS, which allows for no supervision. Therefore, Iowa must suspend use of the Self-Directed Job Search component until administrative rules are changed to eliminate or change the component.

Hours of Participation for Two-Parent Cases:

Informational Only! Effective October 1, 2006, all PROMISE JOBS child care will be funded with state-only dollars. This means that parents in two-parent cases must be participating in countable work activities at least 35 hours per week to meet federal work participation rates.

Federal regulations require that the parents in two-parent cases must be participating in countable work activities at least 55 hours per week if the family receives federally funded child care. Due to the funding change, the 55-hour requirement will not apply to two-parent families in Iowa.

Revised Policy - Suspension of Self-Directed Job Search Component:

Effective immediately, use of the Self-Directed Job Search component is suspended as an FIA activity as the component does not meet the verification requirements of the federally defined work activity of "job search and job readiness assistance".

For Ongoing Cases with Self-Directed Job Search as Current Activity:

Under current policy, Self-Directed Job Search is limited to four weeks, or a calendar month, and is only appropriate for FIP participants who can reasonably be expected to locate employment within this time frame, and who do not need the support of child care or transportation assistance.

Allow FIP participants who are in Self-Directed Job Search as the current FIA activity to continue as long as:

- You have received and approved the participant's written job search plan, and
- The "targeted end date" is **on or before October 31, 2006.**

If Self-Directed Job Search is the current activity, and the "targeted end date" is **on or before October 31, 2006,** and the participant has not provided a written job search plan, or is otherwise

not complying with the FIA, begin or continue to attempt to resolve the participation issue by sending a written reminder, and following other procedures per the PJPM, pages 243 through 262. If the person does not resume participation by renegotiating the FIA, make entry to start a Limited Benefit Plan (LBP).

If Self-Directed Job Search is the current FIA activity, and the "targeted end date" is **November 1, 2006, or later,** send a *Notice of Appointment or Participation*, form 470-0813, scheduling the person to discuss renegotiation of the FIA. Send the *Notice of Appointment or Participation* as soon as possible but no later than November 1, 2006.

At the FIA renegotiation appointment, explain that the Self-Directed Job Search component is no longer available as an FIA option. Assist the person with selecting other FIA activities and renegotiate the FIA. If the person does not appear for the appointment, attempt to resolve the participation issue by sending a written reminder and following other procedures as per the PJPM, pages 243 through 262. If the person does not resume participation by renegotiating the FIA, make entry to start a Limited Benefit Plan (LBP).

IWD will provide a list of persons currently coded as participating in Self-Directed Job Search (with component code 2A) and place the list in your network IWD library. Use this list to determine if there are persons on your caseload currently coded as participating in Self-Directed Job Search and if you need to take one of the above actions.

Developing New FIAs and Renegotiating Existing FIAs:

Upon receipt of this memo, **do not** include Self-Directed Job Search as a current or future FIA activity. Use Individual Job Search or the group job search that is included in the Job Club component instead when job search is appropriate.

For Existing FIAs With Self-Directed Job Search as a Future Activity:

It is not systematically possible to identify existing FIAs within your caseload with Self-Directed Job Search as a future FIA activity. As you are managing your cases, review the existing FIA to determine if the FIA includes Self-Directed Job Search as a future activity. If you identify an FIA with Self-Directed Job Search as a future activity, tickle the case to alert you at least one month prior to the "targeted start date" of the Self-Directed Job Search component to schedule the person to renegotiate the FIA.

At the FIA renegotiation appointment, explain that Self-Directed Job Search component is not currently available as an FIA option. Assist the person with selecting other FIA activities and renegotiate the FIA. If the person does not appear for the appointment, attempt to resolve the participation issue by sending a written reminder and following other procedures as per the PJPM, pages 243 through 262. If the person does not resume participation by renegotiating the FIA, make entry to start a Limited Benefit Plan (LBP).

New Procedures for Reporting Hours of Participation in Postsecondary Education:

The TANF regulations specifically disallow participation in training leading to a baccalaureate degree as countable toward the federal participate rate:

- Persons in training leading to a baccalaureate degree must be coded with component code PE.
- Persons in training that is not leading to a baccalaureate degree and is not short-term training must be coded with component code PV.

Use the following new procedures when processing September time and attendance to allow Iowa to accurately exclude persons participating in training leading to a baccalaureate degree when reporting countable hours of participation for federal reporting purposes.

For participants currently active under component code PE who are **not** enrolled in a training program leading to a baccalaureate degree and not in short-term training:

- Enter actual hours of participation for September.
- Make "Q" screen entries to close the PE component. Use code "5" (improper placement) as the reason for component termination.
- Make "O" screen entries to open a new component record under component PV.

For participants currently active under component code PV and who are currently enrolled in a training program leading to a baccalaureate degree:

- Enter actual hours of participation for September.
- Make "Q" screen entries to close the PV component. Use code "5" (improper placement) as the reason for component termination.
- Make "O" screen entries to open a new component record under component PE.

Continue to follow existing procedures for reporting hours of participation in short-term training (VE and VV).

IWD will provide a list of persons currently coded as participating in postsecondary education in component codes PE and PV and place the list in your network IWD library. Use this list to determine if there are persons on your caseload currently coded with component codes PE or PV and if you need to take one of the above actions.

Policy Reminder! Current Policy on Post-Secondary Education

Other than the new procedures for entering hours of participation for post-secondary training that is not short-term training, **Iowa has made no further changes to rules, policies, or procedures** for post-secondary training. For participants who desire training, demonstrate the capability, and when the training is otherwise approvable under current rules and policy, PROMISE JOBS needs to continue to:

- Allow postsecondary training as an FIA activity, including new enrollments in training leading to a baccalaureate degree, **and**

- Provide assistance with child care and transportation expenses for up to 24 months, when needed, for participation in all vocational educational activities.

By **October 1, 2007**, DHS plans to pursue rule changes to **disallow** post-secondary education **leading to a baccalaureate degree** as approvable training under the PROMISE JOBS program. Until DHS issues written notification that policy has changed, PROMISE JOBS needs to **continue** to allow new enrollments in post-secondary education leading to a baccalaureate degree when other approvable training requirements are met.

Participants currently enrolled in such a training plan and those who enroll prior to further written notification from DHS will be allowed to continue as long as the participant is making satisfactory progress towards completion of the training plan. Once revised policies are in effect, participants desiring to enroll in post-secondary education leading to a baccalaureate degree will need to participate in other work and training activities to meet the requirements of the PROMISE JOBS program.

PROMISE JOBS, IM and FaDSS staff will be notified in writing if PROMISE JOBS is directed to change policies and procedures regarding postsecondary education.

Policy Reminder! Current Policy Regarding Hours of Employment:

Consider persons who are working full-time (30 hrs or more per week or 129 hrs per month) to be meeting the obligations of the FIA by continuing in the employment if FIP eligibility continues and the FIA ending date has not been reached. Consider persons who are working less than full-time to be meeting the obligations of the FIA so long as that employment is part of the FIA. As FIAs with part-time employment as the only FIA activity reach their FIA ending date and FIA renegotiation is appropriate, renegotiate the FIA to include the part-time employment in combination with participation in other PROMISE JOBS activities when participant circumstances allow.

Remember it is acceptable for a participant to leave part-time employment to move into another step of the FIA.

To maximize countable hours of participation in employment under current policy:

- Enter projected hours of employment for working FIP applicants at the time the FIA is written. Project by using actual verified hours worked in the last 30 days or use anticipated future hours if a change is indicated through verification from the employer.

  If FIP is approved, Iowa can opt to report the hours of employment that occurred in the months prior to the FIP approval month while the application was pending.

- Enter projected hours of employment for working FIP persons, even if FIP cancels. Project by using actual verified hours worked in the last 30 days or use anticipated future hours if a change is indicated through verification from the employer.

Your entry of hours of employment allows Iowa to report the hours for federal work participation rate credit.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact DeAnn Barnhill by e-mail at dbarnhi@dhs.state.ia.us or by calling 281-6082 or Shari Seivert at sseiver@dhs.state.ia.us or by calling (515) 281-0703.

Fields of Opportunities

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

MEMO

TO: Tony Dietsch, Lori Adams, DeAnn Barnhill, Paula Freeman, Jane Schockemoehl, Jack Mustapha, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Service Area Managers, Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: **PROMISE JOBS MEMO #162**

DATE: October 18, 2007

Summary:

This PROMISE JOBS memo implements revised policies and procedures for:

- **Verifying and projecting employment hours:** PROMISE JOBS needs to ask participants to verify work hours at least once every six months. Verified actual work hours can be projected up to six months for federal reporting.
- **Job search:** PROMISE JOBS will count the actual time spent making a job contact and time spent directly related to finding a job as hours of participation in job search. The Job Search Record, form 470-3866, is revised to allow the participant to report actual time spent making a job contact.
- **Excused absences and holidays:** PROMISE JOBS will count a limited number of scheduled PROMISE JOBS activity hours when the participant was not able to attend due to an excused absence or holiday.
- **Case record maintenance:** Case record format is changed to include new sections for the filing of verification of work hours and FSSG documentation. Instructions are added or changed for the filing of documentation regarding workplace essentials, community service, FaDSS, and Vocational Rehabilitation participation.

The revised policies become effective immediately with the issuance of this memo. Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual. The PROMISE JOBS Provider Manual will be updated as soon as possible.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact Shari Seivert by e-mail at sseiver@dhs.state.ia.us or by calling (515) 281-0703 or Janet Shoeman by e-mail at jshoema@dhs.state.ia.us or by calling (515) 281-6082.

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I. Reminder - Current Policy on Post-Secondary Education:

PROMISE JOBS Memo #161 issued on October 6, 2006, implemented new procedures for entering hours of participation for post-secondary education that is not short-term training. Since then, **Iowa has made no further changes to rules, policies, or procedures** for post-secondary education. For participants who desire post-secondary education, demonstrate the capability, and for whom the activity is otherwise approvable under current rules and policy, PROMISE JOBS needs to continue to:

- Allow post-secondary education as an FIA activity, including new enrollments leading to a baccalaureate degree, **and**
- Provide assistance with child care and transportation expenses for up to 24 months, when needed, for participation in post-secondary educational activities.

In PROMISE JOBS Memo #161, DHS indicated plans to pursue rule changes to disallow post-secondary education leading to a baccalaureate degree as approvable training under the PROMISE JOBS program by October 1, 2007. Since that time, DHS has decided to **continue to consider post-secondary education leading to a baccalaureate degree as an acceptable FIA activity** when within current policy. At this time, DHS does not intend to revise rules to disallow post-secondary education leading to a baccalaureate degree as an FIA activity.

II. VERIFYING AND PROJECTING EMPLOYMENT HOURS

A. Current Policy

Verifying Employment Hours

When a client reports new employment to Income Maintenance (IM), IM verifies anticipated income and hours with the *Employer's Statement of Earnings* (ESE) or equivalent verification and sends a copy to PROMISE JOBS.

When the client reports new employment or a change in employment to PROMISE JOBS, PROMISE JOBS sends *Notice of Employment* (NOE) to the IM worker for verification of anticipated income and hours, unless PROMISE JOBS already has a completed ESE or equivalent verification from IM about the job, including anticipated wages and hours. The IM worker returns the NOE to PROMISE JOBS along with a copy of the ESE.

When employment verification is not available from any other source, PROMISE JOBS requires the participant to verify anticipated and actual hours of employment.

For employed participants, PROMISE JOBS establishes a procedure for regularly monitoring that the participant is demonstrating an effort to truly carry out the steps of the family investment agreement with regard to employment.

Projecting Employment Hours

Under current policy, verified actual or anticipated work hours are entered for federal reporting. Hours continue to be used for federal reporting until the PROMISE JOBS worker becomes aware of changes.

Reporting Employment Hours

Current policy instructs PROMISE JOBS to make entries on the reporting system screen when a participant starts work and when PROMISE JOBS receives a completed ESE or equivalent verification from IM of a change in employment.

B. New Policy

Federal regulations require states to verify actual hours of employment and allow the state to use these actual hours to project reported hours of employment for up to six months. Anticipated or scheduled hours cannot be used to project.

Verifying Employment Hours

1. When should verification be requested?

- For employed FIP applicants, ask for verification of employment hours during the FIA appointment
- For participants who become employed, ask for verification when you become aware of the new employment.

- For all employed participants, establish a schedule so that verification of employment hours is requested at least once every six months.
- When the participant reports or you otherwise become aware of a participant's change in employment, including ending employment, ask the participant to verify the changed hours unless you have adequate verification from another source.

2. *Including Verification Requests in the FIA*

For new participants or as FIAs are reviewed and renegotiated, include in the FIA

- a statement that they must provide verification of actual hours when requested or be subject to an LBP,
- a request for verification from the current employer with specific dates due may also be included. This could then replace the need for a separate written request. **Use only for the current employer**.

3. *How often should hours be verified?*

PROMISE JOBS must verify actual hours of employment <u>at least</u> once every six months. Ask the client to provide verification unless you have adequate verification from another source.

- Verify actual hours of employment once every six months when current actual hours are indicative of hours for the next six months.
- Verify work hours more frequently if verification of actual hours is not indicative of hours for the next six months
- The frequency of verification is based on the time period that the verified hours are determined to be indicative, up to a maximum of six months.

Example 1: Ms. A is employed and applying for FIP for herself and her children. Ms. A says that the last 30 days are a good indication of her hours for the next six months. PROMISE JOBS gives Ms. A a written request to provide pay stubs received in the last 30 days within 10 days from FIP approval and uses this to project the employment hours for the next 6-months. Providing there is no change, PROMISE JOBS will continue to verify actual hours every six months.

Example 2: On October 16, PROMISE JOBS and Mr. T meet to renegotiate his FIA that expires October 31. Mr. T has been meeting his FIA requirements by working at a convenience store. His hours vary significantly from week-to-week and from month-to-month. PROMISE JOBS gives Mr. T a written request to provide verification of actual hours worked in the last 30 days and uses that to project for only one month. PROMISE JOBS asks Mr. T to re-verify monthly.

Example 3: Ms. F is employed and applying for FIP for herself and her children. Ms. F is unsure if her hours from the past 30 days are indicative of hours she will work in the next six months, since her employer verbally told her that she may be working more in a few months. PROMISE JOBS gives Ms. F a written request to provide verification of actual hours worked in the last 30 days. PROMISE JOBS may ask Ms. F to re-verify in one or two months to assure accuracy.

4. *What period of time should be used to verify actual hours?*

- Verify hours worked within the past 30 days to project future hours.
- Ensure that the initial verification of hours covers at least one full week of work. For new employment, you may need to ask for verification following the second check to be more certain of verifying a full week.
- You must have at least one full week of actual hours in order to make a projection. (see Ms. D example on page 6).

5. *What is the format for a verification request?*

- Notify the client in writing of the need to verify actual hours each time that verification is needed.
- Allow the client at least **10 days** to provide the verification.
- Ask the participant to provide the verification by the due date specified in the written request or to contact PROMISE JOBS to ask for additional time if necessary.
- See **Written Request** for more information.

6. *What type of verification is acceptable?*

- Acceptable verification of actual hours of work includes but is not limited to:
  - pay-stubs,
  - a written statement from the employer,
  - information provided by the employer based on a *Consent to Obtain and Release Information*, form 470-0429, signed by the client, or
  - an *Employer's Statement of Earnings* signed by the client and completed by the employer.

Projecting Hours of Employment

Once you have verification of actual hours of employment using information from the last 30 days, determine the projection period and a schedule for verifying actual hours in the future. You may use a minimum of one week of actual hours worked if it is indicative of future work and occurred within the last 30 days.

1. *Projecting for a period of six months:*

   Use a weekly average of verified actual hours worked in the past 30 days to project hours for the next six months if the actual hours worked within the past 30 days are a good indicator of hours for the next six months. Consider the past 30 days to be a good indicator when neither the client nor verification indicates that a change in hours is likely to occur in the next six months.

   To monitor and track the six-month verification schedule, code I-Works to alert you to request updated verification of actual work hours in the sixth month. The month for which the verification is first used for reporting purposes count as month 1.

Example: On March 23, Ms. B provided two pay stubs covering two weeks each, which she received in the last 30 days. Ms. A stated that the last 30 days are a good indication of her hours for the next 6 months.

March 9th pay stub = 42 hours
March 23 pay stub = 42 hours
Average weekly hours are 84 divides by 4 = 21 hours

PROMISE JOBS enters 21 hours for March and will use this same average to project through August.

PROMISE JOBS codes I-Works to send an alert in September to request updated verification of actual hours worked in the last 30 days.

If the updated verification of actual hours reflects hours for the next six months, PROMISE JOBS will use actual hours for September and project through February.

2. *Projecting for a period of less than six months:*

Use a weekly average of verified actual hours worked within the last 30 days to project for a period of less than six months when actual hours worked in the past 30 days are not a good indicator of future hours for the next six months.

Project for a period of less than six months when either the client or verification indicates that a change in hours may occur in the next six months. This may be appropriate for new employment when the client's hours may increase once the client is trained. This may also be appropriate for employment with seasonal increases or decreases in hours.

Consider all of the circumstances to determine an appropriate verification schedule. Also, consider that you need to issue a written request each time verification is needed.

To monitor and track the verification schedule, code I-Works to alert you to request updated verification of actual work hours late in the month prior to the month that the next verification is needed.

Example: Ms. D provides a copy of her 1st pay stub on October 5, which covers her first full week of work. Ms. D expects her weekly hours to increase after her probationary period of two months is up (October – November)

October 5th pay stub = 15 hours

Average weekly hours are 15 hours.

PROMISE JOBS enters 15 hours for October and will use this same average to project for November only.

PROMISE JOBS codes I-Works to send an alert in December to request updated verification of actual hours worked in the last 30 days.

If the updated verification of actual hours reflects hours for the next six months, PROMISE JOBS will use the actual hours for December and project through May.

Written Request

Use a letter to the client to request verification of actual hours. Include a return envelope with the letter. Allow at least **10 days** to provide the verification. Include Comm. 170, *Understanding the Limited Benefit Plan*. Allow additional time if the participant contacts you and needs more time.

- For participants, allow 10 days (from which ever is later)
  - the date the desired verification will be available, or
  - the date that the request is mailed or given to the participant, or
  - ask the participant to provide the verification by the 10th of the month following the month during which the hours were worked.
- For applicants, ask the applicant to provide verification within 10 days of the FIP approval notice.

Allow additional time if the client contacts you and needs more time. Sample text for the letter follows. Adjust the text to fit the specific situation:

Sample 1 for 1st paragraph for FIP applicant:
If you are approved for FIP, your job will count as your PROMISE JOBS activity in your FIA if you send proof of your work hours.

Sample 2 for 1st paragraph for new employment:
Congratulations on your new job! Since you are still on FIP, your job will count as your PROMISE JOBS activity in your FIA if you send proof of your work hours.

Sample 3 for 1st paragraph for ongoing employment:
My file shows that you are still working. I hope your job is going well! Since you are still on FIP, your job will continue to count as your PROMISE JOBS activity in your FIA if you send proof of your work hours.

I need you to send proof of the actual number of hours you have worked in the last 30 days by ___-date-__ (see above for examples). This proof must include at least one full week of work.

Is the actual number of hours you worked a good indication of what you will be working for the next six months? If not, please let me know what changes you expect and when.

Examples of proof are your check stubs or a statement from your employer. Call me by the above date if you do not have proof or need help getting proof.

Call me right away if you are no longer working, or if you are having problems with your job. I will try to help you deal with your problems so that you can keep your job.

If you do not provide proof by the above date, your FIP benefits will end and you will enter a Limited Benefit Plan (LBP). See the enclosed paper for more information on the LBP.

If you enter a Limited Benefit Plan for not sending proof of your hours of work, and you later provide proof, PROMISE JOBS may be able to stop the LBP. The LBP may be stopped if you provide the proof by the 10th day after the date your LBP begins. For example, if your FIP ends and your LBP begins November 1, you must provide proof by November 10 to stop the LBP. If November 10 falls on a weekend or holiday, you must provide proof by the end of the next working day.

Failure to Provide Verification of Work Hours

If the participant fails to provide verification of work hours after being notified of the requirement in writing and you have not received adequate verification from another source, send a written reminder and a return envelope. Include a copy of Comm. 170, *Understanding the Limited Benefit Plan*.

Sample text for the written reminder follows. Adjust the text to fit the specific situation:

> You did not send proof of your work hours as requested. By not providing proof of hours of employment as requested, it looks like you are choosing the Limited Benefit Plan (LBP). I need proof of your work hours to be able to count your work as your PROMISE JOBS activity.
>
> I need you to send proof of the actual number of hours you have worked in the last 30 days by _____-date-__-__(see above for examples). Call me by this date if you cannot send proof by then or need help getting proof. This proof must include at least one full week of work.
>
> **Is the actual number of hours you worked a good indication of what you will be working for the next six months? If not, please let me know what changes you expect and when.**
>
> If I do not hear from you or get proof of your work hours by this date your FIP benefits will end and you will enter an LBP
>
> If you are no longer working or have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.
>
> If you enter a Limited Benefit Plan for not sending proof of your hours of work, and you later provide proof, PROMISE JOBS may be able to stop the LBP. The LBP may be stopped if you provide the proof by the 10th day after the date your LBP begins. For example, if your FIP ends and your LBP begins November 1, you must provide proof by November 10 to stop the LBP. If November 10 falls on a weekend or holiday, you must provide proof by the end of the next working day.

"Stopping" the LBP

When all required verification is returned within 10 days after the beginning of the LBP, PROMISE JOBS will stop the LBP process and mark it an error. This will not count as an LBP for the participant.

All required information must be submitted within the 10-day time limit in order to stop the LBP.

C. Implementing the New Verification Policy

1. *Employed FIP Applicants*

   For employed FIP applicants with an FIA appointment scheduled **on or after October 18, 2007**, give the applicant a written request to provide verification of actual work hours from the last 30 days, unless the applicant brings verification to the interview or you have verification from another source. Ask the applicant to provide verification of actual work hours no later than 10 days from the date of the FIP approval notice.

   If FIP is approved and you do not receive verification of actual work hours by the 10th day following the date of FIP approval, send a written reminder as previously described and LBP if necessary.

2. *Participant Becomes Employed*

   When the participant reports or you otherwise become aware of new employment **on or after October 18, 2007**, send the participant a written request to provide verification of actual work hours. Ask the participant to provide verification within 10 days of receiving their 2nd paycheck if the 1st check is not indicative of normal work hours or if it is not for at least one full week of work.

   If you do not receive verification of actual work hours from the participant or another source within 10 days of your request, send a written reminder as previously described.

3. *Participants with Existing Employment*

   Begin applying this new policy to your ongoing cases on **October 18, 2007,** as part of your regular monitoring of cases with employment, when an FIA with employment expires, or you become aware of a change.

   - If, at the time of review or when an FIA expires, the file contains verification of actual hours worked that was received within the last six months, you may
     - use this verification to make your six-month projection, or.
     - ask for verification and begin a new six-month period.

   In either circumstance, the projection can only be made for a six-month period **from the time of the last verification.**

   > **Example:** Mr. C's FIA expires on October 30th. In his file is verification of actual hours worked in August. His hours are stable and show little variation. You may use this verification to project up through January (August through January equaling six months)

   - If the file does not contain verification of actual hours worked or the verification was not received within the last six-months, request verification of actual hours worked as described at **Written Request**.

   If you do not receive verification of actual work hours from the participant or another source, send a written reminder as previously described and LBP if necessary

D. Determining Average Hours Per Week

Use verified actual hours worked to project weekly hours of employment for entry in I-Works. Use as many full weeks of work that you have verification for that fall within the last 30 days. You must have at least one full week of actual hours to project.

Once you have reviewed the verification of actual hours, total the number of actual hours worked in the verified full weeks and divide by the number of weeks. Enter the average weekly hours in I-Works. If one of the weeks worked included a holiday, do not use the hours for that week to determine the average hours since the shortened week would not be indicative of future hours.

Example 1: Mr. M works 25 – 30 hours a week. He is paid bi-weekly on Friday for the pay period of 14 days ending on the prior Friday. Mr. T provides his pay stubs from the past 30 days on October 12, verifying his actual hours worked the past 4 weeks.

October 12: 55 hours
September 28: 53 hours

To determine Mr. M's average weekly hours worked in this period:
1. Add the number of hours verified: 108 hours
2. Divide by the number of full weeks of work: 108 divided by 4 = **27 average hours worked**

Enter **27** as average weekly hours in I-Works.

Example 2: Ms. A works 20 - 25 hours per week. Ms. A is paid weekly on Fridays for the pay period of 7 days ending on the prior Saturday. Ms. A provided 4 pay stubs verifying the following actual hours worked in the past 30 days:

- August 31 = 23 hrs
- September 7 = 20 hrs.
- September 14 = 24 hrs.
- September 21 = 25 hrs.

Labor Day was September 3rd, therefore the 2nd pay stub would not represent a full week of work. Use only the 1st, 3rd and 4th pay stubs.

To determine Ms. A's average weekly hours worked in this period:
3. Add the number of hours verified using full weeks worked only (leaving out 2nd week): 72 hours
4. Divide by the number of full weeks of work: 72 divided by **3** = **24 average hours worked**

Enter **24** as average weekly hours in I-Works.

When you become aware of a change in hours or when the projection period ends, ask the participant to provide updated verification of actual hours. Upon receipt of the verification, determine a weekly average based on actual hours worked and update I-Works with the new average. Code I-Works to alert you when to request updated verification.

III. JOB SEARCH

A. Interim Final Federal Regulations Regarding Job Search

- Define job search as the act of seeking or obtaining employment.
- Job search includes contacting potential employers by phone, in person, or via the Internet to find suitable job openings, applying for vacancies, and interviewing for jobs.
- Actual hours of participation in job search count as work participation. States cannot use a proxy to determine countable hours of participation in job search.
- States must supervise job search activities. To comply, Iowa will:
    - Help the participant plan the job search.
    - Require participants to document independent job search activities daily
    - Regularly review and verify the documentation.
    - Document monitoring activities.

B. Current Job Search Policy

- PROMISE JOBS currently considers each job contact as one hour of participation for reporting purposes.
- Child care assistance is limited to 20 hours per week.

C. New Job Search Policy

1. *Hours of Participation*

For the individual job search component and off-site job contacts made during the structured job search portion of Job Club, use the total hours of actual time spent making job contacts as reported by the participant as hours of participation when the reported time is consistent with the type of contact (interview, phone contact, completing an application, sending a resume, etc.) and the mileage from the participant's home to the job-site.

Report time spent directly related to finding a job, such as time spent with you developing a job search plan and travel time to a job site. The participant's actual time spent finding job openings and potential job contacts can be reported when it can be reasonably verified. For example:

- Documented time spent using job search resources at an IWD site,
- Using a personal computer and printing a history of the times and web-sites searched, or
- Using a computer in a public place if another individual, such as a librarian, can document the participant's time spent making job contacts.

Additional time for taking children to a child care provider **cannot** be allowed.

Continue to include the job search activity in the FIA and specify the requirement to participate in job search activities and the expectations for providing documentation. Continue to help the client design a written plan of the job search activities that includes:

- The designated period of time not to exceed 4 weeks or a calendar month.
- The specific locations for the job search.

- The areas of employment interest and the employers to be contacted or other specific information that can be an acceptable substitute for these two criteria.
- Information to allow accurate issuance of child care and transportation allowances or to determine that the participant does not need these allowances.
- The requirement to provide a completed Job Search Record and documentation of other time spent directly related to finding a job.

Consider each participant's individual situation and the amount of time that will be needed for each job contact while assisting the participant with development of a job search plan.

Require no more than 30 actual hours per week in individual job search. Participants with problems or barriers to participation shall be expected to participate fewer hours to reach a level that is within their limitations.

2. *Child Care for Job Search Activities*

Child care is no longer limited to 20 hours per week. When child care assistance will be needed for participation in job search activities, base the number of approvable units on the anticipated hours of participation according to the job search plan.

3. *Revised Job Search Record, form 470-3099*

Review Job Search Records and other documentation provided by a job search participant regularly and no less than monthly to determine if the time reported by the participant is consistent with the type of contact (interview, phone contact, completing an application, sending a resume, etc.) and the mileage from the participant's home to the job-site. Verify at least two reported job contacts per week. Weekly evaluation is recommended unless the participant's circumstances justify less than a weekly evaluation.

The *Job Search Record*, form 470-3099, has been revised to include a column for "Contact Time", with two columns for "Start Time" and "End Time" to allow the participant to report actual time spent making each job contact. Other changes:

- A new field for PROMISE JOBS or the participant to complete the time period for the job search.
- The SSN field is changed to the "State ID" field.
- Instructions for completion of the form are included on the back of the form.

A revised template of the form was provided to IWD on October 2, 2007.

Use the revised Job Search Record with job search plans developed on or after October 5, 2007.

4. *Reporting Hours of Participation in Job Search:*

With job search plans developed on or after October 18, 2007, report the actual amount of time spent making job contacts for each week ending in a Friday in the report month after reviewing the Job Search Record(s) for the report month. Include any additional documented time spent during the week that is directly related to finding a job.

IV. EXCUSED ABSENCES AND HOLIDAYS

A. Interim Final Federal Regulations

Allow states to report excused absences and holidays, as actual hours of participation when the participant was scheduled to participate in an activity when the absence occurred:

- **Excused Absences Other Than Holidays:** States can report no more than 10 instances of excused absences in a 12-month period, and no more than two instances of excused absences in a given month.
- **Holidays:** Further federal instruction limit the number of allowable holidays to 10, which must be specified by the state.

The 10 excused absences and the 10 holidays are distinct from each other and are counted separately.

B. Current Policy

When a participant experiences problems or barriers to participation as described in the PJPM, pages 259 – 263, PROMISE JOBS excuses the participant from PROMISE JOB activities.

PROMISE JOBS enters actual hours of participation in I-Works. Current policy does not allow PROMISE JOBS to include scheduled hours that were missed due to an excused absence or holiday.

C. New Policy

Beginning October 18, 2007, PROMISE JOBS can include scheduled hours of an unpaid PROMISE JOBS activity that the participant missed due to an excused absence or holiday as described below when entering actual hours of participation in I-Works.

Excused absences and holidays are not applicable to employment since employment hours are projected.

Specific policy and limitations regarding the entry and tracking of excused absences and holidays follow.

IMPORTANT!! The limits apply only to the entry and tracking of excused absences and holidays for reporting purposes. There is no policy limit to the number of times PROMISE JOBS can excuse a participant from PROMISE JOBS activities when the participant meets the circumstances described in the PJPM, pages 259 – 263. Continue to excuse participants from participation when appropriate, regardless if you can report the hours of absence as hours of participation.

1. *Excused Absences:*

   For each participant, report hours of absence for no more than 10 instances of excused absences in a 12-month period, and no more than 2 instances of excused absences in a given month.

   Consider an absence for any of the following reasons to be an excused absence:

   - 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 DHS 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.

   When a participant misses hours of a scheduled PROMISE JOBS activity due to an excused absence and the participant is within the above limits for excused absences:

   - Enter the number of hours missed due to the absence in the appropriate field in I-Works and,
   - Record the instance on the I-Works Excused Absence and Holiday Tracking Form provided by IWD, and file the form in the participant's case file.

   Each time a participant misses hours of a scheduled activity due to an excused absence, review the participant's I-Works Excused Absence and Holiday Tracking Form for past instances of excused absences to determine if you have previously reported the limited number of absences for the participant.

2. *Holidays:*

   For each participant, report hours of absence from a scheduled unpaid PROMISE JOBS activity when the participant is absent due to one of the following 10 allowable holidays:

   - New Year's Day
   - Martin Luther King Day
   - President's Day
   - Memorial Day
   - 4th of July
   - Labor Day
   - Veterans Day
   - Thanksgiving
   - Day after Thanksgiving
   - Christmas

Do not report hours of absence due to holidays other than those specified above. Report the number of hours missed due to these holidays when the participant would otherwise be scheduled for a PROMISE JOBS activity as designated in their FIA, including when the worksite, training facility, or activity-site:

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

When a participant misses hours of a scheduled PROMISE JOBS activity due to one of the above holidays:

- Enter the number of hours missed due to the absence in the appropriate field in I-Works and,
- Record the instance on the I-Works Excused Absence and Holiday Tracking Form provided by IWD, and file the form in the participant's case file.

3. Case Record Maintenance

The case record format outlined for PROMISE JOBS case records is revised as follows:

- Add a section tab to the left side of the file folder titled *"FSSG"*. File after "*Hardship Exemption"*.
- File I-Works Excused Absence and Holiday Tracking Form on the top of the right side of the folder.
- Add a section to the right side of the file folder titled *"Employment"*. File between "*III. Assessments and Evaluations"* and "*IV. Job Search Options"*.
- Change section tabs:
  - *"Job Search Options"* to "*Job Readiness*"
  - *"PROMISE JOBS On-the-Job Training"* to "*On-the-Job Training"*
  - *"JTPA-Funded/Joint Plans"* to "*Joint Plans"*
- Include:
  - Workplace Essentials information and all other job readiness components/activities under "Job Readiness"
  - Unpaid Community Service activities under *"Work Experience"*
  - FaDSS and Vocational Rehabilitation information under "Joint Plans"

Note: There is no reason to change the names on the current tabs that are being used. New tabs shall be labeled as described above.

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

PROMISE JOBS POLICY MEMO

TO: Lori Adams, DeAnn Barnhill, Paula Freeman, Jane Schockemoehl, Jack Mustapha, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: PROMISE JOBS MEMO #163

DATE: September 9, 2008

Summary:
This PROMISE JOBS memo implements revisions to PROMISE JOBS policy:
- Mileage rate increases from $.30 to $.34 per mile.
- Implements the Family Investment Agreement (FIA) Progress Review.

Effective Date:

Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual as of the dates below. The PROMISE JOBS Provider Manual will be updated as soon as possible.

- **September 1, 2008** for the mileage rate increase (as per e-mail instruction sent by IWD on 08-18-2008).

- **September 9, 2008** for the FIA Progress Reviews.

New Policy:

Mileage Rate Increase

Legal Reference: 441 IAC 93.110(6)"B"

The PROMISE JOBS mileage reimbursement rate for private transportation increases from $.30 per mile to **$.34 per mile** effective September 1, 2008.

PROMISE JOBS staff need to use the new rate of **$.34 per mile** to calculate transportation allowances for participation that will occur **on or after September 1, 2008.**

New Policy:

FIA Progress Reviews

Legal Reference: 441 IAC 93.111(239B)

Desired Results: PROMISE JOBS participant families will have current and appropriate FIA goals and activities.

- Reinforce participant awareness of and accountability for PROMISE JOBS program requirements.
- Demonstrate PROMISE JOBS worker interest and support of participant success.
- Strengthen participant and worker relationship.
- Provide participant regular access to their worker for help with addressing changing needs.
- Give PROMISE JOBS workers up-to-date information on the participant's current situation and involvement in FIA activities that may help to meet federal work participation rates.

What is an FIA Progress Review?

An FIA Progress Review is a regular evaluation of the case file and family situation to make certain that the family's current FIA goals and activities are appropriate and that the family is making progress towards those goals.

The Progress Review must include verbal contact with and input from the FIA-responsible family member unless participant problems or barriers prevent verbal contact. A scheduled phone conversation is suggested. A face-to-face interview is not required unless needed for reasons other than the Progress Review. A review that consists of communicating by mail only shall be used only as a last resort and the reason must be documented in the case file.

When do you complete an FIA Progress Review?

Complete a Progress Review of each FIA at least once every six-months. An FIA Progress Review may be completed beyond the 6-month limit when there are participant problems or barriers as described at **Problems With Participation** or **Barriers to Participation**.

Example of determining Progress Review due date:

- FIA is signed and/or FIA Progress Review completed 09-29-2008.
- The FIA progress review is due no later than March 2009.

Conducting progress reviews more frequently than once every six months may be necessary. Consider the following circumstances:

- A history of LBPs (2 or more).
- Last year of FIP due to 60-month limit.
- Zero or very low hours of participation.
- Multiple barriers.
- Currently in a six-month hardship period.

Who must participate in an FIA Progress Review?

At least one FIA-responsible family member must participate in the review process. However, you may require more than one FIA-responsible member to participate in the review process when there is a need for contact with more than one member. A face-to-face may be more appropriate in this instance.

When there is more than one FIA for the family, complete a review with at least one FIA-responsible family member for each FIA.

Examples of who must participate in a FIA Progress Review:

- In a two-parent family, both parents sign the FIA but only one must participate in the Progress Review.
- When a minor parent receives FIP with an adult parent, the minor parent and adult parent sign a separate FIA and both must participate separately in the Progress Review. You may schedule the minor parent and adult parent for the same time and alternate the conversation between the parents when conducting the review interview whether by phone or in-person.
- When an FIA-responsible child receives FIP with an exempt parent, the child signs an FIA and must participate in the Progress Review.

Scheduling an FIA Progress Review

Schedule the phone or face-to-face contact by sending *Notice of Appointment or Participation,* form 470-0813. Until the form is revised, mark the "Other:" field and add "FIA Progress Review" as the activity and complete the rest of the form, including appointment time and date.

If scheduling a phone interview, enter the following in the "Located at:" field:

> "Phone interview. Call PROMISE JOBS at _____ at the appointment time on the date noted below. If you get a busy signal, keep trying until you talk with the worker listed above. Leave a message if you receive the worker's voice mail."

Complete the rest of the form, including appointment time and date.

When the FIA includes more than one FIA-responsible family member, use the following as guidance when selecting which member to schedule for the FIA Progress Review when only one member must participate:

- If the FIA includes a child and a parent, select the parent.
- If the FIA includes two-parents:
  - Select the parent that is participating the least amount of hours, or
  - Select the parent with activity hours that conflict the least with normal PROMISE JOBS working hours, or
  - Select the parent with the majority of problems or barriers, unless it is difficult for the parent to participate in a phone or face-to-face interview.
  - Select the parent that communicates with PROMISE JOBS most often regarding the family's situation.
- If the FIA includes two-parents, you may address the *Notice of Appointment or Participation* to both parents and note on the form that only one parent needs to call for the phone interview, or appear for the appointment.

Completing the FIA Progress Review

Review the circumstances of the entire family when conducting an FIA Progress Review, even if only one FIA-responsible family member is participating in the review.

Prior to the scheduled interview, review the case files of all FIA-responsible family members to become familiar with the following:

• Current FIA and FIA end date	• LBP history
• Current level of participation	• Number of months left on FIP
• IWorks data to ensure it is current and accurate	• Any outstanding needed documentation
• Any reports or information from other agencies that are involved with the family	• Most recent Self- Assessment, form 470-0806, to make note of any areas of concern or questions you want to ask during the review.
• Past identified barriers to make note of any areas of concern or questions you want to ask during the review	• Consider other services/supports (from other agencies/programs) that may serve this person's needs or assist in progress towards self-sufficiency
• Hardship information, if applicable	• FSSG amounts used / future needs

In addition, consider the following four domains to determine the items that you need to discuss during the interview. Within each domain are examples of questions in italics that you can use as a "script" or reminder for discussion points:

Domain 1: Status of current FIA goals and steps

- Discuss the current FIA activity to determine progress and if there are any issues. *How are your GED and individual job search going for you?*
- Discuss the next step, when it is scheduled, and if still appropriate.
- Discuss if additional or different activities need to be included in the FIA. Consider the circumstances to guide the participant to appropriate new or different activities. *Since you have not been able to find a job yet, would you like to try working at a work experience site to learn some skills?*
- If there have been recent problems with participation, discuss the problems to determine if the participant needs help or guidance from you. *You didn't _____ (i.e., get your time and attendance in on time). What happened? Is there something that we can do to help so this doesn't happen again?*
- *Is your child care provider working out? Do you need any changes?*
- *How is your transportation?*
- Determine if referrals are needed to other services (FaDSS, therapy, VR, others) or if FSSG may be appropriate.
- Discuss the number of months left in the 60-month limit. *You have ____ months left of FIP, how best can we help you reach your goals? Do we need to change your goals?*
- If the participant is near the 60-month limit, inform the participant of their right to request a hardship exemption to the limit through DHS.

Domain 2: Life Changes

Discuss household composition, housing situation, and question the participant about legal issues and health. Ask about the possibility of domestic violence. Examples:

- *Any changes in who is in your home?*
- *Any housing issues or problems?*
- *Any new legal issues? How is your divorce progressing?*
- *How is your health? How is the health of your family members?*
- *Are you in a relationship with another adult that has threatened or hurt you or your children? Do you worry about the safety of you or your children?*

Domain 3: Employment

Discuss current employment status.

- If employed:
  - *Any changes in your work hours or benefits?*

    - If no increase in wages or hours… *Is there something we can do to help you increase your pay/hours?*

- If not employed and employment is a current or upcoming FIA activity:
    - *What type of jobs would you like to have?*
    - *Do you have the skills and knowledge you need to get those jobs?*
    - *If not, is there anything we can do to help you gain those skills or get that knowledge such as additional training or work experience?*

Domain 4: Rights and Responsibilities

Reminder examples:

- *When unable to attend or complete an activity, contact PROMISE JOBS to explain prior to the appointment or the due date. PROMISE JOBS may reschedule, may be able to help, or may be able to excuse you from the activity.*
- *Report problems or barriers to participation so PROMISE JOBS can help you deal with them. You may need to provide verification.*
- *You always have the right to speak to or meet with a supervisor.*

The FIA does not need to be renegotiated as part of the FIA Progress Review process. However, you and the participant may decide that the FIA needs to be renegotiated as a result of information obtained during the review. Renegotiate the FIA during the FIA Progress Review if possible, regardless if the review is conducted over the phone or in-person. When negotiating an FIA over the phone, send a copy to the participant to be signed and returned within five working days.

When you meet with a participant to develop a new FIA or to renegotiate an existing FIA, always consider this as an opportunity for an FIA Progress Review. If possible and appropriate, complete an FIA Progress Review when you are meeting or talking with a participant for other reasons, even if a Progress Review is not due.

Documenting and Tracking the FIA Progress Review

When writing a new or renegotiated FIA, determine an appropriate review date that is no more than six full months from the date the FIA is signed. Code IWorks with a “task” to alert you at least one month before the next Progress Review is due for each FIA-responsible family member.

When you complete an FIA Progress Review, document the completion of the review in the participant’s case file narrative and through entry of a “case note” in the IWorks system.

Failure to Comply

If a participant is scheduled to participate in an FIA Progress Review and fails,

- Send a written reminder as described at **FIA Participation Issues**.
- Schedule a face-to-face FIA Progress Review appointment by sending another *Notice of Appointment or Participation,* form 470-0813. A face-to-face is required at this point since a subsequent failure may result in a limited benefit plan.

If the participant fails to appear for the appointment, the participant has chosen a limited benefit plan unless the participant has an acceptable reason for missing the appointment as described at **Problems With Participation** or **Barriers to Participation**.

Implementation

Begin applying the new FIA Progress Review policy to your caseload over the 10-month period beginning September 9, 2008, and ending June 30, 2009. The new policy must be fully implemented by July 1, 2009, meaning that:

- An FIA Progress Review was completed on each FIA for all families receiving FIP on July 1, 2009, or if the FIA was signed less than six months prior,
- An appropriate due date for the FIA Progress Review is coded in the IWorks system.

Stagger implementing the new FIA Progress Review policy to your caseload over the 9-month period so that future reviews on a caseload do not all come due at the same time. Use the following as a guide:

New PROMISE JOBS participants:

When you develop an FIA for a FIP applicant family on or after September 9, 2008, determine an appropriate review date that is no more than six full months from the date the FIA is signed.

Any participant renegotiating an FIA:

- When you renegotiate an FIA for any reason on or after September 9, 2008, complete the FIA Progress Review and determine an appropriate next review date.

Employed participants:

- When requesting verification of work hours for any FIA-responsible family member, consider also completing the FIA Progress Review for the family.

For new employments, complete the FIA Progress Review only when it appears that the family will remain eligible for FIP. For all employments, align the FIA Progress Review with the verification schedule for work hours, when possible.

Other participant contacts or meetings:

When needing to contact a participant to review their current situation for any reason, consider using this time to complete the FIA Progress Review for the family.

Remaining caseload:

Establish your own schedule for completing an FIA Progress Review on a portion of your cases each month to ensure that an FIA Progress Review is completed on each FIA within your caseload by July 1, 2009.

In each of the situations above, if the FIP family contains more than member who is FIA responsible, code IWorks as stated above for each FIA-responsible family member.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact Shari Seivert by e-mail at sseiver@dhs.state.ia.us or by calling (515) 281-0703 or Janet Shoeman by e-mail at jshoema@dhs.state.ia.us or by calling (515) 281-6082.

Fields of Opportunities

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
EUGENE I. GESSOW, DIRECTOR

PROMISE JOBS POLICY MEMO

TO: Lori Adams, DeAnn Barnhill, Paula Freeman, Jane Schockemoehl, Jack Mustapha, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Service Area Managers, Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: PROMISE JOBS MEMO #164

DATE: November 3, 2008

Summary:

This policy memo implements revised policies and procedures for:

- **Work Experience Placement (WEPs) and Unpaid Community Service (UCS).**
  - Limits the required number of monthly hours of participation:
    - **Single parent family with child under 6 =** Maximum hours per month equal the amount of the family's monthly FIP grant and food assistance divided by the minimum wage.
    - **Not a single parent family with a child under 6 =** Maximum hours equal the amount of the family's monthly FIP grant divided by the minimum wage.
    - The limit applies to the entire family if more than one member is participating in WEP or UCS.
  - Removes job search *requirement* for WEP participants who are not in classroom training to allow more flexibility. Participants can continue to combine WEP and UCS with job search when appropriate but can also combine WEP and UCS with other FIA activities if more appropriate.
  - Requires the UCS work site to verify hours of participation on form 470-2617, *Time and Attendance*.
  - Clarifies reporting procedures when person is participating in WEP or UCS, including when participating in another FIA activity at the same time.

- Self-Employment.
  - Removes requirement to verify earnings and hours of employment monthly.
  - Staff will review progress at least once every six-months.
  - Informs staff that DHS will begin using the net self-employment income entered by the IM worker for federal reporting of a self-employed person's hours of employment.
  - PROMISE JOBS staff can see the calculation of hours based on FIP income in PJCase.

- **Education.**
  - New requirements for verifying and reporting actual hours of participation.
  - New limits and requirements for reporting study time.
  - Informs staff of new DHS reporting procedure for persons participating in a BA/BS training program.
  - Clarifies that PROMISE JOBS cannot deny a participant's request for training from a particular education facility in Iowa due to distance or because there is a nearer facility offering the same program as there is not administrative rule support to do so.

Effective Date:

November 3, 2008

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact Shari Seivert by e-mail at sseiver@dhs.state.ia.us or by calling (515) 281-0703 or Janet Shoeman by e-mail at jshoema@dhs.state.ia.us or by calling (515) 281-6082.

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WORK EXPERIENCE PLACEMENT (WEP) AND UNPAID COMMUNITY SERVICE (UCS)

Current Policy

Hours of Participation

Participants using WEP as an FIA activity are assigned to a work site with a schedule that uses a maximum of eight hours per day and four days per week, or 32 hours per week.

Participants using unpaid community service as an FIA activity are responsible for locating and making arrangements with the work site, including the establishment of days, hours, tasks, etc. Participants can be required to participate at a level that is equivalent to full-time employment.

Required Job Search for WEP Participants

WEP participants must participate in job-seeking activities one day per week unless they are also participating in classroom training activities. Job-seeking activities include a minimum of five employer contacts per week, unless fewer are appropriate due to individual circumstances.

Verifying Hours of Participation

WEP sponsors complete *Time and Attendance*, form 470-2617, to verify the hours of participation for a given month by the 10th calendar day of the next month.

UCS work sites complete *Unpaid Community Service Monthly Report,* form 470-3097, to verify if the participant is carrying out the terms of the agreement between the work site and participant, and if the participant's performance is satisfactory.

Reporting Hours of Participation

The PROMISE JOBS Provider Manual instructs staff to "follow the procedures as specified by your agency and approved by DHS to meet federal reporting requirements".

New Policy

Legal Reference: 441 IAC 93.115(239B), 93.121(239B), 93.135(239B)

Maximum Hours of Participation

WEP/UCS Subject to the FLSA

A person who is considered an "employee" under the Department of Labor's Fair Labor Standards Act (FLSA) must be compensated at the federal or state minimum wage, whichever is higher. When participants in WEP and UCS arrangements perform work tasks or services while at the worksite, the time spent completing work tasks and services is subject to the FLSA and they must be compensated as previously described.

Consider the family's monthly FIP grant as compensation. If the family is a single parent family with a child under 6, consider the family's monthly FIP grant plus food assistance as compensation.

When a participant in WEP or UCS will be participating in activities that are subject to the Fair Labor Standards Act, limit the number of hours of participation in work tasks and services as follows:

- **Single parent family with child under 6:** Maximum monthly hours equal the total amount of the family's monthly FIP grant plus food assistance, divided by the federal or state minimum wage, whichever is higher. See *Exception to Participation Requirements for Single Parents With a Child Under 6* for more information.
- **Not a single parent family with a child under 6:** Maximum monthly hours equal the family's monthly FIP grant divided by the federal or state minimum wage, whichever is higher.

DHS' PJCase system automatically calculates and displays the maximum monthly hours for each referred participant in the *WEP/CS Hours Limit* field of the PJCase PERSON screen. The calculation includes the FIP grant and food assistance for single parent families with a child under 6. PJCase updates the limit at ABC cut-off to reflect any changes in amount of the family's monthly grant, and food assistance, if applicable.

WEP/UCS Not Subject to the FLSA

Hours of participation in court-ordered community service are not subject to the FLSA and not subject to the above limits. Additionally, any hours spent at a WEP or UCS site not completing an actual task or service comparable to employment is not subject to the FLSA and not subject to the above limits.

Example: Participant appears at the WEP or UCS site and spends 6 hours following another employee or volunteer and observing the employee or volunteer complete tasks or services.

Contact your PROMISE JOBS Coordinator at IWD with questions regarding whether or not a particular WEP or UCS assignment is subject to the FLSA.

Using WEPs and UCS as an FIA Activity

Continue to consider a family's individual circumstances when determining a participant's expected level of participation in WEP and UCS.

Due to the above limits, many participants who are able to participate at a level that is equivalent to full-time employment will not be able to meet their FIA obligations using WEP and UCS alone.

Combine WEP and UCS with other activities, such as individual job search or classroom training, to bring the participant up to a level that is equivalent to full-time employment. Expect a lesser level of participation when the participant is unable to participate full-time due to problems or barriers to participation.

Policy no longer *requires* that WEP clients participate in job-seeking activities unless they are also participating in classroom training. Under new policy, participants can continue to combine WEP and UCS with job search activities when appropriate but can also combine WEP and UCS with other FIA activities when more appropriate. Consider individual participant circumstances when determining other activities that are appropriate.

Continue to combine job-seeking activities with WEP or UCS when appropriate due to participant circumstances. Use the "individual job search" activity in this situation.

Exception to Participation Requirements for Single Parents With a Child Under 6:

A single parent with a child under 6 must participate an average of 20 hours per week to meet federal work participation rates. Other parents must participate an average of 30 hours per week to meet rates. For federal reporting purposes, a single parent participating in WEP or UCS the maximum number of hours allowed by the limits above is considered to be meeting the rate, even if not participating the required 20 hours. Consider this exception when determining the expected level of participation for a single parent family with a child under 6.

Work Experience Placement (WEP):

- When WEP is the current FIA activity, and you have matched the participant with a potential sponsor, determine expected hours of participation at the time you schedule the WEP interview.
- When referring a participant for a WEP interview, enter the expected **monthly** hours of participation at the WEP site when completing form 470-0810, *Referral for Work Experience.*
  - Adjust the form to say "hours per month" rather than "hours per week".
  - Enter no more than the maximum **monthly** hours as displayed in PJCase.
- Notify the participant in writing of the WEP participation expectations by including the specific expectations in the FIA, in a *Notice of Appointment or Participation*, or other written notification.

Unpaid Community Service (UCS):

- When UCS is the current FIA activity, the participant is responsible for locating and making arrangements with the work site, including establishing the days, hours, and tasks. Assist with this process, such as providing the participant with potential work sites.
- Determine expected hours of participation at the time you notify the participant in writing of the participation expectations, either by including the expectations in the FIA, in a *Notice of Appointment or Participation*, or other written notification. Require no more than the maximum monthly hours as displayed in PJCase, unless the community service is court-ordered.

If two or more FIA-responsible members of the same FIP family will participate in WEP or UCS activities that are subject to the FLSA, the **total** required hours of participation for all FIA-responsible members for these two activities **cannot** exceed the maximum limits for monthly hours. PJCase displays the family's maximum limit for each FIA-responsible person.

Adjusting Hours of Participation in WEP and UCS

When reviewing hours of participation in WEP or UCS for the prior month, check PJCase and scheduled hours of participation to determine if the participant's maximum hours have changed and if required hours of participation need to be adjusted for the next month.

If maximum hours of participation for WEP and UCS have changed, this means the amount of the grant, or food assistance if applicable, has changed. Determine the reason for the change by reviewing the following:

- IWorks for the current FIP and food assistance amounts, if applicable,
- PJCase Client Data Application for a change in earnings or other income and/or,
- ETS for a change in family members.

Contact the IM worker if you cannot determine the reason for changed benefits.

If the participant has obtained employment, send a written request for verification of actual hours of employment unless you have adequate verification from another source. See **PROMISE JOBS Memo 162** for more information.

Schedule the participant to discuss renegotiation of the FIA when appropriate.

If participation in WEP or UCS needs to be terminated, or if the participant's schedule needs to be changed:

- Notify the WEP sponsor or UCS work site and participant in writing of:
  - The termination, or
  - The participant's new maximum limit and the need to change monthly scheduled hours of participation.
  - Change or terminate WEP or UCS as of the 1st of the next calendar month.

If the participant is receiving child care or transportation for participation in WEP or UCS, and the amount of transportation or the number of approved child care units will change or if eligibility will end, send a timely notice as described at **Notice of Decision: Child Care Assistance** and **Written Notification to Client, Notice of Decision**.

Verifying Hours of Participation

Continue to require WEP sponsors to complete *Time and Attendance*, form 470-2617, to verify the hours of participation for a given month by the 10th calendar day of the next month.

Require unpaid community service work sites to complete *Time and Attendance*, form 470-2617, to verify the hours of participation for a given month by the 10th calendar day of the next month.

Reporting Hours of Participation

Report actual hours of participation in WEP or UCS through entry in IWorks by the 20th calendar day of the month following the month of participation. WEP and UCS

are listed as separate “services” in IWorks. Enter the hours for each activity under the applicable “service”.

When WEP or UCS is combined with another FIA activity, report hours of participation for the other activity in the applicable “service” in IWorks. Do **not** combine the hours from the other activity with the WEP or UCS hours to report under WEP or UCS.

Implementation

Maximum Hours of Participation

For participants beginning participation in WEP or UCS on or after November 3, 2008, limit hours of participation according to the new policy if the WEP/UCS activities are subject to the FLSA.

For participants enrolled in WEP or UCS as of November 3, 2008, determine if the participant’s hours of participation need to be adjusted when reviewing the participant’s hours of participation and progress for the month of October 2008. Compare the maximum WEP/UCS hours in PJCase for the month of December with current scheduled hours of participation. If needed, adjust the hours of participation for December as described at *Adjusting Hours of Participation in WEP and UCS.*

Required Job Search for WEP Participants

Begin applying the additional flexibility of the revised policy as appropriate on or after November 3, 2008.

Verifying Hours of Participation

For participants beginning UCS on or after November 3, 2008, provide the director (or designee) of the work site with form 470-2617, *Time and Attendance.* Ask the director (or designee) to complete the form to verify hours of participation for each month and return to PROMISE JOBS by the 10th calendar day of the next month.

For participants enrolled in UCS as of November 3, 2008, when reviewing the participant’s hours of participation and progress for the month of October 2008, provide the director (or designee) of the work site with form 470-2617, *Time and Attendance.* Ask the director (or designee) to begin using the *Time and Attendance* form rather than the *Unpaid Community Service Monthly Report* form to verify the participant’s attendance for November and thereafter. Ask the director (or designee) to complete and return the *Time and Attendance* form for each month by the 10th calendar day of the next month.

Reporting Hours of Participation

Apply the new policy to hours of participation that occur on or after November 3, 2008.

SELF-EMPLOYMENT

Current Policy

Verifying Self-Employment Hours

PROMISE JOBS requires self-employed participants to provide verification monthly of:

- Actual hours of self-employment and,
- Gross earnings received from self-employment.

PROMISE JOBS conducts a progress review every six months and uses the verification to determine if the participant is making satisfactory progress towards the FIA goal of self-sufficiency. If the verification indicates the participant is not making satisfactory progress, PROMISE JOBS determines if the FIA should be renegotiated to include other activities, or if the participant has chosen an LBP.

Federal Reporting of Self-Employment Hours

- PROMISE JOBS enters average weekly hours based upon actual hours of self-employment in IWorks.
- IWD sends DHS an "employment file" monthly that includes self-employment hours entered by PROMISE JOBS.
- DHS uses the hours from the "employment file" to complete the federal TANF Data Report.

New Policy

Legal Reference: 441 IAC 93.109(239B), 93.113(239B), 93.135(239B)

Verifying Self-Employment Hours

Beginning November 3, 2008:

Require self-employed participants to verify gross earnings and business expenses received in the last 30 days and actual hours of employment at least once every 6 months. Discontinue requiring participants to verify monthly.

Follow the procedures for verifying hours of employment described in **PROMISE JOBS Memo 163**, dated October 18, 2007. (Note: The procedures for projecting hours of employment do not apply to self-employment. See the new policy for *Federal Reporting of Self-Employment Income* below).

Continue to conduct a progress review every six months and use the verification to determine if the participant is making satisfactory progress towards the FIA goal of self-sufficiency. Only consider the participant's actual hours of participation in self-employment to determine satisfactory progress:

- If the participant is working 30 or more actual hours per week in self-employment, consider the participant to be meeting FIA requirements.
- If the participant is working less than 30 hours per week, determine if the FIA should be renegotiated to include other activities, or if the participant has chosen an LBP.

As you review monthly verification of self-employment hours and income, establish a six-month FIA Progress Review. Follow the procedures in **PROMISE JOBS Memo 163**, dated September 9, 2008.

Federal Reporting of Self-Employment Hours

Federal regulations limit the reported hours of participation for self-employment to the number calculated by dividing the self-employed person's net income (gross income less business expenses) by the federal minimum wage.

The federal Health and Human Services, Administration for Children and Families has advised Iowa to use the same method to determine the net-income for FIP benefits and for calculating self-employment hours for federal reporting purposes.

To comply, Iowa has changed its federal reporting method for self-employment income.

Beginning with the report month of October 2008:

- DHS will use the net-income entered in ABC by the DHS IM worker for federal reporting purposes.
- PJCase will apply the calculation of dividing the net-income by the federal minimum wage to determine hours of self-employment.
- DHS will not use hours of self-employment entered by PROMISE JOBS in IWorks for federal reporting purposes.
- DHS will display the hours of self-employment calculated by PJCase with the Preliminary Work Participation Reports for October participation that will be provided to IWD shortly after November 20th.

PJCase displays the calculated hours of self-employment for PROMISE JOBS:

- Access the self-employed person's *PJCase Person* screen.
- Select the *Self-Emp Income* button.
- PJCase will either:
  - Display the Self-Employment Income screen or
  - Give you a message that the person does not have current self-employment or any self-employment history.

The *PJCase Self-Employment Income* screen displays:

- Referred person's State ID, case number, SSN, and name.
- Benefit Month = the month that the self-employment income was used to calculate FIP.
- Amount = the amount of net self-employment income entered by IM for the benefit month.
- Weekly Hours = the amount divided by the federal minimum wage ($7.25) and then divided by the number of Fridays in the month. Weekly hours are rounded to the nearest whole hour.
- Start Date: First working day of the month that the referred person received FIP with self-employment income or IM entered self-employment income.
- End Date: The last day of the month that FIP ended or IM zeroed out self-employment income.

As you review monthly verification of hours and income for September and received in October, enter the calculated weekly self-employment hours from PJCase into IWorks.

Important!! Continue to use actual hours worked in self-employment to determine if a participant is making progress towards self-sufficiency. Do not use the self-employment hours calculated by PJCase to determine progress.

EDUCATION

Current Policy:

Verifying Hours of Participation

Most participants in approvable postsecondary training and basic education activities provide monthly verification of actual hours of attendance and supervised study time on *Time and Attendance*, form 470-2617, signed by the training provider and the participant.

DHS has clarified that comparable verification cannot be used.

Participants in non-approvable training that is included in the FIA, as it is reasonably expected to lead to self-sufficiency, are not required to provide monthly verification of actual hours of attendance. Instead, participants provide documentation of credit hours upon enrollment for a new term.

PROMISE JOBS does not verify hours of attendance for non-approvable training that is not included in the FIA.

Reporting Hours of Participation, Including Study Time

- *For approved postsecondary training,* PROMISE JOBS assumes that for each hour of class or lab, a student must study two additional hours. To determine weekly hours of participation for reporting purposes, PROMISE JOBS multiplies the number of actual weekly hours by 3.

- *For non-approvable postsecondary training included in the FIA (reasonably expected to lead to self-sufficiency),* PROMISE JOBS assumes that hours of attendance equate to credit hours. To determine weekly hours of participation for reporting purposes, PROMISE JOBS multiplies the number of anticipated weekly credit hours by 3.

- *For basic education,* PROMISE JOBS enters actual weekly hours of attendance based on the verification.

PROMISE JOBS reports weekly hours of participation through entry in I-Works for all of the above. Hours of participation in non-approvable training that is not included in the FIA is not verified and not reported in I-Works.

Two members of the same household attending the same activity with identical schedules do not need two transportation allowances. However, an academic need for different schedules or child care transportation problems might warrant an allowance for each participant. If parents are able to avoid the need for child care payments by using different schedules, two transportation allowances would be appropriate.

Training at the Nearest Facility

Transportation policy says it is appropriate for PROMISE JOBS to deny a request for training at a distant site if the same program is available at a location closer to the participant's home. However, our administrative rules do not give PROMISE JOBS the authority to deny a training plan for this reason.

Federal Reporting Procedures for BA/BS Programs

Due to interim federal regulations, DHS does not include hours of participation in BA/BS in the federal activity of "Vocational Education", one of the "core" federal activities. As a result, participants in BA/BS programs do not meet federal work participation rates, unless also participating at least 20 hours per week in a "core" activity, such as employment.

New Policy:

Legal Reference: 441 IAC 93.114(239B), 93.135(239B)

Verifying Hours of Participation

Require all participants with educational activities included in the FIA to provide monthly verification of actual hours of attendance, including those in non-approvable training and basic education (high school, GED, ABE, and ESL). Verification of credit hours or anticipated hours is not sufficient.

Continue to use *Time and Attendance*, form 470-2617, signed by the training provider, to verify hours of attendance. Providers can use comparable verification as long as:

- The verification includes all of the elements of *Time and Attendance* and,
- The provider signs and attaches a *Time and Attendance* form.

Exception: If the participant is under age 20 and in high school or GED, the participant can verify the hours by completing and submitting the *PROMISE JOBS Time and Attendance Report* monthly. The training provider or representative does not need to sign the form. PROMISE JOBS needs to contact the training provider (with proper authorization from the participant) if information provided by the participant is questionable.

Reporting Hours of Participation, Including Study Time

Report actual hours of participation in class and labs as verified by the provider **for all participants with educational activities included in the FIA**. This applies to basic education activities (high school, GED, ABE, and ESL) and non-approvable training included in the FIA.

Study Time:

- Report **supervised study time** when verified by the training provider or another appropriate individual on the *Time and Attendance* form, such as a librarian or PROMISE JOBS staff person.
- Report up to one hour of **unsupervised study time** homework for each hour of scheduled class time.
- The total number of hours spent in supervised and unsupervised study may not exceed the number of hours required or advised by the educational program.
- Find out the study time requirements for the program of study from the educational facility and document the appropriate study time requirements in the case file.

Example One:

Person is taking 3 classes:

- Two meet 3 hours per week.
- One meets 5 hours per week.

Total weekly class hours: 3+3+5=11.

Total Study Time Limit:
Educational provider says the program requires 2 hours of study time for each hour of class time to maintain good grades. 2x11=22 hours per week.

Supervised study time:
The educational provider verifies 11 hours of supervised study time per week on the *Time and Attendance* form provided by the participant.

Unsupervised homework study time:
Up to an additional 11 hours of unsupervised homework study time can be reported: 22 hours required for program –11 supervised =11 unsupervised.

Example Two:

Person has the same class schedule as example one. Total weekly class hours: 3+3+5=11.

Total Study Time Limit:
Educational provider says the program requires 1 hour of study time for each hour of class time to maintain good grades, or 11 hours per week.

Supervised study time:
The educational provider verifies 5 hours of supervised study time per week on the *Time and Attendance* form provided by the participant.

Unsupervised homework study time:
Up to an additional 6 hours of unsupervised homework study time can be reported: 11 hours required for program – 5 supervised =6 unsupervised.

Report weekly hours of attendance as described above through entry in I-Works for all educational activities included in the FIA.

Training at the Nearest Facility

When a participant requests training from a particular education facility in Iowa and another facility offers the same program at a location that is closer to the participant's home, approve the training plan if the plan meets the criteria described in the PROMISE JOBS Provider Manual, **POSTSECONDARY TRAINING, Types of Approvable Training.** Do not deny a participant's request for training from a particular education facility in Iowa due to distance or because there is a nearer facility offering the same program as there is not administrative rule support to do so.

Consider all circumstances when helping the participant decide which educational facility to attend when there is more than one option for a particular program. Encourage the participant to take the training at the nearest facility unless taking the training at the farther facility will allow the participant to reach self-sufficiency at an earlier date or there are other reasons, such as access to child care, that would justify the participant's attendance at the farther facility.

Authorize child care and transportation to the farther facility when the reason for attending the farther facility is within PROMISE JOBS program goals. Limit child care and transportation assistance to the amount that would be required to attend the nearest facility when the participant chooses to enroll at the farther facility for a reason that is not within PROMISE JOBS program goals.

For example, a participant who wants training as a licensed practical nurse can enroll in the training at a facility near the participant's home, however the program has a waiting list. The participant can enroll immediately in the program at a facility that is farther away. The participant's enrollment at the farther facility is within PROMISE JOBS program goals as the participant may reach self-sufficiency at an earlier date. PROMISE JOBS can provide any additional child care and transportation assistance needed for the participant to attend the farther facility.

Federal Reporting Procedures for BA/BS Programs

Final federal regulations allow states to include hours of participation in BA/BS in the federal activity of “Vocational Education”.

With the report month of October 2008, DHS will again report hours of participation in BA/BS degrees in the federal activity of “Vocational Education”.

Implementation

Verifying Hours of Participation

For non-approved postsecondary training included in the FIA, require the participant to begin providing monthly verification on form 470-2617, *Time and Attendance*, for October 2008:

- Contact the participant to renegotiate the FIA to include the new verification requirement. The participant needs to provide verification of actual hours of participation for the month of October in November 2008.

- Schedule an appointment that does not conflict with the participant’s training schedule, or negotiate a new FIA over the phone and mail the FIA to the participant for signature. Provide the participant with an adequate supply of *Time and Attendance* forms.

Reporting Hours of Participation, Including Study Time

With hours of participation in all educational activities that occur on or after October 1, 2008, report hours of participation, including study time, as described above.

Training at the Nearest Facility

As of November 3, 2008, do not deny a participant’s request for training from a particular education facility in Iowa due to distance or because there is a nearer facility offering the same program as there is not administrative rule support to do so.

If you have denied a participant’s request for training from a particular education facility in Iowa due to distance or because there is a nearer facility offering the same program, schedule the participant to discuss the participant’s request for training and renegotiation of the FIA as soon as possible. Consider the decision to deny the training for this reason to be invalid.

Determine if the participant's training plan meets the criteria described in the PROMISE JOBS Provider Manual, **POSTSECONDARY TRAINING, Types of Approvable Training** or **Nonapprovable Training.** Approve or deny the training plan accordingly. Do not consider that the training is not provided at the nearest facility when making this decision. Renegotiate the FIA if needed.

If the participant's training plan is approvable, consider the participant's reasons for attending the farther facility to determine if child care and transportation assistance should be limited to the amount needed to attend the nearest facility as described above.

Federal Reporting Procedures for BA/BS Programs

This is for your information only. No action is required.

Fields of Opportunities

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
EUGENE I. GESSOW, DIRECTOR

PROMISE JOBS POLICY MEMO

TO: Lori Adams, DeAnn Barnhill, Paula Freeman, Jane Schockemoehl, Heidi Wicks, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Service Area Managers, Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: PROMISE JOBS MEMO #165

DATE: April 22, 2009

Background:

Final federal regulations implementing the Deficit Reduction Act of 2005 and reauthorizing the Temporary Assistance for Needy Families (TANF) program were effective October 1, 2008. As a result of the updated federal regulations, the Division proposed several administrative rule changes for the PROMISE JOBS program, which were adopted effective March 1, 2009.

PROMISE JOBS Memo #165 implements several policy and procedural changes needed to implement the new administrative rules and to comply with TANF regulations.

Summary:

This policy memo implements the following revised and new policies and procedures. Each topic includes current policy, new policy and procedures, legal references and implementation instructions. Examples are included where further clarification is needed.

- **Self-Employment:** Allows PROMISE JOBS to consider a self-employed person's income rather than actual hours of self-employment when determining if a self-employed person is making satisfactory progress with the self-employment and if the person needs to participate in other activities.
- **Exempting SSI Parents from PROMISE JOBS Referral:** Expands the exemption criteria for PROMISE JOBS to include FIP hardship applicants and recipients who receive SSI.
- **Unplanned Job Opportunities:** Allows PROMISE JOBS to provide child care and transportation payments to cover the costs associated with unplanned job contacts when job search is not included as a current FIA activity.
- **Job Search Plan and Period:** Requires a Job Search Plan Agreement as written notification of requirements for participants in individual job search and structured job search. Limits the time for individual job search to a period not to exceed five weeks ending in Friday within the same calendar month and the period for structured job search to two weeks ending in Friday within the same calendar month.
- **Complete Job Search Record:** Adds a definition of "complete" *Job Search Record.*

- **24-Month Assistance Limit for Training:** Requires child care assistance received while in training and not a PROMISE JOBS participant to count towards the 24-month PROMISE JOBS limit that applies to child care received while in training. Establishes a separate 24-month limit for other training expenses, such as transportation.
- **Educational Assessments:** Requires a participant to complete an educational evaluation prior to adding training to FIA.
- **Approvable Training:**
  - Requires approvable providers to verify a participant's time and attendance. Training must be structured in such a way that a participant's actual hours of attendance can be verified.
  - Eliminates maximum time limits for completing education or training.
  - Allows approval of a training plan that exceeds the known length of time the family will remain eligible for FIP in certain situations.
  - Removes the requirement to deny training in a different vocational area if the participant has already had training funded by PROMISE JOBS.
  - Adds on-line and distance learning as an approvable training activity.
  - Expands and clarifies the use of academic probation.
- **Limited Benefit Plan for Failure to Verify Hours of Employment or Participation:**
  - Removes the requirement to send a written reminder and give a participant another opportunity when the participant has failed to provide verification of hours of employment or hours of participation in other PROMISE JOBS activities.
  - Expands the circumstances under which PROMISE JOBS will stop a limited benefit plan to include limited benefit plans chosen for failure to verify hours of participation in activities other than employment. PROMISE JOBS will stop the limited benefit plan if the client provides the required verification by the 10th day following the effective date of ineligibility.
- **Reasons for Considering a Limited Benefit Plan in Error:** Requires a limited benefit plan to be considered in error if the client reveals a problem or barrier that contributed to the failure that resulted in the LBP after the limited benefit plan is imposed.
- **Written Notice to Client:** Adds guidance for using the FIA to notify a participant of the requirement to provide verification.
- **Time Frames for Providing Verification:** Shortens the time frame for providing verification of actual hours of employment from 10 days to a minimum of 5 working days and the time frame for obtaining a medical examination from 45 days to a minimum of 5 working days. Requires PROMISE JOBS to allow a participant no less than 5 working days after the Friday of the week that participation in job search activities occurred to provide documentation of job search activities.
- **Provider Refusal to Verify Attendance:** Requires service providers verify the participant's hours of attendance for the service or activity to be an acceptable FIA activity.
- **Verifying Problems or Barriers to Participation:** Eliminates failure to obtain a medical examination as a failure that will result in a limited benefit plan. Clarifies current policy regarding a participant's failure to verify a problem or barrier to participation.

The revised policies and procedures become effective immediately with the issuance of this memo. Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual. The PROMISE JOBS Provider Manual will be updated as soon as possible.

Changes to the following policies are effective immediately **and** retroactively to March 1, 2009:

- Unplanned job opportunities
- Complete job search record
- Criteria for approvable training providers
- Elimination of maximum time limits for training
- Limited Benefit Plan for failure to verify hours of employment or participation
- Provider refusal to verify attendance
- Verifying problems or barriers to participation

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. PROMISE JOBS staff, please direct any questions to your PROMISE JOBS Coordinators at IWD. If others have questions, please contact Shari Seivert by e-mail at sseiver@dhs.state.ia.us or by calling (515) 281-0703 or Janet Shoeman by e-mail at jshoema@dhs.state.ia.us or by calling (515) 281-6082.

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SELF-EMPLOYMENT

Current Policy *(PROMISE JOBS Memo #164):*

PROMISE JOBS staff must use a self-employed participant's actual hours worked in self-employment to determine if the participant is meeting the obligations of the FIA and if other activities are needed.

For federal reporting purposes, DHS must use the self-employed participant's net income (gross income less business expenses) divided by the federal minimum wage to calculate the participant's hours of participation in self-employment.

Current Procedure:

PROMISE JOBS requires self-employed participants to verify gross earnings and business expenses received in the last 30 days and actual hours of employment at least once every 6 months.

For federal reporting purposes:

- DHS uses the net income (gross income less business expenses) entered in ABC by the DHS IM worker.
- The PJCase system applies the calculation of dividing the net income by the federal minimum wage to determine hours of self-employment.
- DHS reports the calculated hours for the participant.

New Policy *(Legal reference: 441 IAC 93.7(2))**:***

Use the self-employed person's current actual income and calculated hours from PJCase to determine if the participant is meeting the obligations of the FIA and if other activities are needed.

Consider a self-employed participant to be meeting the obligations of the FIA when the participant's calculated hours of participation in self-employment:

- Equate to an average of 30 hours per week (full-time), or,
- Equate to less than an average of 30 hours per week (part-time) and the participant is making satisfactory progress and demonstrating incremental increases in income and calculated hours.

New Procedure:

Require a self-employed participant to verify gross earnings and business expenses at least once every 6 months. Do not require a self-employed participant to verify actual hours of self-employment.

When a participant is self-employed full-time as defined, use the full-time employment as the only FIA activity until the FIA end date is reached.

When a participant is self-employed part-time as defined, consider the participant's current actual income and their calculated hours from PJCase to determine if the participant is

making satisfactory progress and demonstrating incremental increases in self-employment income.

Consider that IM uses an average of the past 12 months of income or an average from last year's income tax return to determine FIP eligibility and benefits when a participant does not receive their self-employment income on a regular basis. This is known as "annualizing". As a result, the calculated hours in PJCase may not be a good indicator of the participant's current actual income or their progress in the self-employment.

Require a self-employed person who is working part-time in self-employment to meet family investment agreement obligations by combining the self-employment with other activities to bring participation up to a full-time level, unless the person:

- Has been self-employed for 12 months or less,
- Has problems or barriers that prevent participation at a full-time level.

Implementation:

Begin using a self-employed participant's current actual income and calculated hours as you review the participant's progress in self-employment when completing an FIA Progress Review upon release of this memo.

EXEMPTING SSI PARENTS FROM PROMISE JOBS REFERRAL

Current Policy *(PJPM, page 18)**:***

If two parents are in the home of a FIP hardship applicant family, and one parent receives SSI, both parents need to sign a Family Investment Agreement (FIA) for the family to qualify for a hardship exemption. If the family is approved for a hardship exemption, both parents need to follow the terms of the FIA for the family to continue to receive FIP for the 6-month period.

Current Procedure:

The IM worker refers both parents to PROMISE JOBS and schedules both parents with an FIA appointment after determining that a hardship exists. If the family is approved for a FIP hardship exemption, both parents remain referred to PROMISE JOBS and FIA-responsible through the 6-month hardship period.

New Policy *(Legal reference: 441 IAC 41.24(2))**:***

The parent receiving SSI is exempt from PROMISE JOBS referral and not FIA-responsible. The non-SSI parent will need to sign an FIA for the family to qualify for a hardship exemption and follow the terms of the FIA for the family to continue receiving FIP.

New Procedure:

IM staff will no longer refer the SSI parent to PROMISE JOBS or schedule the parent with an FIA appointment when the parent is in the home with a non-SSI parent and the family is applying for a hardship exemption.

Implementation:

IM will not refer an SSI parent to PROMISE JOBS when processing a FIP hardship application received on or after issuance of General Letter 4-J-17. IM will code the parent with an exempt JOBS code of "1".

Upon issuance of GL 4-J-17, IM will review all two-parent cases that are receiving FIP due to a 6-month hardship exemption. If one parent is receiving SSI, IM will make entry in ABC to change the parent's JOBS code from "7" (mandatory hardship participant) to "1" (exempt).

UNPLANNED JOB OPPORTUNITIES

Current Policy:

Current policy does not specifically address unplanned job opportunities.

New Policy (Legal reference: 441 IAC 93.6(3)):

Encourage participants who are ready for employment to take advantage of any unplanned opportunity to apply for a job, even if job search or work activities are not written in the FIA as the current activity.

Provide child care and transportation assistance to PROMISE JOBS participants if needed to make an unplanned job contact if the following criteria are met:

- The participant must have a signed FIA. The unplanned job contact does **not** need to be specified in the FIA.

- The participant must provide documentation of the unplanned job search contact on form 470-3099, *Job Search Record* prior to issuance of a child care or transportation allowance.

- The contact must be an in-person contact to complete an application for an open position or to attend an interview.

New Procedure:

When a participant contacts you to request child care or transportation assistance to make an unplanned job search contact, verbally explain the above requirements. Obtain sufficient information from the participant to determine the amount of needed transportation and the number of needed child care units.

When child care is needed, ask the participant about their child care arrangements. Provide information and referrals to help the participant select an approvable child care provider if help is needed.

Follow-up by sending a written explanation of the requirements, along with a blank form 470-3099, *Job Search Record* and return envelope. Approve child care by issuing form 470-3915, *Notice of Decision: Child Care Assistance* with a blank *PROMISE JOBS Child*

Care Attendance and Invoice, form 470-3896, or use DHS' Kindertrack system to approve child care.

- If the participant has chosen a provider that is not eligible to be paid with State funds, state this in the notice and explain that the participant must choose another provider.

- If the participant has chosen a provider that is not yet approved to be paid with State funds, state this in the notice and explain that the participant will be responsible for payment of the child care if the provider is not approved.

When approving child care for an unplanned job contact, include the following statement in the notice after the approval message: You are responsible for any units of child care used that are not documented with an appropriate job search record.

If a participant contacts you to request child care or transportation assistance after making an unplanned job contact, you may provide child care and transportation assistance if the contact was made on or after the date the FIA was signed and if the participant meets other requirements. You can only provide child care assistance to an approved provider.

When a participant is requesting PROMISE JOBS assistance for a general job search rather than an unplanned job contact, the participant should be assigned to job club or the individual job search activity, depending on which level of job search service is needed. Schedule an appointment to discuss renegotiation of the FIA.

If a participant contacts you to request child care or transportation assistance to make an unplanned job search contact, and you find that the participant did not make the contact, do not consider this a potential choice of a limited benefit plan unless job search and employment activities are included in the FIA as the current activity.

Review the completed *Job Search Record* of the unplanned job contact upon receipt. Verify the contact or the reported time if questionable.

If a participant is absent from a scheduled activity other than employment due to the need to apply for or interview for an available job, report the missed hours as an excused absence as described in **PROMISE JOBS Memo #162.** Otherwise, report actual hours spent in an unplanned job contact in the same manner you report hours of participation in individual job search as described in **PROMISE JOBS Memo #162** and in the PJPM, **ADMINISTRATION, Federal and State Reporting Requirements, Reporting Participation.**

Authorizing Child Care and Transportation for Unplanned Job Opportunities

Review a completed *Job Search Record* documenting an unplanned job contact upon receipt. Approve a transportation allowance based on the information provided by the participant verbally and on the *Job Search Record*.

Authorize a child care payment when you receive a complete *PROMISE JOBS Child Care Attendance and Invoice* or *Child Care Assistance Billing/Attendance* form or *Child Care Assistance Billing/Attendance Provider Record* form in addition to the *Job Search Record* if the child care was provided by an approved provider. Do not authorize payment if the child

care was not provided by an approved provider. Reject the invoice or billing/attendance form within 5 working days as described at **13-G, Rejecting a Claim**. Return a copy of the invoice or billing/invoice form to the provider along with a completed form 470-4472, *Child Care Invoice Cover Letter*. Explain that the participant will be responsible for payment.

Do not authorize payment if you receive a complete invoice or billing/attendance form and the participant fails to provide a completed *Job Search Record* to document the job contact not authorize payment. Reject the invoice or billing/attendance form within 5 working days as described at **13-G, Rejecting a Claim**. Return a copy of the invoice or billing/attendance form to the provider along with a completed form 470-4472, *Child Care Invoice Cover Letter*. Explain that the participant will be responsible for payment.

No further action is required if a participant requests transportation for an unplanned job contact and the participant fails to provide a completed *Job Search Record* to document the contact.

Implementation:

Begin applying new policy upon release of this memo and retroactively for child care and transportation requested for any unplanned job search contact made on or after March 1, 2009.

JOB SEARCH PLAN AND PERIOD

Current Policy *(PJPM, Structured Job Search, page 92 and Individual Job Search, page 95):*

For the structured job search portion of job club, policy requires PROMISE JOBS to notify the participant in writing of the expectations and verification requirements but is not specific regarding the written notice.

For individual job search, PROMISE JOBS uses the FIA and the Job Search Plan Agreement as written notice of job search expectations and verification requirements. The plan must specify a designated period not to exceed four weeks or a calendar month.

New Policy *(Legal reference: 441 IAC 93.6(1)"c" and 93.6(2)"a"):*

A Job Search Plan Agreement is required for individual job search and structured job search. The plan must specify a designated period for job search activities.

New Procedure:

Use the Job Search Plan Agreement to notify a participant in writing of the expectations and verification requirements in job search activities for individual job search and structured job search.

Determine the designated period for job search activities as follows:

- Up to 5 weeks ending in Friday within the same calendar month for individual job search.

- Two-weeks ending in Friday within the same calendar month for structured job search.

Do not develop a job search plan that includes two weeks ending in a Friday that occurs in different calendar months. However, the plan may include days that occur in a different calendar month as long as the days end in a Friday that occurs in the same calendar month.

- **Example1:** March has 4 Fridays: March 6, 13, 20, and 27.
  - A job search plan for March may include any or all of these weeks.
  - A job search plan for this month of March cannot include 5 weeks as there are not 5 weeks that end in Friday.

- **Example 2:** May has 5 Fridays: May 1, 8, 15, 22, and 29.
  - A job search plan for this month of May may include 5 weeks as there are 5 weeks that end in Friday.
  - The plan may also include days in April that occur in the week ending in May 1.

This allows the plan to coincide with reporting requirements and to reduce the potential for reporting errors.

Implementation:

Apply new policy upon issuance of this memo.

COMPLETE JOB SEARCH RECORD

Current Policy *(PJPM, Structured Job Search, page 92 and Individual Job Search, page 95):*

Participants must clearly report their job search contacts on the *Job Search Record*, form 470-3099 and complete all sections of the form.

New Policy *(Legal reference: 441 IAC 93.10(2)"c"):*

Participants must clearly report their job search contacts and other job search activities on the *Job Search Record,* form 470-3099. Consider the participant to have met the documentation requirement if the participant has completed the following information on the *Job Search Record*:

- Sufficient information to identify the employer that was contacted or the activity that was completed,

- The date the contact was made or the activity was completed,

- The amount of time spent on the contact or activity, and

- The participant's signature.

Encourage participants to complete all sections of the form. Provide assistance with completion of the form when necessary.

Do not consider a participant's failure to fully complete a *Job Search Record* as a failure that counts towards the choice of an LBP when information other than that specified above is lacking.

New Procedures:

No new procedures for the use of the *Job Search Record* form. The only difference is in the policy of what constitutes a complete form.

Contact the participant for more information if a *Job Search Record* form is complete as defined in *New Policy* yet information that you need regarding their activities is missing or questionable.

When an area employer has more than one location, the participant must provide the employer's complete address or phone number for the form to be considered complete as defined in *New Policy.*

Implementation:

Apply the new policy upon issuance of this memo and retroactively for *Job Search Records* completed by a client or after March 1, 2009. Stop any LBP that was imposed due to an incomplete *Job Search Record* that was completed by a client on or after March 1, 2009, if the record meets the new definition of complete. Use stop reason "C" as the LBP will be considered in error.

24-MONTH ASSISTANCE LIMIT FOR TRAINING:

Current Policy (PJPM, Time Limit on PROMISE JOBS Funding, pages 141-142):

Participants in approvable postsecondary training are eligible for consideration for PROMISE JOBS expense allowances for no more than 24 months. The 24 months must fall within a period of 48 consecutive months.

The 24-month and 48-month periods both begin with the first month that the participant is ***eligible*** for consideration for PROMISE JOBS expense allowances. A month counts towards the 24-month limit if the participant was eligible for allowances, even when no allowance is issued because the participant had no expenses.

Months of child care assistance (CCA) provided by DHS while a participant was in training and not a PROMISE JOBS participant, **do not** count towards the PROMISE JOBS 24-month limit.

Current Procedure:

Example 1: Ms. A was in PROMISE JOBS and enrolled in an approved certificate program for 12 weeks from 08-21-06 through 11-10-06. PROMISE JOBS paid tuition for the entire period. Ms. A received no transportation or child care assistance for this period. Ms. A has used 3 fiscal months of her 24-month PROMISE JOBS limit and has 21 fiscal months remaining.

Example 2: Ms. B is a PROMISE JOBS participant who enrolls in the second year of an approved two-year degree program. She received 8 months of CCA through DHS prior to being approved for FIP. Ms. B is still eligible for the full 24-months of PROMISE JOBS educational assistance.

Example 3: Ms. C was in PROMISE JOBS and enrolled in an approved certificate program for 12 weeks from 01-07-08 through 03-28-08. PROMISE JOBS paid no child care, transportation or other educational costs during this time period as Ms. C did not need assistance. Even so, Ms. C used 3 months of her 24-month limit on PROMISE JOBS educational assistance as she was eligible for consideration for the assistance.

New Policy:

Participants are eligible to ***receive*** payment for no more than 24 fiscal months of child care assistance needed for participation in approvable postsecondary or vocational training. CCA assistance received while not a PROMISE JOBS participant counts towards the 24-month limit.

Participants are eligible to receive payment for no more than 24 fiscal months of transportation and/or other educational assistance needed for participation in approvable postsecondary or vocational training.

The following new definition clarifies "fiscal month": Fiscal months have starting and endings dates that may fall within two adjacent calendar months but shall only count as one month. Begin counting fiscal months starting on the first calendar day that a person needs care and continue up to the same calendar day of the next month. Continue counting fiscal months for the remainder of the training term. Begin a new fiscal month period when a new training term begins and continue the count for the remainder of the term. Any assistance issued within a fiscal month period counts as a month towards the applicable 24-month assistance limit.

New Procedure:

Approve payment for up to 24 fiscal months of child care assistance when needed to participate in approvable postsecondary or vocational training.

To apply the 24-month limit:

- Count fiscal months of child care payments issued for participation in approvable postsecondary or vocational education under PROMISE JOBS (in the PJCase system with component codes PE, PV, VE and V V).

- Count fiscal months of CCA payments issued by DHS for child care provided on or after March 1, 2009, for participation in approvable postsecondary or vocational education. Contact the DHS CCA unit to determine prior fiscal months of CCA issued for education.

Determine fiscal months as follows:

- Short-term training beginning March 1 and ending May 31 equals 3 fiscal months:
  - Month 1 = March 1 thru March 31
  - Month 2 = April 1 thru April 30
  - Month 3 = May 1 thru May 31
- 1st semester of AA program beginning August 25 and ending December 19 and 2nd semester beginning January 12 and ending May 22 equals 9 fiscal months:
  - Month 1 = August 25 thru September 24
  - Month 2 = September 25 thru October 24
  - Month 3 = October 25 thru November 24
  - Month 4 = November 25 thru December 24
  - Month 5 = January 12 thru February 11
  - Month 6 = February 12 thru March 11
  - Month 7 = March 12 thru April 11
  - Month 8 = April 12 thru May 11
  - Month 9 = May 12 thru June 11

Approve payment for up to 24 fiscal months of transportation and/or other training expenses when needed to participate in approvable postsecondary or vocational training.

Apply a payment toward the time in training that the payment is intended to cover rather than when the payment is issued. A single payment that covers more than one fiscal month applies towards each fiscal month the payment is intended to cover.

Apply the 24-month limit for child care and the 24-month limit for transportation and/or other training expenses separately. Record a participant's use towards each of the two 24-month limits in the case file.

Example 1: Ms. D is participating in a training plan in the same vocational area as a training she completed but at a higher level in her career path. Prior to becoming a PROMISE JOBS participant, Ms. D completed the first training from 8-21-05 through 11-10-05. Ms. D received CCA payments through DHS for these three months.

The CCA child care payments Ms. D used for the prior training do not count towards the total 24-month child care limit for training because the payments were issued for child care provided prior to 03-01-09. Ms D is eligible for 24-months of child care assistance and 24-months of transportation and other educational assistance.

Example 2: Ms. E meets with PROMISE JOBS on 08-15-09 as a FIP applicant and has already enrolled in her 2nd year of training to obtain her AA degree. Ms. E has not received any PROMISE JOBS educational assistance in the past. Ms E received CCA through DHS for her 1st year. Ms. E's request for training is otherwise approvable. If Ms. E is approved for FIP, apply the 24-month child care limit and the 24-month transportation and/or other educational assistance limits for PROMISE JOBS as follows:

- For the 1st semester /1st year (08-25-08 thru 12-19-08): Do not count CCA issued in these months towards the PROMISE JOBS limit as the payments were for child care provided prior to 03-01-09.

- For the 2nd semester/1st year (01-12-09 thru 05-22-09): The fiscal months for the PROMISE JOBS child care limit begin 03-01-09. Count 3 months of CCA towards the PROMISE JOBS child care limit (03-01 to 03-31, 04-01 thru 04-30, 05-01 thru 05-31).

- Ms E has 21 months remaining in the child care limit and is eligible for the full 24-month limit on transportation and other educational assistance.

Example 3: Ms. F is in PROMISE JOBS and wants to enroll in a training plan in August 2009 in the same vocational area as training she completed in 2008 but at a higher level in her career path.

- Previous training: 08-18-08 thru 10-31-08. Ms. F was eligible for PROMISE JOBS educational assistance during these months but did not use any due to no need.

- Do not count months in training towards either 24-month PROMISE JOBS assistance limit as Ms. F did not receive any assistance during these months.

- Ms. F is eligible for 24-months of child care and 24-months of transportation and other educational assistance with her new training plan.

Implementation:

Upon issuance of this memo, begin counting fiscal months of CCA payments issued by DHS for child care provided for approvable postsecondary or vocational training on or after March 1, 2009, towards the 24-month child care limit.

For participants with approvable postsecondary or vocational training in their FIA as of March 1, 2009, and thereafter:

Approve up to 24 fiscal months of child care assistance and up to 24 fiscal months of transportation and/or other training expenses when needed to participate in the training.

Do not count any months that the participant was in training and eligible for consideration for an expense payment but no payment was issued because the participant did not have an expense that month.

EDUCATIONAL ASSESSMENTS

Current Policy *(PJPM, Assessment II and III, pages 41-42)**:***

Participants must complete assessment (Assessment II and III) before including postsecondary classroom training in the FIA if not yet enrolled in postsecondary classroom training.

Assessment II services may include literacy and aptitude testing, educational level and basic skills assessment, self-esteem building, interest assessment, exposure to nontraditional jobs, exposure to job retention skills, goal setting, motivational exercises, exposure to job-seeking skills, and exposure to role models.

Assessment III services provide occupational specific assessment or guidance before completing the FIA for postsecondary classroom training. Include Assessment III as an

action step in the FIA for participants requesting postsecondary classroom training as part of the FIA, or participants whose prior participation indicates a need for and a likelihood of success in postsecondary classroom training.

PROMISE JOBS may waive participation in Assessment II and III when the participant is in approvable self-initiated training at the time of PROMISE JOBS orientation. Participants in self-initiated training may choose to complete Assessment II and III to be eligible for payment for training expenses.

Self-initiated participants who have not completed Assessment II and III must successfully complete the first quarter or semester of the training to be eligible for consideration for training expense allowances.

Current Procedure:

Use the occupational evaluation and information obtained during assessment to determine if the participant is capable of success in the training. Before approval, PROMISE JOBS may require participants to take nationally recognized vocational tests, including the general aptitude test battery and provide grade transcripts from previous training.

Cooperate with other PROMISE JOBS staff to arrive at a decision to approve or deny a request for classroom training based on the results of the assessment process. Use the *Notice of Decision: Services* to inform the client that the request for training is denied.

New Policy *(Legal reference: 441 IAC 93.5(3) and 93.8(1)"b"):*

Require participants who wish to include postsecondary education in their FIA to complete an educational evaluation to determine the likelihood of success.

For participants requesting education resulting in a vocational certificate or certificate of completion, determine the likelihood of success using the following types of tools or information:

- A review of information from past training situations,
- Past job performance in comparable positions,
- Basic skills tests,
- Career-specific assessments,
- A specific standardized test, or
- Other key historical information.

These are short-term training programs in a specific vocational area such as but not limited to: nurse aid certification, training to receive a commercial driver's license, training in information technology, health care services, and child care services.

For participants requesting education in an associate or baccalaureate degree program, determine the likelihood of success through an educational evaluation. The evaluation may include use of the following types of tools or information:

- Standardized assessments in reading comprehension, math, and writing skills, such as General Aptitude Test Battery (GATB), Kuder Skills Assessment, or Comprehensive Adult Student Assessment (CASA) system,
- Occupation-specific skills assessments,
- Interest inventories,
- Current or past grades; and
- Other pertinent historical information.

Persons in self-initiated training must meet the same assessment standards as participants who request training while in PROMISE JOBS before the training plan can be approved and included in the FIA. A person's training is self-initiated when the person has attended one or more days of training before participating in PROMISE JOBS orientation.

New Procedure:

Use the results of the educational evaluation and the participant's current educational level to determine the participant's likelihood of success in training and if the participant can use the training as an FIA activity.

Continue to consult with other PROMISE JOBS staff to help you arrive at a decision to approve or deny a request for classroom training based on the results of the assessment process.

Thoroughly document the basis for your decision in the case record by specifying:

- Any formal assessments that were given and the results,
- Any other information that was considered,
- How you used the evaluation information to either approve or deny the participant's request to include education in the FIA,
- And the decision to approve or deny.

If the participant's request for training is approved, include the request in the FIA. If the participant's request is denied, issue form 470-0602, *Notice of Decision: Services* as described in the PJPM, **Written Notification to Client**.

Substituting and Supplementing Assessment Information:

You may use comparable assessment information completed with another agency or person within the past two years instead of performing new assessments if the FIA-responsible person's mental status, physical status, and life situation have not changed significantly.

Examples of agencies or persons that may complete comparable assessment information include, but are not limited to, Iowa Workforce Development (IWD), Head Start, public housing authorities, child welfare workers, Iowa Vocational Rehabilitation Services (IVRS), an educational institution or testing service, or family development services.

For participants who have established a case plan with another agency, you may supplement your assessment information with assessment information from the other agency. This will help ensure that the FIA activities do not conflict with the other case plan.

Require the participant to sign Form 470-0429, *Consent to Obtain and Release Information* prior to requesting assessment information from or communicating with another agency.

You may not need a formal, standardized educational assessment if key historical information, such as a review of the participant's job history or past training outcomes, relays a clear picture of the participant's skills, abilities, and likelihood of success.
If a participant is currently enrolled in or has been enrolled in comparable training or an academic program in the past two years, you may use the participant's performance, including grades received, instead of a formal, standardized educational assessment.

When using historical information as an indicator of future success, consider changes in the participant's mental status, physical status, life circumstances, and motivation to determine if it is appropriate to use the historical information.

Implementation: Apply the new policy upon release of this memo.

APPROVABLE TRAINING CRITERIA

Current Policy *(PJPM, POSTSECONDARY TRAINING, pages 131-157)*

Continue to apply all policies as described in the PJPM, **POSTSECONDARY TRAINING** except as described in the sections that follow.

Approvable Training Providers

Current Policy *(PJPM, Time and Attendance, pages 222-224):*

Current policy requires participants to select training providers that are approved by PROMISE JOBS. The provider is not required to verify a participant's hours of attendance in the training.

New Policy *(Legal reference: 441 IAC 93.8(2) and 93.10(2)):*

Approvable training providers must offer training that is structured in such a way that a participant's actual hours of attendance can be verified or the provider must be willing to provide verification of time and attendance.

The training provider is responsible for documenting a participant's hours of participation. The participant is responsible for providing the documentation to PROMISE JOBS by the 10th of the month following the month of scheduled participation.

Otherwise, there is no change in the types of training providers that can be approved by PROMISE JOBS.

Procedure:

Expect training providers to verify hours of attendance in classroom activities, lab activities, and in supervised study activities monthly by signing and dating form 470-2617, *Time and Attendance Report.*

A provider may use an alternative form to verify hours of attendance as long as:

- The verification includes all of the elements of the *Time and Attendance Report* and,
- The provider attaches a signed and dated *Time and Attendance Report* form.

Exception: When the participant is under age 20 and in high school or GED, the provider is not required to verify the participant's hours of attendance. The participant can verify the hours by completing and submitting the *Time and Attendance Report* monthly. The training provider or representative does not need to sign or date the form. PROMISE JOBS needs to contact the training provider (with proper authorization from the participant) if information provided by the participant is questionable.

Deny a participant's request for a specific training and do not allow the participant to include the training in the FIA when:

- The participant's actual hours of participation cannot be verified due to the structure of the training, or

- The provider is not willing to provide verification of time and attendance.

If a training provider refuses to verify a participant's hours of attendance on training that is included in the FIA, follow the procedures at **PROVIDER REFUSAL TO VERIFY ATTENDANCE** later in this memo.

Implementation:

Apply the new policy:

- For participants with training included in their FIA on March 1, 2009, and

- For participants who request training on or after March 1, 2009.

Maximum Time Limits

Current Policy *(PJPM, Time Limits Required for Plan Approval, pages 141-142):*

Participants are expected to maintain a full-time academic workload and to complete training within the minimum time specified by the training facility for a given training program. A part-time academic workload is acceptable if within the following maximum participation limits:

- If not working in subsidized employment,
  - 30 fiscal months for two-year degree programs and other vocational programs or
  - 40 fiscal months for three-year or four-year degree programs.
- If working in unsubsidized employment,
  - 40 fiscal months for two-year degree programs and other vocational programs.
  - 50 fiscal months for three-year or four-year degree programs.

New Policy *(Legal reference: 441 IAC 93.8(239B)):*

Eliminates the maximum participation time limits.

New Procedure:

Continue to expect participants to maintain a full-time academic workload and to complete training within the minimum time specified by the training facility for a given training program.

Allow a part-time academic workload when the participant is employed while enrolled in training or when problems or barriers do not allow the participant to maintain a full-time workload.

Implementation:

With the issuance of this memo:

- Discontinue using the maximum time limits when deciding to approve or deny a training plan.

- Do not cancel a training plan that is included in an FIA as of March 1, 2009, if the participant reaches the obsolete maximum time limits. Reinstate any training plan canceled due to the obsolete maximum time limits on or after March 1, 2009.

Nonapprovable Training

Current Policy *(PJPM, Nonapprovable Training, pages 142-145):*

PROMISE JOBS cannot approve a training plan when the duration of the training plan exceeds the known length of time during which the client will remain eligible for FIP.

There is no policy that allows PROMISE JOBS to deny a training plan when a participant requests training in a field that the participant will not be able to be employed due to known criminal convictions or founded child or dependent adult abuse.

New Policy *(Legal reference: 441 IAC 93.8(4)):*

When a participant requests to use training in the FIA and the participant will not complete the training until after the known length of time the participant will leave FIP, approve the training when all of the following apply:

- The participant has a reasonable plan for completing the training after eligibility for FIP and PROMISE JOBS ends. A reasonable plan may include, but is not limited to, school loans, grants, and scholarships.

- Information from assessment and the education evaluation demonstrates that the participant is capable of succeeding in the training plan.

- The training plan meets all of the other criteria for approval as described in the PJPM, **Postsecondary Training** and within this memo.

Training in a particular field cannot be approved as an FIA activity when the participant requesting the training will not be able to get employment in the field due to known criminal convictions or founded child abuse or dependent adult abuse.

New Procedure:

Apply the policy for training that extends beyond the participant's time on FIP only when it is reasonably certain that a participant will no longer be eligible for FIP by the time the training plan is completed such as:

- The participant family will reach the 60-month FIP limit or,

- The participant's only child on FIP turns 18 and will not be in school, or in school but will not graduate before turning 19.

Deny a participant's request for training when the training is in a field that the participant will not be able to be employed due to known criminal convictions or founded child abuse or dependent abuse.

Implementation:

Apply the new policy upon release of this memo for participants who request to include training in their FIA.

Review the file of any participant who is active on your caseload and attending training but the training is not included in the FIA because the training plan will extend beyond the time the family will remain eligible for FIP. If the participant's training is potentially approvable under the new policy, contact the participant by June 1, 2009, to discuss renegotiation of the FIA.

Training in a Different Vocational Area

Current Policy *(PJPM, Training in a Different Vocational Area, page 135):*

PROMISE JOBS denies training in a new vocational area when the client has participated in PROMISE JOBS-funded training for the maximum time limits described above unless:

- A minimum of five years has lapsed since the training was completed or the maximum period ended, or,
- Labor market statistics document that employment is not available in the field of the original training, or,
- The client has been unable to find employment in the field of the original training.

New Policy *(Legal reference: 441 IAC 93.8(3)"h"):*

Consider a participant's current educational level when approving or denying a participant's request to include postsecondary education in the FIA.

Participants with no postsecondary education may be approved for training resulting in a certificate of program completion or an academic degree, such as an associate or baccalaureate degree. Require participants who have not completed a high school education or GED to do so before courses leading to an associate degree or higher are approved unless not required for the specific training program.

A participant who has successfully completed a postsecondary educational program that resulted in less than a baccalaureate degree may be approved for further training when any of the following apply:

- The training requested is a progression in a specific career that moves a participant from entry-level positions to higher levels of pay, skill, responsibility, or authority.
- The previous training is in an occupation that is outdated.
- The previous training is in a field where current labor market information statistics or emerging business trends show little or no employment opportunity.
- The participant's background makes employment in the area in which the participant is trained impossible.
- Changes in the participant's physical or mental status make employment in the area in which the participant is currently trained no longer appropriate. The participant must provide supportive evidence from a qualified medical or mental health professional or the state rehabilitation agency.

Consider a participant who has a baccalaureate degree or higher as employable. Do not approve any further training unless changes in the participant's situation make employment in the area in which the participant is currently trained no longer appropriate such as:

- The participant's physical or mental status has changed. The participant must provide supportive evidence from either a qualified medical or mental health professional or the Iowa Vocational Rehabilitation Services (IVRS) agency.

- Other significant changes have occurred for the participant, for example, employment in the area of current training requires background checks that the participant cannot pass or a license that the participant no longer possesses.

New Procedure:

In addition to a participant's current educational level, consider the participant's likelihood of success in the training through assessment and an educational evaluation prior to approving a training plan. The training plan must also meet all of the other criteria for approval as described in the PJPM, **Postsecondary Training** and within this memo.

Implementation:

Apply the new policy upon release of this memo for participants who request to include training in their FIA.

Review the file of any participant who is active on your caseload and attending training but the training is not included in the FIA because the training plan was denied under former policy. If the participant's training is potentially approvable under the new policy, contact the participant by June 1, 2009, to discuss renegotiation of the FIA.

On-line or Distance Learning:

Current Policy:

Current policy does not specifically address on-line or distance learning.

New Policy *(Legal reference: 93.8(3)"f"):*

On-line or distance learning includes training such as, but not limited to, training that is conducted over a video conferencing network or on-line courses.

On-line or distance learning may be approved when the training:

- Includes interaction between the instructor and the student, such as required chats or message boards, and,

- Includes mechanisms for evaluation and measurement of student achievement, and,

- Includes a legitimate written method for verifying the participant's hours of participation, and,

- Is offered so that any testing or meetings with instructors occurs in Iowa unless the conditions for approvable out-of-state training apply as described in the PJPM, **Types of Approvable Training**. Consider an on-line training program to be an out-of-state

training program when any of the required training or testing occurs outside the state of Iowa.

New Procedure:

When a participant requests to use on-line or distance learning, determine if the training meets the above criteria. Consider the participant's likelihood of success in the training through assessment and an educational evaluation prior to approving the training plan. The training plan must also meet all of the other criteria for approval as described in the PJPM, **Postsecondary Training** and within this memo.

Determine a written method for verifying hours of participation in on-line or distance-learning activities through discussion with the participant and if necessary, the on-line distance-learning provider.

Documentation of hours of participation may include attendance records or log-in and log-out records available on-line or in an electronic format, signed by the provider. If another agency is monitoring the student's actual participation in distance-learning, the agency may provide verification.

Implementation:

Apply the new policy upon release of this memo for participants who request to include training in their FIA.

Academic Probation

Current Policy *(PJPM, Standards for Satisfactory Participation, pages 148-151*):

Participants are required to maintain the minimum cumulative grade point average required by the training facility.

If participant grade reports show grades below a 2.0 or 'C' average, PROMISE JOBS consults with the training facility to determine whether the facility will place the student on academic probation.

If the facility places the student on academic probation, you may place the participant on PROMISE JOBS probation for the next term when the facility verifies the following in writing:

- The student is demonstrating capability to complete the program through regular class participation, practical application of course content, or successful work in other courses.

- It is likely that the student can:
    - Raise the grade point to the acceptable level in the next semester through successful completion of the remaining course work and tests.
    - Complete the program satisfactorily within the maximum time limits.

The training plan is terminated if the participant is unable to achieve the cumulative grade point average required by the training facility after the period of probation.

New Policy *(Legal reference: 441 IAC 93.8(8)):*

PROMISE JOBS may place a participant on academic probation for at least one term, or a comparable time limit appropriate to the educational program at the time the participant requests training as an FIA activity when:

- The educational evaluation identifies factors with the participant's ability or past circumstances that could make successful completion of the training difficult. In this situation, in may be appropriate to approve the training plan and place the participant on academic probation rather than denying the training plan. For example, if the participant's motivation is high and changes in the participant's life situation indicate a realistic probability of success.

- The participant was previously unable to maintain the cumulative grade point average required by a training facility in training that is comparable to the training being requested.

- The participant enrolled but did not complete a previous education activity and did not have mitigating circumstances.

PROMISE JOBS may place a participant on academic probation for at least one term, or a comparable time limit appropriate to the educational program for approved training that is included in the FIA when at the end of a term, or of a comparable period, the participant is receiving less than a 2.0 grade point average (or less than a higher average when required by the specific training facility or curriculum).

PROMISE JOBS must inform the participant in writing of imposition of academic probation and specific expectations.

PROMISE JOBS must cancel the training plan if the participant does not meet the terms of the plan during the academic probation period and the participant does not have mitigating circumstances.

New Procedure:

Inform the participant in writing of placement on academic probation. Include the beginning and ending date of the probation period, specify the expectations to be accomplished by the end of the period and explain that the training plan may be canceled if the participant does not meet the expectations by the end of the probation period.

Reevaluate the participant's progress at the end of the probation period to determine continued eligibility for participation in education. Use the same type of information used to conduct the original educational evaluation. Proceed as follows depending on the results of the evaluation:

- Remove the participant from academic probation as the participant shows satisfactory performance by receiving at least a 2.0 grade point average or a higher average as required by the specific training facility or curriculum.
- Continue probation if the participant is receiving less than the required grade point when reevaluation indicates that education remains appropriate when:
    - The participant has mitigating circumstances such as:
        - Temporary barriers such as illness or family emergencies interfered with successful participation and these have either been resolved or the participant is making good progress at resolving them.

        - The participant reveals long-term barriers to successful participation and the participant may be able to achieve satisfactory performance with the implementation of accommodations.
    - The counselor or the lead instructor in the educational program verifies that there is an excellent likelihood the student will raise the grade point to the acceptable level in the next term or a comparable time limit appropriate to the educational program.
- Cancel the participant's training plan when the participant has failed to maintain or improve to the required grade point average and reevaluation indicates no mitigating circumstances as described above.

When canceling a training plan, notify the participant in writing with form 470-0602, *Notice of Decision: Services*. Require the participant to renegotiate the FIA to include either a new, more appropriate training plan or other FIA activities.

Implementation:

Begin applying the new policy upon issuance of this memo.

Self-Initiated Training

Current Policy *(PJPM, Self-Initiated Training, pages 33-34, Participants Waived From Assessment II and Assessment III, page 41*, *Effective Date of Expenses for Persons Already in School, page 147, Education Expenses, page 208)*:

Training is self-initiated when the person has attended one or more days of training before participating in PROMISE JOBS orientation.

Participants may use self-initiated training to meet FIA requirements when the training program meets the criteria for approval as stated in the PJPM at **Types of Approvable Training** and **Nonapprovable Training.**

Participants may use self-initiated training that is not approvable to meet FIA requirements when the training is reasonably expected to result in self-sufficiency. Participants in self-initiated training that is not approvable and not likely to lead to self-sufficiency must use other PROMISE JOBS activities to meet FIA requirements. The participant may choose to continue in the self-initiated training if the participant is able to handle the workload.

Participants enrolled in approvable self-initiated training are eligible for child care and transportation assistance. However, child care and transportation assistance cannot begin until the client has completed assessment or successfully completed the first quarter or semester accordingly to the requirements of the educational institution.

Participants enrolled in approvable self-initiated training are not eligible for assistance to cover tuition, fees, books, or supplies. Participants in self-initiated training that is not approvable are not eligible for any assistance for training.

New Policy *(441—IAC 93.5(3) and 93.8(239B)):*

The definition of self-initiated training is not changed. However, all policy that was specific to self-initiated training is obsolete.

Participants in self-initiated training must meet all of the following requirements for the participant to use the training as an FIA activity:

- An educational assessment must demonstrate that the participant is likely to succeed in the training plan as described under the new policies described at **Educational Assessments** within this memo.
- The training plan must be approvable under all of the new policies described at **APPROVABLE TRAINING CRITERIA** within this memo and the policies that continue to apply in the PJPM, **POSTSECONDARY TRAINING**.

LIMITED BENEFIT PLAN (LBP) FOR FAILURE TO VERIFY HOURS OF EMPLOYMENT OR PARTICIPATION

Current Policy *(PROMISE JOBS Memo #162, PJPM)**:***

PROMISE JOBS must notify participants in writing of verification requirements. If a participant fails to provide verification of hours of employment or of hours of participation in other FIA activities, PROMISE JOBS must send a written reminder and give the participant another opportunity to provide the verification. An LBP applies if the participant continues to fail to provide the verification after receiving a written reminder.

An LBP imposed for failure to verify hours of *employment* must be stopped and considered to be in error if the client provides the verification by the 10th day of the month following the effective date. This applies if the LBP is a first or a subsequent.

A participant cannot end an LBP imposed for failure to verify hours of *participation in activities other than employment* by providing the verification. If the LBP is a first, the client can end it by reconsidering and signing an FIA. If the LBP is a subsequent, the client cannot take any action to end or reconsider the LBP until the 6-month period has ended.

Current Procedure:

PROMISE JOBS uses the FIA or a letter to notify a participant in writing of the need to provide verification of hours of employment or participation in other FIA activities other than job search.

For individual job search, PROMISE JOBS uses the FIA and the Job Search Plan Agreement as written notice of job search verification requirements. For the structured job search portion of job club, policy requires PROMISE JOBS to notify the participant in writing of the expectations but does not require PROMISE JOBS to use the Job Search Plan Agreement as written notice.

If a participant fails to provide verification of hours of employment, PROMISE JOBS sends a written reminder as described in **PROMISE JOBS Memo 162**, page 8.

If a participant fails to provide verification of hours of participation in other FIA activities, PROMISE JOBS sends a written reminder as described in the **PJPM, FIA PARTICIPATION ISSUES, Identifying Participation Issues**, page 243 or ***Participation Issues Specific to Classroom Training,*** page 154.

If a participant continues to fail to verify hours of employment or participation after receiving a written reminder, PROMISE JOBS makes entry in PJCase to start an LBP if a review concurs that the participant has chosen an LBP.

If the LBP is due to failure to verify hours of employment and the client provides the verification by the 10th day of the month following the effective date, PROMISE JOBS makes entry in PJCase to stop the LBP. The LBP is considered voided and will not count towards a subsequent LBP if the client chooses an LBP in the future.

An LBP chosen for failure to verify hours of participation in activities other than employment remains active as previously noted.

New Policy *(Legal reference: 441 IAC 41.24(8)"h")**:***

Continue to notify a participant in writing of verification requirements.

PROMISE JOBS is no longer required to send a written reminder to allow an additional opportunity to participate when a participant fails to provide verification of hours of employment <u>or</u> hours of participation in other FIA activities.

PROMISE JOBS must continue to refer the participant's file for a review when a participant fails to provide verification of hours of employment or hours of participation in other FIA activities. An LBP applies if a review concurs that the participant has chosen an LBP.

The new policy applies only to failure to provide verification of hours (hours of employment or hours of participation in other FIA activities). It is important to make a distinction between failure to *provide verification of hours of participation* in an FIA activity and *failure to participate* in an FIA activity. These are separate issues.

- A written reminder is still required when a participant fails to participate in an FIA activity and for all other participation issues as described in the **PJPM, FIA PARTICIPATION ISSUES, Identifying Participation Issues,** and,

- A review must concur that the participant has chosen an LBP for the failure to participate.

An LBP imposed for failure to verify hours of employment <u>or</u> hours of participation in other FIA activities must be stopped if the client provides the verification by the 10th day of the month following the LBP effective date unless participation is an issue and the client has been previously notified of the issue. If the 10th day falls on a weekend or holiday, the client must provide the verification by the next working day.

If the verification is provided by the due date and participation is not an issue, the LBP must be stopped regardless of if the LBP is a first or subsequent. The LBP is considered voided and will not count towards a subsequent LBP if the client chooses an LBP in the future.

When an LBP is imposed for failure to verify hours of participation and the participant is in an ongoing activity other than job search and required to provide verification by the 10th day of each month, the LBP continues until:

- The participant provides the verification that was previously due and,
- Any additional verification that is due at the time the client provides the late verification that resulted in the LBP.

When an LBP is imposed for failure to provide documentation of job search activities, the LBP must be stopped if the client provides all the verification that is due according to the current Job Search Plan Agreement by the 10th day of the month following the effective date of the LBP unless participation is an issue and the participant has previously been notified.

New Procedure – Failure to Verify Hours of Participation (Employment or Other FIA Activities):

Use the FIA or a letter to notify a participant in writing of the need to provide verification of hours of participation (employment or FIA activities other than job search). Use the FIA and the Job Search Plan Agreement to notify a participant in writing of the need to provide documentation of hours of participation in job search activities for individual job search and structured job search. See **Written Notice to Clients** later in this memo for details on when to use the FIA or a letter or both.

If a participant fails to verify hours of participation by the due date stated in the written notice and has not contacted you to ask for additional time or assistance:

- Do not send a written reminder to give the participant more time to provide the verification.
- Refer the participant's case for a review.
- If the review concurs that the participant has chosen an LBP, make entry in PJCase to start an LBP.
- On the same day you start the LBP, send a letter to the client. Include the following at a minimum:
    - Explain that the LBP will be stopped if the client provides the late verification within 10 days of the LBP effective date.
    - If the lacking verification is for an activity that requires the client to verify hours of participation monthly, explain that the client must also provide any additional verification that is due at the time the late verification is provided. Specify the verification that will be needed to stop the LBP (i.e. March *Time and Attendance*).
    - If the lacking verification is for a job search activity, explain that the client must also provide all other *Job Search Records* that are due at the time the late *Job Search Record* is provided.

- Provide information regarding the LBP and explain that a separate NOD will be issued.

- Explain that FIP may be reinstated if the client provides the verification before the LBP effective date.

- Explain that the client must reapply if the client provides the verification on or after the LBP effective date but within 10 days of the effective date.

- Explain that the LBP will remain in effect if verification is not provided by the due date.

- Ask about problems or barriers that are keeping the client from providing the verification or from participating.

- Offer for client to speak with a supervisor regarding questions or problems.

- PROMISE JOBS worker name and phone number.

Suggested text follows for failure to provide proof:

Begin the letter with the suggested text for the applicable situation:

♦ **Failure to verify work hours:**

You did not provided your agreed upon proof of your work hours. You agreed to provide proof by _____. By not providing proof of these hours, you have chosen the Limited Benefit Plan (LBP).

♦ **Failure to provide verification of time and attendance:**

You did not provide proof of your hours of attendance in _____ for the month of _____. You agreed to provide a completed Time and Attendance form by __<10th day after the end of the month>__.	
o	***Add these 2 paragraphs when required to provide verification monthly:***
	Since you are required to send proof of your hours of attendance each month, **you must also provide all other Time and Attendance forms that are due at the time you provide the late Time and Attendance form.** In addition to the late Time and Attendance form, you will have a completed *Time and Attendance* form due on ___<date>__ and ___<2nd date if applicable> .

o	**Add the following paragraph if you have sent the client a written reminder for failure to attend this activity in one of the 3 calendar months prior to the LBP effective date:**
	If you did not return your Time and Attendance form because you have not been attending the activity, your LBP will not be stopped unless problems are keeping you from participating in job search activities.

- **Failure to provide Job Search Record:**

You did not provide the Job Search Record to report your time spent in job search activities for the week beginning _____ and ending_____ by _<date>_____. You agreed to provide the Job Search Record in your Job Search Plan Agreement. By not providing a completed Job Search Record by the due date, you have chosen the Limited Benefit Plan (LBP). Since you are required to send proof of your job search activities each week, **you must provide the late Job Search Record and all Job Search Records that are due at the time you provide the late Job Search Record.** **Reminder:** You agreed to participate in Job Search activities for _____ hours each week beginning ___-___-___ and ending ___-___-___. See your Job Search Plan Agreement for the dates that you agreed to complete and return a Job Search Record form. Contact me if you have questions.	
o	**Add the following paragraph if you have NOT sent the client a written reminder for failure to complete the required number of hours of job search activities:**
OR	If you did not return your Job Search Record because you did not complete the required number of hours of job search activity, contact me right away.
o	**Add the following paragraph if you have previously sent the client a written reminder for failure to complete the required number of hours of job search activities with this episode of job search:**
	If you did not return your Job Search Record form because you did not complete the required number of hours of job search activity, your LBP will not be stopped unless problems are keeping you from participating in job search activities.

End the letter with the following text for all situations:

> If you do not provide the requested proof by ___*<10th day after LBP effective date, i.e. May 10, 2009>*, your LBP will remain in effect and be considered valid. You will only be able to stop the LBP as stated in the *Notice of Decision* that will be sent to you separately.
>
> Your LBP will begin _____*<LBP effective date>*_____. This means your FIP benefits will be ___*<canceled* or *reduced>*. DHS will send you a separate *Notice of Decision* that will tell you more about your LBP and how it will affect your FIP benefits.
>
> **If you provide the requested proof by _*<10th day after LBP effective date, i.e. May 10, 2009>* ___,** your LBP will be stopped and will not count as a valid LBP if you choose an LBP again.
>
> - You may not have to reapply for FIP if you provide the requested proof **before** the LBP effective date. DHS will reinstate your FIP benefits if you are otherwise eligible.
> - You will have to reapply to get FIP benefits again if you do not provide the requested proof by the LBP effective date. You may also need to sign a new Family Investment Agreement (FIA).
>
> Contact me right away at ___*<your phone #>*____if you have problems that are keeping you from providing the proof or from participating in your activity. You may also contact me if you have any questions.
>
> You may also talk with a supervisor about any problems or questions.
>
> I hope that you decide to provide the requested proof. Thank you,
>
> - ____*<Your Signature>*_____

If the client provides all required verification by the 10th day of the month following the LBP effective date and the participant's attendance or participation is not an issue:

- Make entry in PJCase to stop the LBP. Use stop reason "C".

- Send the IM worker an e-mail that includes the date the client provided the verification. The IM worker needs this date to decide if FIP can be reinstated or if the client must reapply. Suggested text follows:

> FYI: The LBP for __(Client's name)_____was imposed for failure to provide needed verification. This person provided the needed verification on __(*date*)_____. Therefore, the LBP will not count if this person chooses an LBP again.

For employment and activities other than job search, continue the LBP if the client provides verification but not all of the required verification or the verification does not adequately verify hours of participation. Send the client a letter within 2 working days of receipt of the

insufficient verification to specify the lacking verification and to explain that the LBP will continue unless all required verification is received within 10 days of the LBP effective date.

For job search activities, continue the LBP if the client provides one or more of the required *Job Search Record(s)* but not all of the *Job Search Records* that are due by that time. Send the client a letter within 2 working days of receipt of the late *Job Search Record* to specify the *Job Search Records* that are still needed and to explain that the LBP will continue.

When a job search client provides all of the required *Job Search Records* but the records are either not complete or the client did not complete the required number of hours of job search activity, follow the procedures at ***New Procedure – Job Search Records Not Complete or Participant Does Not Complete Required Job Search Activity***

For employment and all activities, if the client does not provide any verification by the 10th day of the month following the LBP effective date:

- A first LBP remains active until the client reapplies for FIP and signs an FIA. The LBP is valid and will count towards a subsequent LBP in the future.

- A subsequent LBP remains active through the six-month ineligibility period.

No further action is needed.

New Procedure - Verification Shows Unsatisfactory Participation or Attendance:

When an LBP is imposed for failure to verify hours of participation in an ongoing activity <u>other than job search</u>, and the client provides the verification as required, and the verification shows that the participant's attendance or participation is unsatisfactory:

- Stop the LBP as described in the prior section if you did not send a written reminder to the client regarding unsatisfactory participation or attendance in any of the 3 calendar months prior to the LBP effective date. Send a written reminder regarding the unsatisfactory participation or attendance as described in the PJPM, **FIA PARTICIPATION ISSUES** or ***Participation Issues Specific to Classroom Training*** whichever applies.

- Continue the LBP if the client's participation or attendance in the specific ongoing activity resulted in a written reminder regarding unsatisfactory attendance or progress in one of the 3 calendar months prior to the LBP effective date.
- **Exception:** This policy does not apply when the client is in education activities and the verification shows that the client is receiving less than a 2.0 grade point average (or less than a higher average when required by the specific training facility or curriculum). Apply the policies at **Academic Probation** within this memo in this situation.

Example: An LBP is imposed effective April 1 for failure to provide a completed *Time and Attendance* by March 10 to verify hours of attendance in GED. The client provides the verification on March 30. The verification shows that the client did not attend GED as scheduled. Either:

- Stop the LBP and send a written reminder to the client regarding unsatisfactory attendance in GED unless you sent a written reminder to the client regarding unsatisfactory GED attendance in January, February, or March, or

- Continue the LBP if the client's attendance in GED has been unsatisfactory in the past and you have sent a written reminder regarding unsatisfactory attendance in January, February, or March. Send a letter as previously described.

New Procedure – Job Search Records Not Complete or Participant Does Not Complete Required Job Search Activity:

When the client provides the late *Job Search Record* and all *Job Search Records* that are due at that time and the client reported the required hours of job search activity but did not provide all of the required information on the *Job Search Record(s)* as described at **COMPLETE JOB SEARCH RECORD** earlier in this memo:

- Stop the LBP as described earlier if you have not previously sent a written reminder regarding an incomplete *Job Search Record* form during this episode of job search. Send a written reminder regarding the incomplete *Job Search Record* as described in the PJPM, **FIA PARTICIPATION ISSUES.**

- Continue the LBP if the client has failed to provide complete information on a *Job Search Record* form in the past and you have previously sent a written reminder regarding an incomplete *Job Search Record* during this episode of job search.

When an LBP is imposed for failure to verify hours of participation in job search activities by providing a *Job Search Record* by the due date stated in the Job Search Plan Agreement, and the client provides the *Job Search Record(s)* as required, and the records show that the client did not participate in job search activities for the required number of hours:

- Stop the LBP as described earlier if you have not sent the client a written reminder for failure to participate in job search activities for the required number of hours during this episode of job search. Send a written reminder regarding the unsatisfactory participation or attendance as described in the PJPM, **FIA PARTICIPATION ISSUES.**

- Continue the LBP if the client has failed to participate in job search activities for the required number of hours in the past and you have previously sent a written reminder regarding failure to participate in job search activities during this episode of job search.

If the client does not provide any verification by the 10th day of the month following the effective date of the LBP:

- A first LBP continues until the client reapplies for FIP and signs an FIA. The LBP is valid and will count towards a subsequent LBP in the future.

- A subsequent LBP remains active through the six-month ineligibility period.

No further action is needed.

Implementation:

Apply new policy and procedure when a participant fails to verify hours of employment or fails to verify hours of participation in other FIA activities and the verification is due on or after receipt of this memo.

Stop an LBP an imposed for failure to verify *hours of participation in other FIA activities* and consider the LBP to be in error when the verification was due on or after March 1, 2009, unless you notified the client in writing that the LBP could be stopped if the client provides the late verification within 10 days of the LBP effective date as described at ***New Procedure – Failure to Verify Hours of Participation.***

REASONS FOR CONSIDERING AN LBP IN ERROR

Current Policy *(PJPM, Stopping a Limited Benefit Plan, pages 287-290)**:***

The PJPM, **Stopping a Limited Benefit Plan**, page 287, gives examples of situations when PROMISE JOBS needs to stop an LBP and consider the LBP to be imposed in error. An LBP may be "considered imposed in error":

- When PROMISE JOBS did not follow policy prior to imposing an LBP or,
- Due to client circumstances beyond the control of PROMISE JOBS, such as PROMISE JOBS finds the client did not receive notices or reminders regarding the issue that resulted in imposition of the LBP or PROMISE JOBS finds the participant moved out of state or requested cancellation of FIP prior to choosing the LBP.

Policy does not intend to include all LBP error situations and gives PROMISE JOBS staff flexibility in determining if an LBP is imposed in error for situations not specifically listed.

New Policy *(Legal reference: 441 IAC 41.24(8)"f")**:***

This policy specifies a new situation when an LBP needs to be considered in error.

Consider an LBP to be imposed in error when the client who chose the LBP reveals a new problem or barrier after the LBP is imposed and it is reasonable that the problem or barrier contributed to the failure that resulted in the LBP.

You may require the person to provide documentation to support their claim of a problem or barrier.

New Procedure:

When a client who has chosen an LBP reveals a new problem or barrier after an LBP is imposed, determine if it is reasonable that the claimed problem or barrier contributed to the failure that resulted in the LBP.

You may require the participant to provide supporting documentation of the claimed problem or barrier, such as medical documentation or a statement from a third party with knowledge of the problem or barrier. Request any needed documentation in writing and allow the participant at least five working days to provide the documentation.

Allow additional time when needed due to individual circumstances, such as when the client needs an updated medical evaluation and the client cannot obtain an evaluation and provide documentation within five working days. Also allow additional time at the request of the client if the client is making effort to obtain the documentation and is unable to do so.

Thoroughly document the basis for your decision in the case file to either:

- Consider the LBP to be imposed in error and stop the LBP, or
- Continue the LBP.

If you determine the LBP needs to be stopped and considered in error, make entry in PJCase to stop the LBP.

Implementation:

Begin applying the new policy upon receipt of this memo since current policy allows you to make the decision to stop an LBP in this situation.

WRITTEN NOTICE TO CLIENT

Current Policy *(PJPM, Written Notification to Client, pages 226-229 and PROMISE JOBS Memo #162):*

PROMISE JOBS must notify the participant in writing of the requirement to provide documentation or verification.

New Policy *(Legal reference: 441 IAC 93.10(1)):*

Policy is expanded to include procedural guidance on when the FIA is sufficient written notice to the participant of the need to provide documentation or verification of hours of participation in an FIA activity and when a letter or other written notice must be used to notify the participant of the requirement.

New Procedure

When writing an FIA, include verification requirements for each activity. Be as specific as possible, given that certain information regarding future activities may not be known.

The FIA is adequate written notification of the requirement to provide documentation or verification of hours of participation in a specific FIA activity when:

- The need is determined during the FIA appointment or other meeting, and
- The participant is currently participating in the activity or it is reasonably certain the participant will begin the activity within 30 days of the date the FIA is signed (i.e. person has been hired for employment or person is enrolled in a training program), and
- You can specify what is needed from whom (i.e. name of employer) and a specific due date that is within 30 days of the date the FIA is signed, and
- The activity is not individual or structured job search.

The above applies when the participant must provide occasional verification (i.e. verification of actual hours of employment or verification of a medical problem or barrier) and when the participant must provide monthly verification of hours of participation in an ongoing activity (i.e. classroom training).

For individual and structured job search, use the Job Search Plan Agreement in addition to the FIA to notify a participant of the documentation requirements for job search activities.

Use a letter as written notice of the need to provide documentation or verification of hours of participation in an FIA activity when:

- The verification requirement is not specified in the FIA or
- The FIA is not adequate notification as previously defined.

When a participant must provide monthly verification of hours of participation in an ongoing activity, provide the participant with adequate written notice at the time the participant begins the ongoing activity and at least 5 working days before the initial verification is due. It is not necessary to provide written notice to the participant each month.

When providing written notice to a participant of the need to provide documentation or verification, assign due dates for the verification as described in the next section titled **TIMES FRAMES FOR PROVIDING VERIFICATION.**

Failure to provide required documentation or verification:

- If a participant fails to provide required documentation or verification of hours of employment or hours of participation in other FIA activities after being notified in writing, follow the policies described at **LIMITED BENEFIT PLAN (LBP) FOR FAILURE TO VERIFY HOURS OF EMPLOYMENT OR FAILURE TO VERIFY HOURS OF PARTICIPATION** earlier in this memo.
- Follow the policies described at **VERIFYING PROBLEMS OR BARRIERS TO PARTICIPATION** if a participant fails to provide verification of a problem or barrier after being notified in writing of the requirement.
- If a participant fails to provide **other** required verification, send a written reminder as described in the PJPM, **Identifying Participation Issues.**

TIMES FRAMES FOR PROVIDING VERIFICATION

Current Policy *(PJPM, Required Client Documentation, pages 221-226, Written Notification to Client, pages 226-228, Problems With Participation, pages 259-262, PROMISE JOBS Memo # 162):*

Require participants to provide any documentation necessary to verify that the participant is carrying out the terms of the FIA and to provide verification of a claimed inability to participate. PROMISE JOBS may also require a participant to provide verification of a temporary problem with participation.

This includes documentation or verification of:

- Family emergency, lack of transportation, medical examination, documentation of illness or illness of a family member, medical documentation of need for substance abuse or mental health treatment, etc.,
- Hours of attendance in work-related activities, training, and job search activities that cannot be documented by PROMISE JOBS, and

- Actual hours of employment.

Allow the participant a minimum of **5 working days** from a written request to provide the documentation or verification **except** as follows:

- Participants must provide verification of actual hours of employment **within 10 days** from:
    - The date the desired verification will be available, or
    - The date the request is mailed or given to the client, or
    - By the 10th of the month following the month during that the hours were worked.
- Applicants must provide verification of actual hours of employment **within 10 days** of the FIP approval notice.
- For ongoing FIA activities that are not provided by PROMISE JOBS, the provider verifies the participant's attendance on *Time and Attendance*, form 470-2617. Participants must provide the completed *Time and Attendance* form to PROMISE JOBS by the **10th day following the end of each month** of participation, unless the provider returns the form to PROMISE JOBS.
- Participants must secure a medical examination and provide verification **within 45 days** of the mail date of the written request.

For job search activities, allow participants **5 working days after the Friday of the week** that participation in job search activities occurred to provide a completed *Job Search Record.* PROMISE JOBS and the participant can arrange a shorter period that fits the job search plan. However, if the participant fails and the participant was not allowed at least 5 working days after the Friday of the week of job search activity, the failure cannot count towards the choice of an LBP.

For activities that are not provided by PROMISE JOBS, the participant can complete, sign and date the *Time and Attendance* form when the training provider refuses.

New Policy *(Legal reference: 441 IAC 93.10(239B))**:***

Allow the participant a **minimum of 5 working days** from a written request to provide the documentation or verification unless the participant is in an ongoing FIA activity that is not provided or directly monitored by PROMISE JOBS. Allow additional time when needed, such as when the participant must obtain an evaluation for a claimed medical condition or when the participant has attempted and not been able to secure the documentation or verification.

New Procedure

- The time frame for providing verification of actual hours of employment is changed from 10 days to **5 working days**:
    - Participants must provide verification of actual hours of employment **within 5 days** from:

    - The date the desired verification will be available, or
    - The date the request is mailed or given to the client, or
    - By the 10th of the month following the month that the hours were worked.
  - Applicants must provide verification of actual hours of employment **within 5 days** of the FIP approval notice.

- There is no longer a requirement to allow a participant 45 days to secure a medical examination.

- Allow a participant no less than 5 working days after the Friday of the week that participation in job search activities occurred to provide a completed *Job Search Record* for the week.

Continue to require participants in ongoing FIA activities that are not provided or directly monitored by PROMISE JOBS to provide the completed *Time and Attendance* form to PROMISE JOBS by the **10th day following the end of each month** of participation, unless the provider chooses to return the form to PROMISE JOBS.

Approvable training providers and providers of other FIA activities must verify a participant's hours of attendance. If a provider refuses to verify a participant's attendance in an FIA activity, follow the procedures at **Provider Refusal to Verify Attendance** later in this memo.

Implementation

Apply the new time frames when requesting verification or completing a Job Search Plan Agreement on or after the effective date of this memo.

PROVIDER REFUSAL TO VERIFY ATTENDANCE

Current Policy *(PJPM, Required Client Documentation, pages 222-224)*:

When a participant is in an activity that is provided outside of PROMISE JOBS, and the provider refuses to verify the participant's hours of attendance, require the participant to record their attendance and sign and date the *Time and Attendance Report*, form 470-2617 on a monthly basis instead.

New Policy *(Legal reference: 441 IAC 93.8(2), 93.10(2))*:

When a participant is in an activity that is provided by a service provider other than PROMISE JOBS, the provider must verify the participant's hours of attendance for the activity to be an acceptable FIA activity.

New Procedure:

If a service provider, including a training provider, refuses to verify a participant's hours of attendance in an activity:

- Contact the provider to explain the program verification requirements and that the participant will not be able to continue to use the activity as an FIA activity without verification and,

- Make every effort to negotiate for a solution that will result in the provider verifying hours of attendance. Involve supervisory staff if needed.

If the provider continues to refuse to verify a participant's hours of attendance, the participant will not be able to continue to use the training as an FIA activity.

If the activity is education or training, allow the participant to continue through the current semester or quarter before finding another provider. If the activity is not education or training, work with the participant to determine a reasonable time frame for the participant to end services from the current provider and find another service provider. If the activity is one that was arranged through PROMISE JOBS, such as a WEP, allow the participant to discontinue attending immediately.

Contact the participant in writing:

- For education or training, require the participant to document their attendance for the months remaining in the current semester or quarter on the *Time and Attendance Report* and sign and date the form.

- For activities other than education or training, require the participant to document their attendance for the remaining period that the participant received services from the provider that is refusing to verify attendance.

- Require the participant to return the form by the 10th calendar day following the end of the month of participation or within 5 working days of the written request, whichever is later.

For education or training, schedule the participant prior to the end of the current semester or quarter to discuss renegotiation of the FIA to include an approvable training provider. For activities other than education or training, schedule the participant as soon as possible to discuss renegotiation of the FIA to include an approvable service provider. Assist the participant finding another service provider.

Record the provider's refusal in participant case files and notify other PROMISE JOBS staff in your area. Report the situation to your PROMISE JOBS Coordinators at IWD.

Implementation:

Apply the new policy upon issuance of this memo for provider refusals that occur on or after March 1, 2009.

VERIFYING PROBLEMS OR BARRIERS TO PARTICIPATION

Current Policy *(PJPM, Referring Disabled People, Medical Examinations, pages 32-33, Treatment for Substance Abuse or Mental Health Issues as an FIA Option, page 74, Required Client Documentation, Written Verification, pages 221-222, FIA PARTICIPATION ISSUES, pages 240-262):*

Participants who claim a temporary or permanent disability that makes PROMISE JOBS participation limited or impossible must provide medical verification of their disability and the extent of any participation limitations. If the participant does not have a recent

medical history, the participant can be required to obtain a medical examination and to provide written documentation of the results.

Participants who reveal substance abuse or mental health issues that are affecting the family's ability to be self-supporting must obtain an assessment of the issue and provide medical verification of the issue to allow the treatment plan to be included in the FIA.

Participants who do not attend or participate in an FIA activity due to a reported problem or barrier can be required to provide verification of the problem or barrier to be excused from the failure to attend or participate. PROMISE JOBS may accept the participant's statement of a reported problem or barrier when there is no reason to question the participant's statement.

The following is clarification of current policy that is implied in the current PJPM but not specifically stated:

- A participant who claims they are not able to participate in FIA activities on a full-time basis due to a disability or other problem or barrier and who fails to provide verification of the problem or barrier after being notified in writing is expected to participate in FIA activities at a level that is equivalent to full-time employment or significant so as to move toward this level.

- A participant who claims a problem or barrier caused an issue with their participation in an FIA activity and the participant fails to provide verification of the problem or barrier after being notified in writing, PROMISE JOBS may decide not to excuse the participant for the issue. If the participation issue is not excused, the issue will result in imposition of an LBP unless the issue is one that requires a written reminder or letter and a written reminder or letter has not been sent.

A participant who fails to obtain a required medical examination or provide written documentation of the results of an examination after one written request has chosen an LBP.

Current Procedure:

When you determine that verification of a problem or barrier is needed, notify the participant in writing of the need to:

- Provide medical verification of a disability, mental health or substance abuse issue, illness of the participant or family member that resulted in failure to participate,

- Obtain a medical examination and to provide written documentation of the results, and

- Provide documentation or verification of a problem or barrier.

Issue form 470-0447, *Report on Incapacity,* to the participant to assist with obtaining medical verification.

Require a participant to participate in FIA activities at a level that is equivalent to full-time employment or significant so as to move toward this level if the participant claims they are not able to participate at this level due to a problem or barrier but the participant failed to provide verification of the problem or barrier after being notified in writing.

Schedule the participant an appointment to discuss renegotiation of the FIA when appropriate.

When participation in FIA activities becomes an issue, follow the policies described at in the PJPM, **Identifying Participation Issues** to determine if you need to attempt to resolve the issue or if the participant has chosen an LBP. If a participant claims a problem or barrier caused a participation issue and the participant fails to provide verification of the problem or barrier after being notified in writing, determine if you should excuse the participant for the issue.

If a participant fails to obtain a medical examination or to provide written documentation of the results of an examination after one written request, consider that the participant has chosen an LBP and refer the participant's case for a review. Make entry to start an LBP if a review concurs that the participant has chosen an LBP.

New Policy *(Legal reference: 93.5(1)"b", 93.10(3)"a"):*

A participant who fails to obtain a required medical examination or to provide written documentation of the results of an examination is not considered to have chosen an LBP.

A participant who fails to obtain a required medical examination or to provide written documentation of the results of an examination must participate in FIA activities at a level that is equivalent to full-time employment or significant so as to move toward this level.

New Procedure:

Continue to require a participant to obtain a medical examination when the participant claims a temporary or permanent disability or incapacity that makes PROMISE JOBS participation limited or impossible when the participant does not have a recent medical history.

Continue to notify a participant in writing of the need to obtain a medical examination:

- Include the requirements of obtaining the medical examination and providing written documentation of the results as a step in the FIA with a due date or,
- Send a written request for the verification with a due date.
- See **WRITTEN NOTICE TO CLIENT** for more information.

Allow a participant sufficient time to obtain the examination and provide the documentation as described at **TIME FRAMES FOR PROVIDING VERIFICATION** earlier in this memo.

Expect a participant who fails to obtain a required medical examination or to provide written documentation of the results of an examination to participate in FIA activities at a level that is equivalent to full-time employment or significant so as to move toward this level. Consider any needs or problems that are either verified or you have determined to accept the participant's statements without documentation. Schedule the participant to discuss renegotiation of the FIA, when necessary.

See the PJPM, **FAMILY INVESTMENT AGREEMENT, Family Investment Agreement Requirements** for more information.

Implementation

Apply the new policy to any request to obtain a medical examination and to provide written verification of the results of the examination that is due on or after March 1, 2009.

Stop any LBP that is effective March 1, 2009, or later for failure to obtain a medical examination or to provide written verification of the results of the examination.

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

PROMISE JOBS POLICY MEMO

TO: Lori Adams, DeAnn Barnhill, Paula Freeman, Jane Schockemoehl, Heidi Wicks, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Administrator, Division of Financial, Health and Work Supports

SUBJECT: **PROMISE JOBS MEMO #166**

DATE: November 19, 2009

Summary:

This PROMISE JOBS memo revises PROMISE JOBS policy. Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual.

This memo obsoletes the policy regarding the mileage rate increase discussed in *PROMISE JOBS Memo #163*, dated September 9, 2008. The policy regarding the Family Investment Agreement (FIA) Progress Review remains in effect and unchanged.

Effective Date:

December 1, 2009

New Policy:

Legal Reference: 441 IAC 93.110(6)"B"

The PROMISE JOBS mileage reimbursement rate for private transportation is decreased from $.34 per mile to $.30 per mile.

PROMISE JOBS staff need to use the new rate of **$.30 per mile** to calculate transportation payments for participation that will occur **on or after December 1, 2009.**

The PROMISE JOBS Provider Manual will be updated as soon as possible.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. If you have questions, please contact your PROMISE JOBS Coordinators at Iowa Workforce Development.

STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
CHARLES J. KROGMEIER, DIRECTOR

PROMISE JOBS POLICY MEMO

TO: Lori Adams, DeAnn Barnhill, Jane Schockemoehl, Heidi Wicks, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, Department of Human Rights
DHS Income Maintenance Supervisors and Administrators

FROM: Wendy Rickman, Administrator, Division of Adult, Children and Family Services

SUBJECT: **PROMISE JOBS MEMO #167**

DATE: August 11, 2010

Summary:

This PROMISE JOBS memo gives current procedures for the handling of Child Care Assistance (CCA) on FIP cases and an overview of existing CCA policies for PROMISE JOBS staff. This memo also informs PROMISE JOBS of revised policies and procedures due to recent FIP and Child Care policy changes and PJCase system changes. Specifically:

• Responsibility for CCA on FIP cases	Page 2
• Processing CCA Applications on FIP Cases	Page 7
• Determining Need for CCA on FIP cases	Page 10
• Effective Date of CCA assistance	Page 22
• Establishing the CCA Certification Period	Page 23
• Reviewing CCA Eligibility	Page 24
• Grace Period Following Denial of a FIP Application	Page 27
• Reinstatement After Effective Date of FIP Cancellation (Grace Period)	Page 33
• Grace Period Following Denial of a CCA Application	Page 37
• Reinstatement After Effective Date of CCA Cancellation (Grace Period)	Page 39
• PJCase System Changes	Page 42

Use the instructions in this memo in conjunction with PROMISE JOBS Memos 165, 167 and the PROMISE JOBS Provider Manual and in lieu of any contrary policy or procedure.

The PROMISE JOBS Provider Manual, EM 13-G, and EM 14-0, the PJCase System Manuals will be updated as soon as possible.

Please make this information available to PROMISE JOBS staff in each Service Delivery Region as quickly as possible. PROMISE JOBS staff, please direct any questions through your PROMISE JOBS Coordinators at Iowa Workforce Development. IM staff, please direct any questions through the DHS IM SPIRS Help Desk.

Specific Changes:

Responsibility for CCA on FIP Cases:

Policy:

Either DHS or PROMISE JOBS staff is responsible for determining eligibility for the child care assistance (CCA) program for families who receive Family Investment Program (FIP) assistance.

Procedure:

PROMISE JOBS will determine eligibility for and manage CCA on a FIP case when the parent or relative is referred to PROMISE JOBS and the FIA includes an activity in addition to employment or a protective need.

DHS will handle the child care on a FIP case when the parent or relative is not referred to PROMISE JOBS **and** when the parent is referred to PROMISE JOBS but:

- Employment is the only FIA activity, or
- Protective is the only child care need.

Comment:

Use the following table to determine who manages the child care for a FIP case:

Situation	Agency
Parent not referred to PROMISE JOBS (e.g. FIP Non-Needy Caretaker, Ineligible Alien or SSI Parent cases).	DHS
Employed, parent referred to PROMISE JOBS but in no other FIA activity.	DHS
Protective need, referred to PROMISE JOBS but in no other FIA activity.	DHS
Employed or protective need, parent referred to PROMISE JOBS and PROMISE JOBS adds another FIA activity. If other activity ends and PJ does not expect to schedule another FIA activity in the next 3 months: • Protective • Employment	Transfer to PROMISE JOBS • Transfer to DHS • PROMISE JOBS keeps

FIP eligibility ends	Transfer to DHS (as of effective date) if need continues
Joint FIP and CCA application	DHS or PROMISE JOBS **Meets CCA Need:** • DHS will approve CCA. • If FIP is approved: o DHS transfers to PROMISE JOBS if FIA activities in addition to employment or protective. o DHS keeps if employment or protective is only CCA need. **Does Not Meet CCA Need:** • DHS holds CCA app until FIP decision. o Transfers to PROMISE JOBS if FIP is approved. o Denies CCA if FIP is denied.

The following tables give the actions that need to be taken before transferring a KinderTrack (KT) child care case to DHS or PROMISE JOBS:

DHS Transfers Case to PROMISE JOBS - Steps DHS must take:	
1. Contact New Worker:	Send e-mail to the new worker or IWD's designated contact person (if worker name is unknown) and copy the DHS and IWD/PROMISE JOBS supervisor.
2. Provider Rate:	Check if the correct provider rate is entered in KT. If the rate needs to be changed or entered, DHS must make the entry because IWD/PROMISE JOBS cannot.
3. Provider Profile:	Check program codes for the Provider in Profile. If the Provider is not coded to take CCA through PROMISE JOBS, DHS must add PROMISE JOBS to the Provider's profile.
4. Family income in KT:	Zero out any income in KT before transferring to PROMISE JOBS.
5. Provider Not Approved:	Pend the Provider in KT when the Provider's application to be a CCA Provider is pending. Do not enter the $1 rate for a pending Provider in POSS or KT once KT is implemented in your Service Area.
6. Pending Payments:	Make entries to process any pending payment records.
7. Reported Change:	Tell the PROMISE JOBS worker about the reported change. Do not cancel the CCA case just because of

	the transfer.
8. Pending CCA Application:	Process a pending application when you have sufficient information to determine eligibility and processing is appropriate as described at *Client Applies for FIP/CCA at the Same Time* section on page 3.
9. Transfer:	• Change the worker name in KT to the PROMISE JOBS worker or IWD designee. • Send the PROMISE JOBS worker any needed documentation, i.e., the client's work or training schedule, provider information, protective child care need checklist, and application if applicable. • Do not send the paper case file. • Act on a transfer request within 2-3 days.

Once the case is transferred to PROMISE JOBS, PROMISE JOBS will need to review the KT case and make any needed updates to approve child care for FIA activities. Specific updates that may be needed:

- Update parent and child screens to activate new family members or deactivate now absent family members.
- Update the review date on the family screen.
- Update the Need screen, i.e. add Need for new FIA activities.
- Update child Schedules. Child schedules need to be coded as "PROMISE JOBS" rather than "CCA". You cannot change the program code on an existing schedule that needs to continue. Shorten the existing schedule coded under "CCA" with the last day of the current billing period. Create a new schedule under "PROMISE JOBS" beginning with the first day of the next billing period.
- Issue an NOD to cancel the shortened CCA schedule and to approve the PROMISE JOBS schedule.
    - Allow 10-day notice if reducing the schedule or the maximum number of approved units.
    - You can cancel the CCA schedule and approve the PROMISE JOBS schedule on the same NOD.
    - **Important!!** If you do not issue an NOD to cancel the shortened CCA schedule, KinderTrack (KT) will not recognize the change. As a result, KT will issue duplicate attendance sheets for the CCA schedule and the PROMISE JOBS schedule, which may result in duplicate payments.

PROMISE JOBS Transfers Case to DHS – Steps PROMISE JOBS Must Take:	
1. Contact New Worker:	Send e-mail to the new worker or DHS's designated contact person (if worker name is unknown) and copy the DHS and IWD/PROMISE JOBS supervisor.
2. Pending Payments:	Make entries to process any pending payment records.
3. Reported	• **No CCA Need:** Cancel CCA (issue an NOD to

Change:	cancel the schedule and send the provider a cancellation letter) when FIP cancels and it is apparent that there is no continued child care need. Give 10-day notice. Do not transfer the CCA case. • **CCA Need May Exist:** Tell the DHS worker about the reported change. Continue the CCA. Transfer the case (next item). DHS will complete a redetermination of eligibility and take the actions needed to change the schedule(s) from PROMISE JOBS to DHS.
4. Transfer:	• Change the worker name in KT to the DHS worker or DHS designee. • Send the DHS worker any needed documentation, i.e., the client's work or training schedule or provider information. • DHS will end the PROMISE JOBS schedule with the last day of the current billing period and create a CCA schedule with the first day of the next billing period. • When transferring to DHS as FIP has canceled, do not transfer any sooner than the effective date of FIP cancellation. Exception: If FIP is canceled due to an LBP and the client files a CCA application, you may transfer the case prior to the effective date of cancellation. • Do not send the paper case file. • Act on a transfer request within 2-3 days.

The current worker needs to process any payment records generated after a transfer. The payment record will be listed under the program code originally authorized for the period. Sort payment records by worker name rather than by program code.

Report all transfers and transfer issues to DeAnn Barnhill at IWD, and Mark Adams at DHS for tracking purposes during this pilot.

Effective Date:

These procedures were implemented for local DHS and PROMISE JOBS at the time the KinderTrack system was put into operation for the specific DHS service area.

Processing CCA Applications on FIP Cases:

Legal reference: 441 IAC 170.3(6); EM 13-G, Determining Eligibility

Policy:

Families may apply for Child Care Assistance (CCA) at the local DHS office in the county where the family resides or by completing an electronic application.

There are three forms a person can use to apply for CCA:

- *Child Care Assistance Application*, 470-3624 or 470-3624(S), or
- *Health and Financial Support Application*, 470-0462 or 470-0466 (Spanish) or
- *Child Care Assistance Review,* 470-4377 or 470-4377(S) when returned after the end of the certification period.

Families receiving FIP, including PROMISE JOBS participants, do not need to complete an application form to request CCA. A request for CCA is considered an "application".

Procedure:

PROMISE JOBS needs to continue to process a PROMISE JOBS participant's request for CCA assistance as described in the PJPM, EXPENSE ALLOWANCES, Child Care.

PROMISE JOBS may need to process a CCA application form in the following situations:

- When a PROMISE JOBS participant files a CCA application form even though not required.
- When a client who is not a PROMISE JOBS participant files an application for FIP and CCA at the same time.

Participant Files Unnecessary Application:

When a PROMISE JOBS participant files a CCA application form (even though not required), PROMISE JOBS needs to decide if the participant is reporting additional need on the application.

If the participant is not reporting an additional need, issue form 470-3915, *Notice of Decision: Child Care Assistance* to deny the application as unnecessary. Use the following text and references: Your application for Child Care Assistance is denied because you are already eligible. EM 13-G, Need for Service; 441 Iowa Admin. Code 170.2(2)"b".

If CCA eligibility exists for an additional need:

- Update KT information to address any changes reported on the application, i.e., need and schedules, and issue a *Notice of Decision* in KT to approve the changes.
- Renegotiate the FIA if the need is for an approvable FIA activity and the FIA does not include the activity.
- Issue form 470-3915, *Notice of Decision: Child Care Assistance* to deny the application as unnecessary. Use the text in the previous paragraph.

If the participant is reporting an additional need and CCA eligibility does not exist for the need, issue a *Notice of Decision* in KT to deny the application.

See the **Determining Need for CCA** section later in this memo for more information.

When a client who is not a PROMISE JOBS participant applies for FIP and CCA at the same time:

- DHS will process the CCA application when the family does not have an FIA-responsible parent or relative (non-needy caretaker relatives, ineligible alien parents and SSI parents).

- DHS and PROMISE JOBS need to proceed as follows with all other FIP/CCA applications:

Client Meets CCA Need and Other Eligibility Criteria (income, etc.):
DHS should approve the application as soon as possible but no later than 30 days from the application date. DHS will not hold a CCA application waiting for FIP to be approved if eligibility can be established before the FIP decision. If FIP is approved after the CCA is approved:
• DHS keeps the KT case when the need is employment or protective and the FIA includes no other activities.
• Otherwise, DHS will transfer the KT case to PROMISE JOBS.
If DHS is unable to approve CCA prior to FIP approval and the case will be handled by PROMISE JOBS (FIA includes activities other than work or protective needs), DHS will:
• DHS needs to call or e-mail the PROMISE JOBS worker to discuss the pending application and transfer.
• Transfer the KT case to the PROMISE JOBS worker.
• Send the PROMISE JOBS worker the application, the client's work or training or protective schedule, and the provider information, if available.
• PROMISE JOBS will approve the application for the CCA need as of the date of the CCA/FIP application or first day of need, whichever is later. PROMISE JOBS will not delay CCA approval while determining if the CCA need can also be an approvable FIA activity.

Does not meet a CCA need for service prior to the FIP approval:
DHS-CCA will hold the CCA application until the FIP determination is made.
▪ If FIP is denied, DHS will deny the CCA application for not meeting a need for service under CCA.

▪ **Work:** If FIP is approved and the CCA need is work, DHS will contact PROMISE JOBS to see if the client has other FIA activities.
  ▪ If there are no other FIA activities, DHS will process the application and retain the CCA case.
  ▪ If there are other FIA activities PROMISE JOBS will process the application. DHS-CCA will:
  • Call, e-mail or fax the PROMISE JOBS worker about the transfer.
  • Transfer the KT case to the PROMISE JOBS worker (see above).
  • Send the PROMISE JOBS worker the application, the client's work schedule, and the provider information, if available.
  • PROMISE JOBS will approve CCA as of the effective date of FIP eligibility or the first day of work, whichever date is later.
▪ **Job Search and School:** If FIP is approved and the CCA need is job search or training, DHS will:
  ▪ Call, e-mail or fax the PROMISE JOBS worker about the transfer.
  ▪ Transfer the KT case to the PROMISE JOBS worker.
  ▪ Send the PROMISE JOBS worker the application, the client's training schedule, and the provider information, if available.
  ▪ PROMISE JOBS will approve or deny the child care need requested in the application and determine if child care will be needed for the FIA activities. If approving:
  • PROMISE JOBS will approve CCA for FIA activities as of the effective date of FIP eligibility or the first day of participation in the activity, whichever is later. Unless the person is reconsidering a subsequent LBP, PROMISE JOBS cannot approve CCA until the person has signed an FIA and is approved for FIP.
  • For persons in a subsequent LBP, PROMISE JOBS will approve CCA effective the first day of the 20 hours of FIA activity once the person has signed an FIA.

Determining Need for CCA on FIP Cases:

Legal reference: 441 IAC 170.2(2)"b"; EM 13-G, Determining Eligibility, Need for Service

Policy:

For CCA eligibility to exist, the child or parents of the child must have one of the following needs:

- Training
- Employment
- Child protection
- Medical absence or incapacity
- Seeking employment
- Participation in an approved PROMISE JOBS activity

Procedure:

PROMISE JOBS needs to determine if an activity is an approvable child care need according to CCA policy when the activity is not an approvable FIA activity and PROMISE JOBS is handling the child care for FIA activities other than employment or protective.

Specific requirements for CCA needs are discussed in the following sections. Refer to 13-G, Determining Eligibility, Need for Service for more information.

Training

Child Care Assistance (CCA) Policy:

Families are eligible for CCA for a parent or relative to attend training when:

- The training will culminate in a specific goal, such as high school completion, improved English skills, or the development of specific academic or vocational skills.
- The training is on a full-time basis as defined by the training facility unless:
    - The number of credit hours to complete training is less than full-time status,
    - The required prerequisite credits or remedial course work is less than full-time status, or
    - Training is not offered on a full-time basis.
- The training is approvable under the PROMISE JOBS program.

Families are not eligible for CCA for a parent or relative to attend training when:

- Labor market statistics for a local area indicate low employment potential in the field the client is being trained in. Exceptions may be made when:
    - The client has a job offer before entering the training, or

    - The client is willing to relocate after training to an area where there is employment potential.
- The training is in a field with jobs that pay less than minimum wage,
- A client has a baccalaureate degree and wants to take additional college coursework unless the coursework is to obtain a teaching certificate or complete continuing education units and will not lead to a masters or other advanced degree.
- The course or training is one that the client has previously completed.
- If the client was previously enrolled in the same training and unable to maintain the cumulative grade point average required by the training or academic facility.

Child care provided while the parent participates in postsecondary education or vocational training has a 24-month lifetime limit.

PROMISE JOBS Policy:

When a parent's training is approvable under PROMISE JOBS, PROMISE JOBS includes the training as an activity in the family's FIA and provides child care and transportation needed to participate in the training. PROMISE JOBS may also provide assistance with direct education costs for certain training.

Training is approvable under PROMISE JOBS when:
- The training enables a participant to complete high school, improves their ability to read and speak English, or prepares the participant for a specific professional or vocational area of employment.
- Postsecondary training must lead to a specific vocational goal.
- The results of the participant's educational evaluation and the participant's current educational level demonstrate the participant is likely to succeed at the training. This does not apply to high school completion.
- The training is in an occupational field that labor market statistics or emerging business trends indicate employment potential.
- The training provider is approvable according to the PJPM and the provider must be willing to verify the participant's time and attendance in the training.
- Approvable activities:
    - Adult basic education
    - Continuing education units when needed to be recertified or retrained to reenter a field in which the participant was previously trained or employed or to maintain certification needed to remain employed.
    - Correspondence courses when the courses are required but not offered by an educational facility attended by the participant.
    - English as a second language.
    - High school or GED completion.
    - On-line or distance learning. (See PJ Memo 165 for more information).
    - In-state training. Out of state is approvable only when:
        - Similar training is not available in Iowa.
        - Relocation required to attend an in-state facility would be unnecessary if attending an out-of-state facility, or

        - The only in-state facilities within commuting distance are private schools where tuition costs are higher than at an out-of-state facility within commuting distance.
- Postsecondary education up to and including a baccalaureate degree program:
    - A participant with no postsecondary education may be approved for training resulting in a certificate of program completion or an academic degree, such as an associate or baccalaureate degree.
    - Participants who do have a high school diploma or GED may be required to do so before courses leading to an associate degree or higher are approved.
    - A participant who has successfully completed a postsecondary educational program that resulted in less than a baccalaureate degree may be approved for further training in certain circumstances. See PJ Memo 165 for more information.
- Prerequisite courses required by the selected training program.
- Remedial coursework for one term when needed as determined by testing conducted by the training facility.
- Summer school.

Training is not approvable under PROMISE JOBS and cannot be included in the FIA when:

- Training will lead to a degree in general studies or is a program that will not lead to a specific occupational outcome cannot be included in a participant's FIA.
- Training is in an occupational field that labor market statistics or emerging business trends do not indicate employment potential. Exceptions:
    - The participant has a documented job offer in the field before entering the training, or
    - The participant is willing to relocate after training to an area where there is employment potential.
- The participant has a baccalaureate degree unless the participant's physical or mental status has changed to such an extent that the past education is no longer appropriate. See PROMISE JOBS Memo 165 for more information.
- Training or a course that the participant has previously completed.
- Any course or training in a field in which the participant does not intend to seek employment after the training is completed except when the reason for not seeking employment is receive further education and the education is a planned progression in a specific career path. See PJ Memo 165 for more information.
- The training program does not relate to the participant's identified vocational goal.
- Training activities for which the participant has failed to earn the grades required for admission.
- Training is in a field in which the participant will not be able to be employed due to known criminal convictions or founded child or dependent adult abuse.
- Out-of-state training except as stated above and in the PJPM.
- Training for jobs paying less than state minimum wage.

- Training that exceed the known length of time during which the participant will remain eligible for FIP assistance and the participant does not have a reasonable plan for completing the training after eligibility for FIP and PROMISE JOBS ends. A reasonable plan may include, but is not limited to, school loans, grants, and scholarships.

Child care provided while the parent participates in postsecondary education or vocational training has a 24-month lifetime limit. Child care payments issued by DHS for child care provided for approvable postsecondary or vocational training and for care that occurred before March 1, 2009, do not count towards the PROMISE JOBS 24-month limit. See PROMISE JOBS Memo 165 for more information.

Procedure:

The policy that defines approvable training for CCA and PROMISE JOBS differs. As a result, it is possible that a parent or relative's training will be not be approvable as an FIA activity yet the training will meet the requirements of approvable training under CCA. When training is not approvable as an FIA activity, the parent or relative must participate in other FIA activities for which PROMISE JOBS may be providing CCA.

When PROMISE JOBS is responsible for CCA for a family and PROMISE JOBS denies a parent's or relative's request to include training in the FIA as the training does not meet PROMISE JOBS requirements, PROMISE JOBS needs to determine if the training is approvable under CCA.

If the training is not approvable as an FIA activity or under CCA, PROMISE JOBS:

- Issues form 470-0602, *Notice of Decision,* to deny the training plan as an FIA activity. Sample notice text follows: "Your request to include training in your family investment agreement and for transportation assistance to attend training is denied because…" and,
- Issues a *Notice of Decision* in KT to deny the application (or request) for child care.

If the training is not approvable as an FIA activity but approvable under CCA, PROMISE JOBS:

- Issues form 470-0602, *Notice of Decision,* to deny the training plan as an FIA activity. Sample notice text follows: "Your request to include training in your family investment agreement and for transportation assistance to attend training is denied because…" and,
- Issues a *Notice of Decision* in KT to approve the application (or request) for child care.

In addition, when the training is not approvable as an FIA activity but approvable under CCA:

- Do not include the training in the FIA. The participant will need to participate in FIA activities that are approvable under PROMISE JOBS on a full-time basis

unless barriers prohibit this level of involvement. "Full-time" is defined as an average of 30 hours per week. Work with the participant to select activities that can be scheduled outside of the training schedule.

- Do not require the participant to provide monthly time and attendance for training that is not approvable for PROMISE JOBS.
- Review CCA eligibility at least once every six months. See the Reviewing CCA Eligibility section in this memo for more information.

Reminder!! PROMISE JOBS may place a participant on academic probation at the time the participant requests training as an FIA activity when:

- The educational evaluation identifies factors with the participant's ability or past circumstances that could make successful completion of the training difficult.
- The participant was previously unable to maintain the cumulative grade point average required by a training facility in training that is comparable to the training being requested.
- ♦ The participant enrolled but did not complete a previous education activity and did not have mitigating circumstances.

See PROMISE JOBS Memo 165 for more information regarding academic probation.

When PROMISE JOBS is responsible for CCA for a family and FIP eligibility ends:

- If CCA need continues, PROMISE JOBS will transfer the KT case back to DHS.
- If CCA need does not continue, PROMISE JOBS will cancel CCA. Give timely notice when required.

See Responsibility for CCA on FIP Cases earlier in this chapter for more information on procedures for transferring cases.

Use the policies and procedures in this section in conjunction with policies regarding approvable training for PROMISE JOBS that are found in PROMISE JOBS Memos 164 and 165 and in the PROMISE JOBS Provider Manual, Postsecondary Training. Policies regarding approvable training for CCA are found in EM 13-G, Need for Service, Training.

Comment:

Examples:

1. Ms. A, a PROMISE JOBS participant, requests to include a specific training in her FIA and needs assistance with transportation and child care to attend the training. This is the first time Ms. A has enrolled in the specific training. PROMISE JOBS completes an educational evaluation. The results of the evaluation indicate that Ms. A is **not** likely to succeed at the training. PROMISE JOBS has two options:

a. Place Ms. A on academic probation and include the training in the FIA. Issue a *Notice of Decision* in KT to approve the application (or request) for child care.
b. Deny the training plan. Issue a *Notice of Decision* that says "Your request to include training in your family investment agreement and for transportation assistance to attend training is denied because of the results of your educational evaluation." Do not include the activity in the FIA and do not require Ms. A to provide time and attendance for the training. Require the participant to participate in other FIA activities. Issue a *Notice of Decision* in KT to approve the application (or request) for child care.

2. Same as example 1 except that Ms. A is a FIP/CCA applicant and has been enrolled in the training. Documentation from the training facility shows that Ms. A has been unable to maintain the cumulative grade point average required by the training facility in the two prior semesters. PROMISE JOBS has two options:
   a. Place Ms. A on academic probation and include the training in the FIA. Issue a *Notice of Decision* in KT to approve the application for child care.
   b. Deny the training plan. Issue a *Notice of Decision* that says "Your request to include training in your family investment agreement and for transportation assistance to attend training is denied because of the results of your educational evaluation." Do not include the activity in the FIA and do not require Ms. A to provide time and attendance for the training. Require the participant to participate in other FIA activities. Issue a *Notice of Decision* in KT to deny the application for child care. Use the notice that says CCA is denied because "…you are not enrolled in an approvable training program."

Employment

Legal reference: 441 IAC 170.2(2)"b"

Policy:

Families are eligible for Child Care Assistance (CCA) when the parent or parents are employed 28 or more hours per week or an average of 28 or more hours per week during the month.

Participants in approved PROMISE JOBS activities and people who receive FIP or whose earned income was taken into account in determining the needs of FIP recipients are eligible for CCA regardless of hours of employment, as long as there is a need for child care services.

Assistance may be provided for:
- The hours of employment of a single parent.

- The hours when both parents in a two-parent home are working or meet another need for service. See 13-G, Multiple Needs for Service for more information.
- Sleep time during the daytime hours if the parent works at least six hours between 8:00 p.m. and 6:00 a.m. and:
  - There is not another parent in the home, or
  - The other parent in the home is unable to care for the child during the daytime hours because that parent meets a need for service during those hours.
- When a parent works from home and is scheduled for set work hours.

NOTE: Court-ordered community service is not considered employment unless the client is a PROMISE JOBS participant and the community service is included in the FIA. People who state they are working in exchange for rent or utilities are not considered employed.

See 13-G, Need for Service, Employment for more information.

PROMISE JOBS Procedure:

When PROMISE JOBS is responsible for CCA for a family that includes an employed parent or relative, determine if child care is needed for employment of a PROMISE JOBS participant without regard to hours of employment.

PROMISE JOBS will remain responsible for CCA as long as FIP eligibility exists even if the other activity ends. When FIP eligibility ends:

- If CCA need continues, PROMISE JOBS will transfer the KT case back to DHS. For example, if the person is employed 28 or more hours per week or an average of 28 or more hours per week during the month.
- If CCA need does not continue, PROMISE JOBS will cancel CCA. Allow timely notice when required. For example, the person is employed less than 28 hours per week or less than an average of 28 hours per week and there is no other child care need.

See Responsibility for CCA on FIP Cases earlier in this chapter for more information on procedures for transferring cases.

Comment:

Examples:

1. Mr. A is employed and works 11:00 p.m. to 7:00 a.m. Monday through Friday. Mrs. A is scheduled for Workplace Essentials and job Club throughout the month of August. They have one child age 2. There is no need for child care while Mr. A works because Mrs. A is home with the child.

PROMISE JOBS can approve child care for up to two half-day units Tuesday through Friday to allow Mr. A to sleep after he works a night shift and to allow Mrs. A to attend Workplace Essentials.

2. Mr. B applies for child care for his 2-year-old son. Mr. B works from home and works 30 hours a week as a computer technician. Mr. B has to be on line to provide support to customers from 8 AM to 2 PM Monday through Friday. Mr. B meets the need for service because he is unavailable to care for his child during his work hours.

3. Ms. D applies for child care for her two children. Ms. D works from home as a medical transcriptionist. Ms. D does not have a set work schedule. She is only required to complete her assigned work. Ms. D does not meet the need for service because she can work around the needs of her children.

Child Protection

Legal reference: 441 IAC 170.2(2)

Policy:

Families are eligible for CCA when child care is part of a protective service plan to prevent or alleviate child abuse or neglect. A child is eligible for protective child care when the child has a case plan that identifies protective child care as a required service and either:

- Is a member of a family with a confirmed case of child abuse; or
- Due to family circumstances, is considered to be at risk of abuse or neglect, and a service referral to family-centered services has been made.

The family must have been referred to a DHS service worker who has:

- Evaluated the family's need for family-centered services, and
- Made appropriate plans to offer or arrange services.

The DHS service worker determines if there is a protective need for child care.

See EM 13-G, Need for Service, Child Protection for more information.

PROMISE JOBS Procedure:

When PROMISE JOBS is responsible for CCA for a family when the parent or relative has FIA activities other than employment and a DHS service worker has determined there is a protective need for child care, the service worker will transfer the KT case to PROMISE JOBS.

When transferring a KT case to PROMISE JOBS, the service worker will forward the following to PROMISE JOBS:

- Documentation of schedule (from application or as otherwise established) showing how the current number of units was determined.

- Protective child care need narrative or checklist if used. (A standard form is being created for Quality Control purposes, but is not yet released for use).

When reviewing eligibility on a case with a protective need, contact the designated service worker to confirm continued protective need. Client contact may not be needed to complete the review. Document the name of the service worker in the KT Narrative when a case with a protective need is transferred to you so you know who to contact at review time.

When PROMISE JOBS is responsible for CCA for a family and FIP eligibility ends:
- If CCA need continues, PROMISE JOBS will transfer the KT case back to DHS.
- If CCA need does not continue, PROMISE JOBS will cancel CCA. Give timely notice when required.

See Responsibility for CCA on FIP Cases earlier in this memo for KT case transfer procedures. See the Reviewing Eligibility section later in this Memo and EM 13-G, Reviewing Eligibility for more information regarding the review process.

Medical Absence or Incapacity

Legal reference: 441 IAC 170.2(2)“b”

Child Care Assistance (CCA) Policy:

Families are eligible for CCA for a limited period when a parent who is normally employed or pursuing education, or the parent who would normally care for the child while the other parent works or attends school is unable to do so because the parent is:
- Absent due to inpatient hospitalization,
- Absent due to outpatient treatment for a physical or mental illness, or
- Present in the home but unable to care for the child due to medical incapacity.

NOTE: Drug and alcohol treatment, either inpatient or outpatient, can be court ordered or voluntary. In most situations, the CCA worker will determine eligibility for child care.

If the Department is working with the family and the client has been court-ordered to attend drug or alcohol treatment, talk to the service worker to determine if protective CCA is part of the case plan for the family.

If protective child care is not part of the case plan, the CCA worker determines eligibility. Supervisory approval is required when more than two units of care are

approved per 24-hour period, up to a maximum of four units per day. CCA cannot pay for 24-hour care.

Participation in support groups, such as Alcoholic Anonymous or Narcotics Anonymous, is not considered treatment and does not meet the need for service for medical absence or incapacity.

The intent of this policy is to provide payment for child care in order for a parent to maintain employment or pursue training, or to allow a parent to recover from a medical condition so that they may resume employment or training. Specifically,

- Allow one parent in a two-parent household to continue to work or pursue training while the other parent is temporarily unable to work, attend training, or provide care for the children.

- Provide child care for a single parent who is temporarily unable to work, attend training, or provide care for the children.

  Note: In the two situations above, the incapacitated parent is expected to return to employment or training, or to resume caring for their child once the medical issue is resolved.

- Allow one parent in a two-parent household to continue to work or pursue training when the other parent has a long-term medical condition that prevents them from working, attend training, or providing care for the children.

Documentation from the parent's medical provider is required before CCA can be approved for medical absence or incapacity reasons.

Care should be limited to a maximum of one month (30 days), unless the physician indicates a specific period of time that child care will be needed. After the authorized period of care expires, additional child care may be approved if the family provides new documentation from their physician to verify continued need.

PROMISE JOBS Policy:

PROMISE JOBS participants are eligible for child care needed to attend mental health and substance abuse treatment when the treatment is part of the FIA.

See PROMISE JOBS Provider Manual, Treatment for Substance Abuse or Mental Health Issues as an FIA Option for more information on PROMISE JOBS policy.

PROMISE JOBS Procedure:

When PROMISE JOBS is responsible for CCA for a family and a parent requests child care asks for child care due to a medical absence or incapacity and the child care is not needed for an approvable FIA activity, determine if need exists under CCA policies. This situation may occur when a parent is not in the home and is receiving inpatient hospital care or in the home and unable to care for the child due to medical incapacity.

Obtain detailed documentation from the parent's medical provider and place it in the case file before approving child care for medical absence or incapacity reasons. You may request a *Report on Incapacity*, form 470-0447, a letter from the physician, or any other reasonable documentation that verifies the need for care.

Obtain supervisory approval before approving more than two units of care per 24-hour period, up to a maximum of four units per day. Do not approve 24-hour care.

If approvable under CCA and the care is not needed for an approvable FIA activity, limit care to a maximum of one month (30 days), unless the physician indicates a specific period of time that child care will be needed. After the authorized period of care expires, additional child care may be approved if the family provides new documentation from their physician to verify continued need.

If approvable under CCA and the care is not needed for an approvable FIA activity, PROMISE JOBS issues a *Notice of Decision* in KT to approve the application (or request) for child care.

If the child care need is not for an approvable FIA activity or under CCA, PROMISE JOBS issues a *Notice of Decision* in KT to deny the application (or request) for child care. KT includes a denial reason to use when there is no need due to medical absence or incapacity.

Comments

Examples:

1. Mr. F is receiving CCA through PROMISE JOBS for his child while he works part-time and participates in other PROMISE JOBS activities. Mr. F is injured in a car accident. His physician indicates that Mr. F will be unable to work or care for his children for the next six weeks. As long as Mr. F meets all of the other CCA eligibility requirements, PROMISE JOBS can approve CCA for the six-week recovery period.
2. Mr. and Mrs. C receive CCA through PROMISE JOBS for their 2 children for the time that Mr. C works and Mrs. C participates in other FIA activities at the same time. Mrs. C will be admitted to the hospital for outpatient surgery and her physician indicates that Mrs. C will be unable to care for the children for two weeks while Mr. C works. As long as the family meets all of the other CCA

eligibility requirements, PROMISE JOBS can approve child care for the time that Mr. C works.

Refer to 13-G, Medical Absence or Incapacity for more examples.

Seeking Employment

Legal reference: 441 IAC 170.2(2)"b"

Policy:

Families are eligible for Child Care Assistance (CCA) when the parent or parents are looking for employment.

For families who do not have a parent referred to PROMISE JOBS, child care for job search is limited to only those hours the parent is actually looking for employment and travel time. CCA may be approved only for one 30-consecutive-day period in any 12-month period. Approve a job search plan after consultation with the parent. The plan shall last no longer than 30 consecutive days, or a calendar month, whichever is longer.

PROMISE JOBS participants may be approved for child care needed to participate in individual job search or structured job search. PROMISE JOBS bases the number of approvable units on the anticipated hours of participation according to the job search plan. PROMISE JOBS participants may also be approved for child care needed to make an unplanned job contact.

PROMISE JOBS Procedure:

For families with a parent or relative referred to PROMISE JOBS who request child care to look for employment, PROMISE JOBS will include individual or structured job search activities in the FIA and approve child care for the anticipated hours that will be needed to participate according to the job search plan. When the parent or relative contacts PROMISE JOBS to request child care to make an unplanned job contact and job search is not the current FIA activity, PROMISE JOBS can approve child care needed for the unplanned contact without renegotiating the FIA.

Since PROMISE JOBS policy regarding job search is more flexible regarding job search, PROMISE JOBS should not need to apply CCA policy to determine eligibility for child care for job search.

See EM 13-G, Seeking Employment for more information on CCA policy. See PROMISE JOBS Memos 162 and 165, and the PROMISE JOBS Provider Manual for more information regarding PROMISE JOBS job search policies.

Effective Date:

All of the prior procedures for handling child care on FIP cases were implemented for local DHS and PROMISE JOBS at the time the KinderTrack system was put into operation for the specific DHS service area.

Effective Date of CCA Assistance

Legal reference: 441 IAC 170.3(3)

Policy:

The effective date of assistance for a CCA application shall be the date of application or the date the need for service began, whichever is later.

Procedure:

Families receiving FIP, including PROMISE JOBS participants, do not need to complete an application form to request CCA. A request for CCA is considered an "application".

When determining CCA eligibility for a family that is receiving FIP and an application form is not required, PROMISE JOBS determines the CCA effective date as follows:

- When CCA is needed to participate in an FIA activity that is not otherwise approvable under CCA, the effective date of CCA is the date the person signs the FIA or the date there is a need for CCA to participate in an approved PROMISE JOBS activity, whichever is later.
- When CCA need exists prior to the date the FIA is signed, even if not for an FIA activity, the effective date of CCA is the latter of:
  - The effective date of FIP assistance,
  - 30 days prior to the date of application (request) for CCA, or
  - The date the need for service began.
- For families needing protective child care service, the effective date of assistance is the date the family signs form 470-0615, Application for All Social Services.
- When child care services are provided under a court order, the effective date of assistance shall be the date specified in the court order or the date of the court order if no date is specified.

When approving an application for a family whose eligibility has been denied for not returning requested information, but who subsequently provides the information as well as verification of all changes in circumstances within 14 days of the denial, the effective date of assistance is the date the **final** piece of information required to establish eligibility is provided. See the sections later in this memo called Grace Period Following Denial of FIP Application and Grace Period Following Denial of CCA Application for more information.

Effective Date:

Apply the change that allows CCA to be approved for up to 30 days prior to the date of application (request) retroactively for families on FIP who requested CCA on or after April 1, 2010.

All other policies discussed have been added to EM 13-G to clarify existing policy.

Establishing the CCA Certification Period

Legal reference: 441 IAC 170.3(1)"c"

Policy:
Certification periods cannot be longer than the end of the sixth month after the effective date of CCA approval.

Procedure:

Base the length of the certification on the household's circumstances. Use the following chart to assign the certification period:

Need for service	Certification length
Training	Match the certification to the school term – no longer than the end of the sixth month after the effective date.
Employment	No longer than the end of the sixth month after the effective date.
Assessment, individual job search, workplace essentials, job club, work experience, community service, substance abuse or mental health treatment, and other short-term activities	Match the certification to when you expect the activity to end - no longer than the end of the sixth month after the effective date. If activities are consecutive with consistent child care need, approve for all and match the certification to when you expect the last activity to end.
Child protection	No longer than the end of the sixth month after the effective date.
Medical absence or incapacity	Thirty days, the length of time the physician indicates or a maximum of six months.
Multiple needs	Base the certification on the need with the shortest certification period listed in this chart

PROMISE JOBS should align the end of the CCA certification period to the month that the next FIA review is due when possible and appropriate.

Reviewing CCA Eligibility

Legal reference: 441 IAC 170.3(5), 170.3(1) "d," 170.4(2)

Policy:

Review CCA eligibility and the number of units the family is eligible for prior to the end of the certification period and at least once every six months.

At review time, the client is required to submit form 470-4377, *Child Care Assistance Review* form. This form must be complete. A review form is considered complete if:

- All items are answered including the client's work schedule, and
- The form is signed and dated by the applicant, and
- The form is accompanied by all verification needed to determine continued eligibility, such as actual income, hours worked, student status and school schedule.

Note: Review requirements apply to all families receiving CCA.

Under former policy, families receiving FIP did not need to complete the review form 470-4377*, Child Care Assistance Review*.

Procedure:

PROMISE JOBS needs to determine the CCA certification period and review date at the time CCA is approved. Select a date that is no longer than the end of the sixth month after the effective date of CCA approval.

Enter the CCA review date in the KT system when approving CCA for the family. Use the table in the preceding Establishing the Certification Period section to help you determine the end of the certification and review date. Do not enter a date that is longer than the end of the sixth month after the effective date of CCA approval.

When a CCA review will be due, the KT system or the PROMISE JOBS worker issues form 470-4377, *Child Care Assistance Review*, to the client at least 30 days, but not more than 45 days, before the end of the certification period.

When the KT system issues the review form:

The KT system generates a Review Alert to the PROMISE JOBS worker and a *Child Care Assistance Review,* form 470-4377, to the client 45 days prior to the Review Date **when the Review Date is 45 days or more from the date the CCA**

approval is entered. PROMISE JOBS needs to review CCA eligibility prior to the KT Review Date.

KT also issues a Schedule Alert to the PROMISE JOBS worker 10 days before the end date of child's schedule.

When the worker needs to issue the review form:

KT does not issue a Review Alert or a *Child Care Assistance Review,* form 470-4377, when the Review Date is less than 45 days from the date CCA is approved.

When a client's CCA certification period is less than 45 days as the client's FIA includes several short-term activities, PROMISE JOBS needs to issue *Child Care Assistance Review,* form 470-4377, unless the client has completed a review form within the last five months.

Issue the review form to the client at least 30 days, but not more than 45 days, before the end of the certification period. For clients with short CCA certification periods due to several short-term FIA activities, require the client to complete the *Child Care Assistance Review* form at the time you are completing the FIA review. Allow the client at least ten calendar days to submit a review form.

- Use KT to alert you to send the review form. Select **Family>RFI**. Click on **CCA Review Form** and **Edit**. Enter the date you want KT to send you an alert to send the review form in the **Date Requested** field and the **Date Due** field.

- Use KT to issue the review form:
  - Access **Family>Summary** and select the **Child Care Assistance Review Form** option.
  - Enter **Due Date**. Allow 10-days from the date you will mail the review form.
  - Enter the last day of the certification period as the **Close Date**.
  - Print the form and mail it to the client.

- Once you send the form, you can use the **KT Family>RFI** function to track the date it is due.

If the client fails to return the review form, it is **not** necessary to send a *Notice of Decision: Child Care Assistance* to cancel CCA **if** the original approval notice provided the beginning and ending dates of eligibility.

If the original approval notice did not include the ending date of eligibility due to incomplete KT data entry (i.e., failure to enter a Review date), you will need to send a *Notice of Decision: Child Care Assistance,* form 470-4558, to cancel CCA for failure to return the CCA review form. Allow ten days notice.

If the client returns a complete review form along with all required verification and:

- The family remains eligible for CCA, issue form 470-4558, *Notice of Decision: Child Care Assistance*, to inform the family and the child care provider of the new certification period and any changes in eligibility. The effective date of changes in eligibility is the first day of the new certification period.
- The family is no longer eligible for CCA, issue form 470-4558, *Notice of Decision: Child Care Assistance*, to cancel the CCA with timely notice or at the end of the certification period, whichever is sooner.

If the client returns an incomplete review form, send a request for the needed information. Allow the client ten days to return the information. If the information is returned, follow the procedures above for processing a complete review form.

If the family does not return the requested information by the due date, cancel the case. Issue a *Notice of Decision: Child Care Assistance* canceling the case with timely notice or at the end of the certification period, whichever is sooner.

If the family returns the requested information after a *Notice of Decision: Child Care Assistance* canceling the case is issued, follow the policies and procedures outlined under **EM 13-G, Reinstatement** to determine whether the case can be reinstated. If the case can be reinstated, follow the procedure above for processing a complete review form.

Effective Date:

The policies regarding establishing certification periods clarify existing policy.

The policy that requires PROMISE JOBS participants to provide a complete 470-4377*, Child Care Assistance Review* to continue receiving CCA is effective upon receipt of this memo:

- For clients with CCA certification periods of 45 days or longer, require the client to complete the *Child Care Assistance Review* form at the time you are completing the next FIA review.

- For clients with CCA certification periods of less than 45 days, require the client to complete the *Child Care Assistance Review* form at the time you are completing the next FIA review.

Grace Period Following the Denial of a FIP Application:

Legal reference: 441 IAC 40.23(4)

Policy:

When a FIP application is denied for failure to provide requested information, eligibility for FIP can be reconsidered without a new application if all necessary information to establish eligibility, including verification of any changes, is provided within 14 days of the date on the Notice of Decision (NOD) denying the application. If eligibility is established, the effective date of FIP is the date all of the information is provided.

When a FIP application is denied for failure to attend the FIP application interview, eligibility for FIP can be reconsidered without a new application if the interview is completed and all necessary information to establish eligibility, including verification of any changes, is provided within 14 days of the date on the Notice of Decision denying the application. If eligibility is established, the effective date of FIP is the date the interview is completed or the date all of the information is provided, whichever is later.

If a Family Investment Agreement (FIA) was signed before the application was denied, that FIA will be reinstated if the application is reconsidered during the grace period and eligibility is established. If the required FIA has not yet been signed, the agreement must be signed within the 14-day period for eligibility to be redetermined. If a PROMISE JOBS appointment is not available to allow for the completion of the FIA before the end of the 14-day period, Income Maintenance (IM) will inform the family that they will need to file a new application.

The grace period does not apply to FIP applications that are denied for reasons other than failure to provide requested information or failure to attend the FIP application interview. This means that the grace period does **not** apply when a FIP application is denied for failure to attend an FIA interview or for failure to complete 20 hours of work activities when reconsidering the choice of a subsequent LBP.

IM Procedure:

When IM denies a FIP application for failure to provide requested information or for failure to attend the application interview, IM will allow a 14 calendar day “grace period” to correct the reason for denial. IM will count the day after the date printed on the NOD denying the application as the first day of the grace period. If the 14th day falls on a weekend or holiday, the 14th day is extended to the next working day that there is regular mail service.

When IM denies a FIP application for **failure to provide requested information**, IM will reconsider FIP eligibility without a new application if all necessary information to establish eligibility is provided within 14 days of the date on the Notice of Decision denying the application. If IM determines eligibility, IM will approve FIP as of the date that all of the information is provided.

When IM denies a FIP application for **failure to attend the FIP application interview**, IM will reconsider FIP eligibility without a new application if the interview is completed and all necessary information to establish eligibility, including verification of any changes, is provided within 14 days of the date on the Notice of Decision denying the application. If eligibility is established, the effective date of FIP is the date the interview is completed or the date all of the information is provided, whichever is later.

If the required FIA has not yet been signed and there is an FIA appointment available within the grace period, IM will schedule the FIA appointment and refer the person to PROMISE JOBS as follows:

- Use the PJCase Calendar to schedule an FIA appointment for the person.
- Complete and provide the applicant with form 470-3897, *FIA Appointment* and send a copy to PROMISE JOBS via e-mail.
- Provide the applicant with a copy of form 470-0806 or 470-0806(S), *Self-Assessment*
- It is recommended that IM re-pend FIP in this situation. If IM re-pended FIP and the person is in PJCase with an applicant JOBS code:
    - PROMISE JOBS will be able to enter that an FIA was signed or not signed in PJCase.
    - PJCase will send an e-mail to inform IM if the FIA-responsible person signed an FIA or did not sign an FIA.
    - PJCase will deny the FIP application in ABC if an FIA is not signed.
- If IM does not re-pend FIP, ABC will not allow IM to enter an applicant JOBS code for the FIA-responsible person and ABC will not send a systematic referral to PJCase. If IM does not re-pend FIP, IM will need to refer the person as follows:
    - Use the PJCase Calendar to schedule an FIA appointment for the person.
    - Complete and provide the applicant with form 470-3897, *FIA Appointment* and send a copy to PROMISE JOBS via e-mail and explain that the case is not active or pended in ABC and a system referral will not be generated.
    - Provide the applicant with a copy of form 470-0806 or 470-0806(S), *Self-Assessment.*
    - **Note:** PROMISE JOBS will not be able to use PJCase to inform IM if the FIA-responsible person signed an FIA or did not sign an FIA since the person is not referred in ABC or PJCase with a “participant” or “applicant” JOBS code. IM will need to make entry to deny FIP as PJCASE will not.

If an FIA appointment is not available within the grace period, IM will inform the family that they need to file a new application.

IM will take no further action if the information is not provided or the FIP interview is not completed by the 14th day.

When IM has denied a FIP application for failure to provide requested information or for failure to attend the application interview and the applicant was in the process of reconsidering a subsequent LBP at the time of denial, the applicant must cure the reason for denial and complete the actions needed to end the LBP by the end of the

14-day grace period. This means the applicant must sign an FIA and complete up to 20 hours of PROMISE JOBS activity as stated in the FIA by the end of the 14-day grace period.

If it is reasonable for the applicant to cure the reason for denial and complete the actions needed to end the LBP within the grace period, IM will send PROMISE JOBS an email that explains that the application is being reconsidered and that gives PROMISE JOBS the last day of the grace period:

- PROMISE JOBS will make entry in PJCase to stop the LBP if the applicant completes the action needed to end the LBP.
- If PROMISE JOBS determines the applicant has abandoned the reconsideration attempt, PROMISE JOBS will make entry in PJCase to report the abandonment to IM.
    - If the applicant cured the reason for denial, IM will issue an NOD saying that the application remains denied due to the LBP.
    - If the applicant did not cure the reason for denial, IM will take no further action.

If it not reasonable for the applicant to cure the reason for denial and complete the actions needed to end the LBP within the grace period, IM will inform the family that they will need to file a new application.

PROMISE JOBS Procedure:

If a Family Investment Agreement (FIA) was signed before a FIP application was denied and IM approves FIP as the client corrects the denial within the grace period, consider the FIA as reinstated. When IM's approval entry is processed, the PJCase system will:

- Send you an e-mail to inform you of the approval. The e-mail will include the FIP application date and the FIP effective date.
- Re-display the date of the previously signed FIA in the Active FIA Date field on the PJCase Person screen.

Proceed with case management of the FIA steps as soon as you are notified that FIP is approved:

- Issue any written notices needed for FIA activities that are to begin upon FIP approval. Issue a notice even if the start date of the first FIA activity is adequately specified in the FIA when FIP is approved under the application grace period. Reschedule an activity for a later date when the start date is less than 5 working from the date the notice will be mailed unless the client is already participating in the activity (i.e. employment or training).
- Issue transportation and other supportive payments that are needed prior to participation in FIA activities that are to begin after FIP approval. The effective date for these PROMISE JOBS supportive payments is the FIP effective date or the first day of need, whichever is later.
- Child care:

  - If no active CCA case, approve CCA needed to participate in FIA activities as of the FIP effective date or first day of need, whichever is later.
  - If active CCA case is with DHS and the FIA includes activities other than employment or protective, contact DHS to ask that the KT case be transferred to you. Update KT as needed upon transfer (update need, end CCA schedule and create PROMISE JOBS schedule and issue an NOD to cancel the CCA schedule and approve the PROMISE JOBS schedule). Approve any additional CCA units needed for FIA activities that begin after FIP approval as of the FIP effective date.
  - If active CCA case is with PROMISE JOBS (i.e. child care was approved for the applicant to complete 20 hours of PROMISE JOBS activity), approve any additional CCA units needed for FIA activities that begin after FIP approval as of the FIP effective date or first day of need, whichever is later.
  - If active CCA case and the only FIA activity is employment or protective, DHS will continue to handle the CCA.
- The FIP effective date is displayed on the PJCase Person screen.

If an FIA was not signed before a FIP application was denied, the applicant must sign an FIA within the 14-day grace period. If an FIA appointment **cannot be** scheduled before the end of the period, IM will inform the applicant that they must reapply.

If the applicant has not yet signed an FIA and an FIA appointment **can be** scheduled before the end of the grace period, IM will schedule the FIA appointment and refer the person to PROMISE JOBS (see IM Procedures in the prior section*).*

If IM re-pended FIP in ABC, enter that an FIA was signed or not signed in PJCase and IWorks. Your PJCase entry will cause PJCase to:

- Send an e-mail to inform IM if the FIA-responsible person signed an FIA or did not sign an FIA.
- PJCase will deny the FIP application in ABC if an FIA is not signed.

If IM does not re-pend FIP, you will not be able to enter that an FIA was signed or not signed in PJCase since the person will not be referred to PROMISE JOBS as an applicant. After the FIA appointment, PROMISE JOBS needs to:

- Send IM an e-mail to report that the FIA-responsible person signed an FIA and to provide the date the FIA was signed or to report that the person did not sign an FIA.
- If the person signed an FIA, PROMISE JOBS will be able to enter the FIA signed date after FIP is approved.

The PJCase system will continue to send IWD notification of FIP denials and approvals in the nightly referral file as well as an e-mail to the worker on record in PJCase for case approvals.

Examples:

1. Ms. A, a FIP applicant, signs an FIA on November 30. PROMISE JOBS enters that an FIA was signed in PJCase and enters an employment plan in IWorks. Ms. A fails to provide verification of income that was requested by IM. On December 1, the IM issues a notice denying the application and PJCase notifies IWD of the FIP denial. The date on the denial notice is December 2. The grace period ends December 16. PROMISE JOBS enters a task in IWorks to track the 14 calendar days and takes no further action on the signed FIA.

   Ms. A provides the verification on December 10 and there have been no other changes in the family's circumstances. On December 11, the IM worker reprocesses the application and approves FIP effective December 10. PJCase sends an e-mail to the PROMISE JOBS worker as listed in PJCase to inform the worker of the FIP approval, displays 11-30 as the Active FIA Date in PJCase and sends approval notification to IWD in the nightly referral file.

   On December 11, PROMISE JOBS reviews Ms. A's FIA to mail notice for the first FIA activity. The first activity is Workplace Essentials which is written in the FIA to begin on December 21, which is at least 5 working days from December 11, the date the notice will be mailed. PROMISE JOBS begins case management by mailing a *Notice of Appointment or Participation* to remind Ms. A of her of the scheduled Workplace Essentials, issues transportation and approves CCA effective December 21, the first day of need.

   If PROMISE JOBS Ms. A's first activity is scheduled to begin December 17 or earlier, or if PROMISE JOBS will not be able to mail the notice by December 11, PROMISE JOBS would need to reschedule for a date that is more than 5 working days from the date the notice will be mailed.

2. Ms. B, a FIP applicant, fails to provide verification of income that was requested by IM. The IM worker issues a notice denying the application on December 1. The date on the denial notice is December 2. The grace period ends December 16. IM did not schedule an FIA appointment or refer Ms. B to PROMISE JOBS as Ms. B did not appear eligible for FIP. PJCase does not send notification to IWD as Ms. B is not referred to PROMISE JOBS.

   Ms. B provides the missing verification on December 5 and appears eligible for FIP. The IM worker sends Ms. B a *Self-Assessment* form, schedules an FIA appointment for December 15, and sends PROMISE JOBS the *FIA Appointment* form via e-mail.
   A. IM re-pends FIP in ABC:
      - Ms. B appears for the FIA appointment and signs an FIA. PROMISE JOBS enters the FIA Signed date in PJCase and an employment plan in IWorks. PJCase sends an e-mail to notify IM. On December 7, IM approves FIP as of December 5, the date Ms. B provided the missing verification. The effective for supportive payments is December 5, the effective date of FIP eligibility, or the first day of need, whichever is later.

- Ms. B does not appear for the FIA appointment. PROMISE JOBS makes entry that an FIA was not signed in PJCase and IWorks. PJCase denies the FIP application and sends an e-mail to notify IM.

B. IM does not re-pend FIP in ABC:

- Ms. B appears for the FIA appointment and signs an FIA. PROMISE JOBS sends IM an e-mail that an FIA was signed and enters an employment plan in IWorks. On December 7, IM approves FIP as of December 5, the date she provided the missing verification. PROMISE JOBS enters the FIA signed date in PJCase. The effective for supportive payments is December 5, the effective date of FIP eligibility, or the first day of need, whichever is later.
- Ms. B does not appear for the FIA appointment. PROMISE JOBS sends IM an email to report the failure. The IM worker makes entry to deny the application.

3. Ms. C chose a subsequent LBP with a six-month period of ineligibility that ended March 31. Ms. C reapplies for FIP on May 5. On May 7, IM refers Ms. C to PROMISE JOBS, schedules an FIA appointment and requests information that is due May 14.

   Ms. C signs an FIA on May 9 agreeing to complete 20 hours of activity in 30 days. PROMISE JOBS begins case management by issuing any supportive payments needed for the 20 hours of activity. On May 15, IM denies the application for failure to provide information with an NOD dated May 16. PROMISE JOBS discontinues case management. The grace period ends May 30.

   Ms. C provides the verification on May 24. IM informs Ms. C that she must complete the 20 hours of PROMISE JOBS activity and provide any needed verification to PROMISE JOBS by May 30 for IM to reconsider the application. IM also informs PROMISE JOBS via e-mail that the May 5 application is being reconsidered and that Ms. C needs to complete her 20 hours of PROMISE JOBS by May 30 or the application will be redenied. PROMISE JOBS resumes case management.

   - If Ms. C completes her 20 hours of activity, IM will approve FIP as of May 24, the date Ms. C provided the verification.
   - If Ms. C does not complete her 20 hours of activity, IM will issue an NOD saying that the application remains denied due to the LBP.

- Ms. D chose a subsequent LBP with a six-month period of ineligibility that ended May 31. Ms. C reapplies for FIP on June 7. On June 9, IM refers Ms. C to PROMISE JOBS and schedules an FIA appointment for June 14 and requests that Ms. C provide verification of resources by June 19.

  Ms. D fails to appear for the FIA appointment on June 14. On June 14, PROMISE JOBS enters in PJCase that Ms. D failed to sign an FIA. PJCase denies the application for failure to sign an FIA with an NOD dated June 15. Ms. D provides the resource verification on June 19. The application grace period does not apply in this situation. Ms. D must file a new application to get FIP assistance.

Effective Date:

Apply this policy retroactively with FIP applications denied with a notice dated March 26, 2010, or later.

Reinstatement After the Effective Date of FIP Cancellation (Grace Period)

Legal reference: 441 IAC 40.22(5)

Policy:

FIP will be reinstated without a new application if all information necessary to establish eligibility, including verification of any changes, is provided within 14 days of the effective date of cancellation when FIP was canceled for one of the following reasons:

- Failure to provide requested information,
- Failure to return a completed RRED (Review/Recertification Eligibility Document),
- Failure to complete a required FIP review interview.

When FIP is reinstated after the effective date of FIP cancellation, an FIA signed in the prior FIP eligibility period will also be reinstated. In this situation, the FIA is reinstated, even if the FIA has expired, but only when the person who signed the FIA did not become exempt from FIA responsibility for a reason other than school attendance after signing the FIA.

IM Procedure:

IM will reinstate FIP after the effective date of cancellation when:

- FIP is canceled for failure to provide requested information and the client provides all information necessary to establish eligibility, including verification of any changes, within 14 days of the effective date of cancellation. IM will reinstate FIP effective the date all of the information is provided, including verification of any changes that affect eligibility. If more than one item is required, IM will reinstate FIP effective the date the final item is provided.
- FIP is canceled for failure to return a complete RRED and the client provides the completed RRED within 14 days of the effective date of cancellation, and all information necessary to establish eligibility, including verification of any changes. IM will reinstate FIP effective the date the completed RRED is provided.

- FIP is cancelled for failure to attend a required review interview and the client completes the interview and provides all information needed to establish eligibility, including verification of any changes, within 14 days of the effective date of cancellation. IM will reinstate FIP effective the date the interview is held and all of the necessary information, including verification of any changes, is provided.

If all of the information necessary is not returned by the 14th day after the effective date of cancellation, IM will take no further action. The family will need to reapply to regain FIP eligibility.

PROMISE JOBS Procedure

When IM reinstates FIP after the effective date of cancellation, consider the FIA reinstated if the FIA was signed in the prior FIP eligibility period. Consider the FIA reinstated even if it is expired unless the person became exempt from FIA responsibility for a reason other than school attendance after signing the FIA.

When FIP is reinstated without an application:

- The FIP notice of decision includes the following statement: "If you have a signed Family Investment Agreement (FIA), it is again in effect. If you do not follow through with your FIA steps you will enter a limited benefit plan. If you have questions concerning your FIA, contact your PROMISE JOBS worker."
- The PJCase Person screen displays FIP Status as "Reinstated" or "Reopened" and the effective date of the reinstatement will be in the Effective Date field.

Resume case management of the existing FIA as soon as you are notified that FIP is reinstated:

- Issue any required written notice for the current or next FIA activity:
    - If the current FIA activity is employment or training and the FIA includes the activity and the specific verification requirements, the FIP reinstatement notice is sufficient notice that the FIA requirements are reinstated.
    - If the current FIA activity is job search, issue a *Notice of Appointment or Participation* stating that the participant must resume job search according to the *Job Search Plan Agreement* as of the first day of the week that begins at least 5 working days from the day the *Notice* is mailed.
    - For other FIA activities, mail a *Notice of Appointment or Participation* or other written notice to remind the participant to attend the activity or to provide verification as scheduled when the participation date or the due date is at least 5 working days from the date the notice is mailed. Reschedule an activity for a later date or extend a due date when the current date is less than 5 working days from the date a notice will be mailed.
- Issue transportation and other supportive payments that are needed prior to participation in activities for the current month. The effective date of eligibility is the FIP effective date or the first day of need, whichever is later.

- Child care:
    - If the FIA includes activities other than employment or protective and a CCA need did not continue when FIP canceled, reinstate the closed KT case as of the FIP effective date or the first day of need, whichever is later.
    - If the FIA includes activities other than employment or protective and the KT case was transferred to DHS as CCA need continued after FIP canceled, contact DHS to ask that the KT case be transferred back to you. Update KT as needed upon transfer. Start child schedules as of the FIP effective date or the first day of need whichever is later for any FIA activity that would not meet CCA requirements if the family was not on FIP.
    - If the only FIA activity is employment or protective, DHS will continue to handle the CCA.
- The FIP effective date is displayed on the PJCase Person screen.
- If the FIA is expired or needs renegotiation for other reasons, schedule an appointment to discuss renegotiation of the FIA.

Do not consider any failure to participate that occurs on or after the effective date of FIP cancellation up until the client is adequately notified of the requirements of the reinstated FIA to count towards the choice of a limited benefit plan:

- If the current FIA activity is employment or postsecondary training and the FIP reinstatement notice is sufficient notice that the FIA requirements are reinstated, do not count any failure that occurs on or after the effective date and up until 2 working days after the reinstatement notice is mailed. A FIP reinstatement notice is mailed on the 1st working day after the FIP warrant issue date in DHS' ISSV system.
- If the current FIA activity is job search, do not count any failure that occurs before the date specified in the *Notice of Appointment or Participation* that was mailed after FIP was reinstated (see the preceding paragraph).
- For other FIA activities, do not count any failure that occurs on or after the effective date up until the participation date or the due date stated in the notice that was mailed after FIP was reinstated (see the preceding paragraph).

When IM reinstates FIP after the effective date of cancellation and the FIP family contains a person who recently became FIA-responsible who has not yet signed an FIA (i.e. a child who has dropped out of school), resume efforts to get the person to sign an FIA unless the person has become exempt. See the PROMISE JOBS Provider Manual, FIP Recipients Whose Referral Status Changes to Mandatory for more information.

The PJCase system will continue to send IWD notification of FIP reinstatements in the nightly referral file as it does today.

For cancellations for failure to return a complete RRED, PJCase will continue to delay sending notification to IWD until the day after the effective day of cancellation when FIP has not been reinstated by then.

Policy described in the PROMISE JOBS Provider Manual, Break in Assistance of One Month or Less remains in effect and not changed.

PROMISE JOBS Comments:

Examples:

1. Ms. D, a FIP participant, fails to provide a completed RRED. IM cancels FIP effective May 1. Ms. D provides the RRED on May 3. On May 4, the IM worker reinstates FIP effective May 3. ISSV displays May 4 as the FIP warrant issue date. On May 5, the reinstatement NOD is mailed and IWorks is updated with the active FIP status.

   PJCase displays the date the most recent FIA was signed in the Active FIA Date in the PJCase Person screen, the effective date of reinstatement in the Effective Date field, and sends notification to IWD in the nightly referral file that FIP is reinstated.

   Ms. D's FIA includes part-time employment and GED classes and says PROMISE JOBS will provide transportation and CCA for GED classes and CCA for employment. PROMISE JOBS:
   - Issues transportation to cover May 3 through May 31.
   - PROMISE JOBS transferred the CCA KT case to DHS on May 2 since FIP was canceled and a CCA need continued. On May 5, PROMISE JOBS contacts DHS to request that the KT case be transferred back to PROMISE JOBS. Upon transfer, PROMISE JOBS needs to update KT as needed.

   PROMISE JOBS cannot consider any failure to participate that occurred on or after May 1 through two working days after May 5 towards the choice of an LBP.

2. Same as example 1 except that Ms. D provides the completed RRED on May 14. On May 14, the IM worker reinstates FIP effective May 14. ISSV displays May 14 as the FIP warrant issue date. On May 15, the reinstatement NOD is mailed and IWorks is updated with the active FIP status.

   PJCase displays the date the most recent FIA was signed in the Active FIA Date in the PJCase Person screen, the effective date of reinstatement in the Effective Date field, and sends notification to IWD in the nightly referral file that FIP is reinstated.

   PROMISE JOBS:
   - Issues transportation to cover May 14 through May 31.
   - PROMISE JOBS transferred the CCA KT case to DHS on May 2 since FIP was canceled and a CCA need continued. On May 15, PROMISE JOBS contacts DHS to request that the KT case be transferred back to PROMISE JOBS. Upon transfer, PROMISE JOBS needs to update KT as needed.

   Time and attendance for GED was due May 10 for April and Ms. A did not provide it. On May 15, PROMISE JOBS sends a written reminder to provide the time and

attendance for April and allows 5 working days. If Ms. A fails to provide the time and attendance by the due date in the reminder, PROMISE JOBS will impose an LBP for failure to provide verification of hours of participation.

PROMISE JOBS cannot consider any failure to participate that occurred from May 1 through two mailing days after May 15 towards the choice of an LBP.

3. Ms. E, a FIP participant, fails to provide an employer's statement requested by IM. IM cancels FIP effective May 1. Ms. E also fails to provide verification of work hours requested in writing by PROMISE JOBS. PROMISE JOBS starts an LBP effective May 1 for failure to verify work hours and sends an NOD to cancel Ms. E's FIP.

   Ms. E provides the employer's statement to IM and a copy to PROMISE JOBS on May 9. PROMISE JOBS makes entry to stop the LBP on May 9. On May 9, the IM worker reinstates FIP effective May 9. ISSV displays May 9 as the FIP warrant issue date. On May 10, the reinstatement NOD is mailed and IWorks is updated with the active FIP status.

   PJCase displays the date the most recent FIA was signed in the Active FIA Date in the PJCase Person screen, the effective date of reinstatement in the Effective Date field, and sends notification to IWD in the nightly referral file that FIP is reinstated.

   Ms. E's FIA includes individual job search and then full-time employment. Ms. E is employed full-time. PROMISE JOBS informs Ms. E that since she is employed, she no longer needs to participate in individual job search.

   Ms. E is no longer entitled to transportation assistance since she is employed. PROMISE JOBS does not plan to schedule FIA activities other than Ms. E's employment in the next 3 months. PROMISE JOBS enter Ms. E's employment schedule, reinstates Ms. E's CCA, and transfers the KT case to DHS.

Effective Date:

Apply this policy retroactively with FIP cancellations that are effective 04-01-2010 or later.

Grace Period Following the Denial of a CCA Application:

Legal reference: 441 IAC 170.3(6); EM 13-G, Determining Eligibility

Policy:

Families receiving FIP and participants in PROMISE JOBS approved activities do not need to complete an application to request CCA.

The date of application for families receiving FIP, including families with PROMISE JOBS participants, is the date the family requests CCA.

When a CCA application is denied for failure to provide requested information, eligibility for CCA can be reconsidered without a new application, if all necessary information to establish eligibility, including verification of any changes, is provided within 14 days of the date on the Notice of Decision denying the application. If eligibility is established, the effective date of CCA is the date all of the information is provided.

IM Procedure:

When IM denies a CCA application for failure to provide requested information, IM will reconsider CCA eligibility without a new application if all necessary information to establish eligibility is provided within 14 days of the date on the Notice of Decision denying the application. If IM determines eligibility, IM will approve CCA as of the date that all of the information is provided.

PROMISE JOBS Procedure:

When PROMISE JOBS denies a CCA application for failure to provide requested information, PROMISE JOBS will need to reconsider CCA eligibility if all necessary information to establish eligibility is provided within 14 days of the date on the Notice of Decision denying the application. If PROMISE JOBS determines eligibility, PROMISE JOBS will approve CCA as of the date that all of the information is provided.

If the client provides all of the required information by the 14th day after the date of the denial notice and the client meets a CCA need, approve CCA as of the date the information is provided.

If all of the information is not returned by the 14th day after the date of the denial notice, no further action is required and another notice is not sent. If there were multiple pieces of information requested and some of the information is returned after the denial, the worker should attempt to contact the client to let them know that you do not have enough information to reconsider CCA eligibility.

If the client provides the previously requested information, but also reports another change for which verification is needed, the client must provide verification of the new change within the 14-day period. Make every effort to help the client verify the information. A written request for information for the subsequent change is not required, but you need to inform the client that the application cannot be reprocessed until the change is verified.

If the new information is not verified by the end of the 14th day after the date of the denial notice, use the KT system to issue a notice that says “Your application for child care assistance remains denied because you failed to provide requested information.”

When an additional change is reported and it is unlikely you will be able to verify the information before the 14-day period expires, inform the client that it would be a good idea to file a new application to preserve the earliest possible effective date, in case

the new information cannot be verified within the grace period. Once the information is returned, the effective date will be the date the information is provided or the new application date, whichever is earlier.

PROMISE JOBS Comments:

Example:

- 03-03: Mr. C applies for FIP and CCA and is attending vocational training full-time.
- 03-04: DHS CCA worker requests verification of his student status due 03-14.
- 03-10: Mr. C and PROMISE JOBS write an FIA that says Mr. C will attend an educational evaluation appointment with PROMISE JOBS and provide his training schedule and grades for the last semester if FIP is approved.
- 03-14: DHS CCA worker denies CCA for failure to provide requested information.
- 03-15: DHS FIP worker approves FIP effective 03-10.
- 03-16: PROMISE JOBS contacts the DHS CCA worker to request that the KT case be transferred to PROMISE JOBS and schedules Mr. C to attend an evaluation appointment for 03-24.
- 03-17: DHS CCA receives Mr. C's training schedule that verifies he is enrolled and attending full-time and sends to PROMISE JOBS.
- 03-20: PROMISE JOBS approves CCA for Mr. C's training as the training meets CCA requirements as of 03-17, the date the training schedule was provided.
- 03-24: Mr. C attends the evaluation appointment. PROMISE JOBS determines that Mr. C is not likely to succeed at the training. PROMISE JOBS had placed Mr. C on academic probation for this same semester when Mr. C received FIP a few months ago. PROMISE JOBS issues notice to deny Mr. C's request to include training as an FIA activity and to deny transportation assistance for the training because of the results of his educational evaluation. Mr. C and PROMISE JOBS write an FIA that includes activities that Mr. C can do in addition to his training.

Effective Date:

Apply this policy retroactively with CCA applications denied with a notice dated March 26, 2010, or later.

Reinstatement After the Effective Date of CCA Cancellation (Grace Period)

Legal reference: 441 IAC 170.3(6)

CCA Policy:

When a CCA case is cancelled for failure to provide requested information, CCA must be reinstated when all information needed to determine eligibility, including verification of all changes in the family's circumstances, is provided within fourteen days of the effective date of cancellation.

The effective date of child care eligibility shall be the date the **final** piece of information required to establish eligibility is provided or the first day of need, whichever is later.

IM Procedure:

When IM cancels a CCA case for failure to provide requested information, IM will reinstate CCA if the client provides all information needed to determine eligibility, including verification of all changes in the family's circumstances, within fourteen days of the effective date of cancellation.

PROMISE JOBS Procedure:

If PROMISE JOBS cancels a CCA case for failure to provide requested information, PROMISE JOBS will reinstate CCA if the client provides all information needed to determine eligibility, including verification of all changes in the family's circumstances, within fourteen days of the effective date of cancellation.

If the fourteenth day falls on a weekend or legal holiday extend the due date to the next working day for which there is regular mail service. The effective date of child care eligibility shall be the date the **final** piece of information required to establish eligibility is provided.

If all of the information is not returned by the 14th day after the effective date of cancellation, no further action is required and another notice is not sent. If there were multiple pieces of information requested and some of the information is returned, the worker should attempt to contact the client to let the client know that you do not have enough information to reconsider CCA eligibility.

If the previously requested information is provided, but the household reports another change for which verification is necessary, the worker is expected to make every effort to help the client to verify the information. PROMISE JOBS does not need to request information for the subsequent change in writing but should inform the household that benefits cannot be reinstated until the change is verified.

If the new information is not verified by the end of the 14th day after the effective date of cancellation, use KT to issue a notice that says "Your child care assistance remains canceled because you failed to provide requested information."

When an additional change is reported and it is unlikely you will be able to verify the information before the 14-day period expires, you should inform the client that it would be a good idea to submit a new application to preserve the earliest possible effective date, in case the information cannot be verified. Once the information is returned, the effective date will be the date the information is provided or the new application date, whichever is earlier.

PROMISE JOBS Comment:

Example:

Mr. G, a FIP/PROMISE JOBS participant, reports starting a full-time job on May 1. Mr. G is receiving transportation and CCA needed for participation in individual job search. On May 5, PROMISE JOBS sends Mr. G a written request to provide verification of his work hours and work schedule within 5 days or by May 10.

Mr. G fails to provide the verification by the due date. On May 11, PROMISE JOBS makes entry to start an LBP effective June 1 and issues a notice to cancel CCA effective May 21for failure to provide verification of work hours and schedule. Mr. G must provide the verification by June 10 for the LBP to be stopped and he must provide the verification by June 4 for CCA to be reinstated.

- Mr. G provides all required verification on May 31. PROMISE JOBS makes entry to stop the LBP. PROMISE JOBS enters Mr. G's work schedule in KT and reinstates CCA effective May 31 or the first day of need, whichever is later. The IM worker will reinstate Mr. G's FIP if he meets other FIP eligibility criteria since he provided the information needed to stop the LBP prior to the effective date.
- Mr. G has not provided all required verification by June 1 and PROMISE JOBS transfers the case to DHS. Mr. G provides all required verification to PROMISE JOBS on June 4. PROMISE JOBS makes entry to stop the LBP, notifies the DHS worker that the verification was received, and forwards copies of the verification. DHS will reinstate CCA if other eligibility factors are met. Since it is after the effective date of the LBP, Mr. G will need to reapply for FIP:
    - If Mr. G reapplies for FIP and is approved and
        - CCA is active and the FIA includes activities other than employment, PROMISE JOBS will request that DHS transfer the KT case.
        - CCA is active and the FIA contains no activities other than employment, DHS keeps the KT case.
    - If Mr. G reapplies for FIP and is denied, no further action is needed.

Effective Date:

Apply this policy with CCA cancellations that are effective 04-01-2010 or later.

PJCase System Changes

DHS made the following changes to the PJCase as a result of the FIP grace period policies.

Effective Date: March 25, 2010

FIP Approval Email:

PJCase sends an e-mail to the PROMISE JOBS worker listed in PJCase when FIP is approved for the entire case when the case contains an FIA-responsible person and when FIP is approved to add a person to an active case. The text of the email is revised to include the FIP application date and the FIP effective date.

PJCase Person Screen:

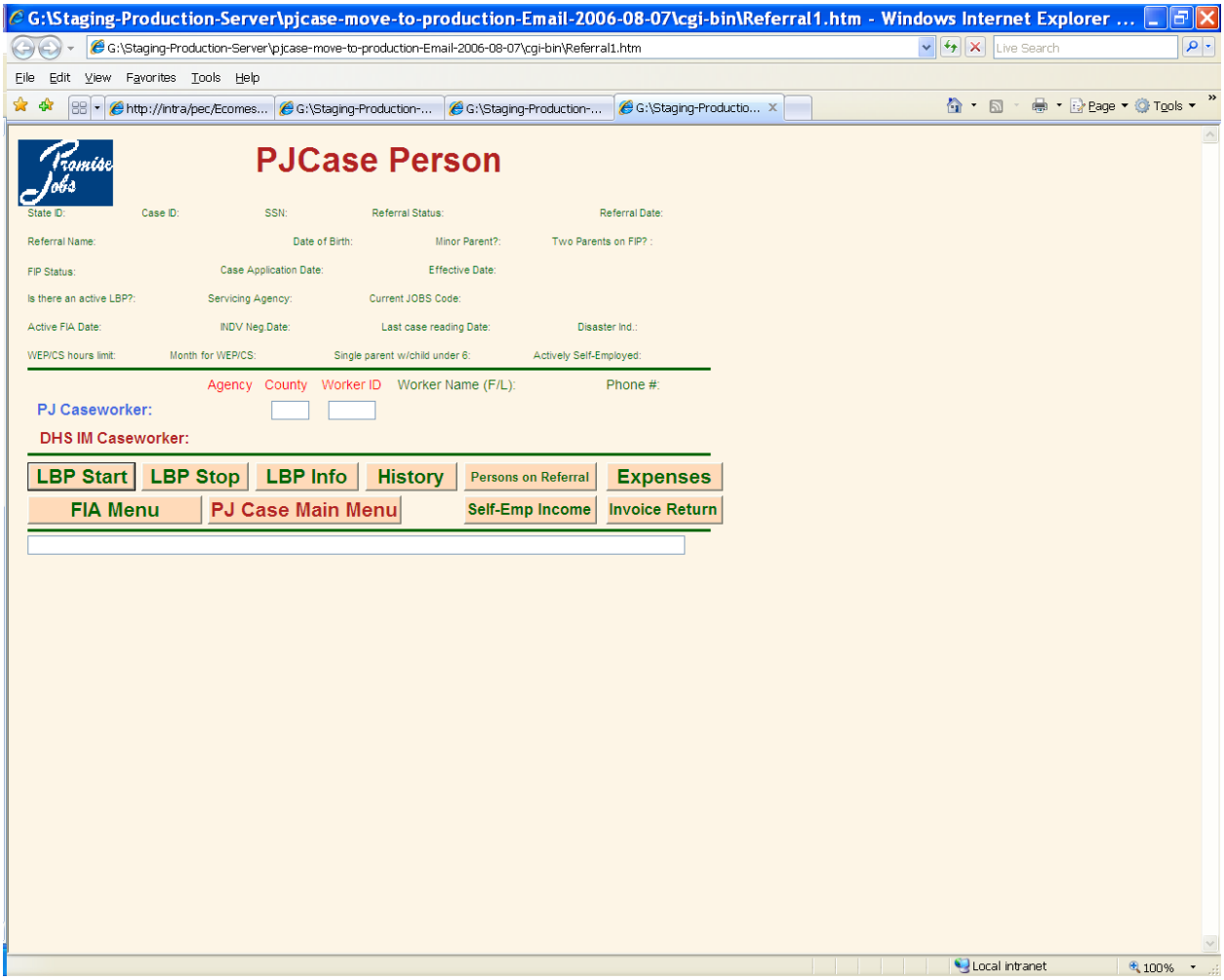
The screen is changed to include FIP **Case Application Date** field to display the date of the most recent FIP application and FIP **Effective Date** field to display the effective date of the current FIP status. Specifically, when FIP status is A, the field shows the effective date of FIP approval and when FIP status is B or C, the field shows the effective date of reinstatement.

PJCase populates these fields when FIP status is A, B, or C.

Active FIA Date field: When a FIP application is denied or canceled, PJCase removes the FIA date from this field. If FIP application is denied and later approved, PJCase will display the previous **Active FIA Date**. If FIP is canceled and later reinstated, PJCase will display the previous **Active FIA Date**.

The **Process Pre-FIP** button is changed to the **FIA Menu** button.

Revised screen:



FIA Menu Screen:

The screen is changed:

The **FIA Signed** and an **FIA Not Signed** buttons and the **FIA Sign Date** entry field are moved to a new section called the Pre-FIP section. PROMISE JOBS needs to use the fields in this new section to record a FIP applicant's completion or failure in signing an FIA when the applicant has not chosen active LBP.

Previously, PJCase only allowed PROMISE JOBS staff to record that an FIA was signed when the person's JOBS code was A, B, 3 or 4. The **FIA Signed Date** field in this new section will allow entry in this field with the additional person's JOBS Codes of 7, 8, K, or L.

There is a new section called the Active FIP section that includes a **Change Active FIA Date** button and an **Active FIA Date** entry field. PROMISE JOBS staff will use this field to update an existing FIA Date. Previously, PROMISE JOBS needed to contact IWD central office to do this.

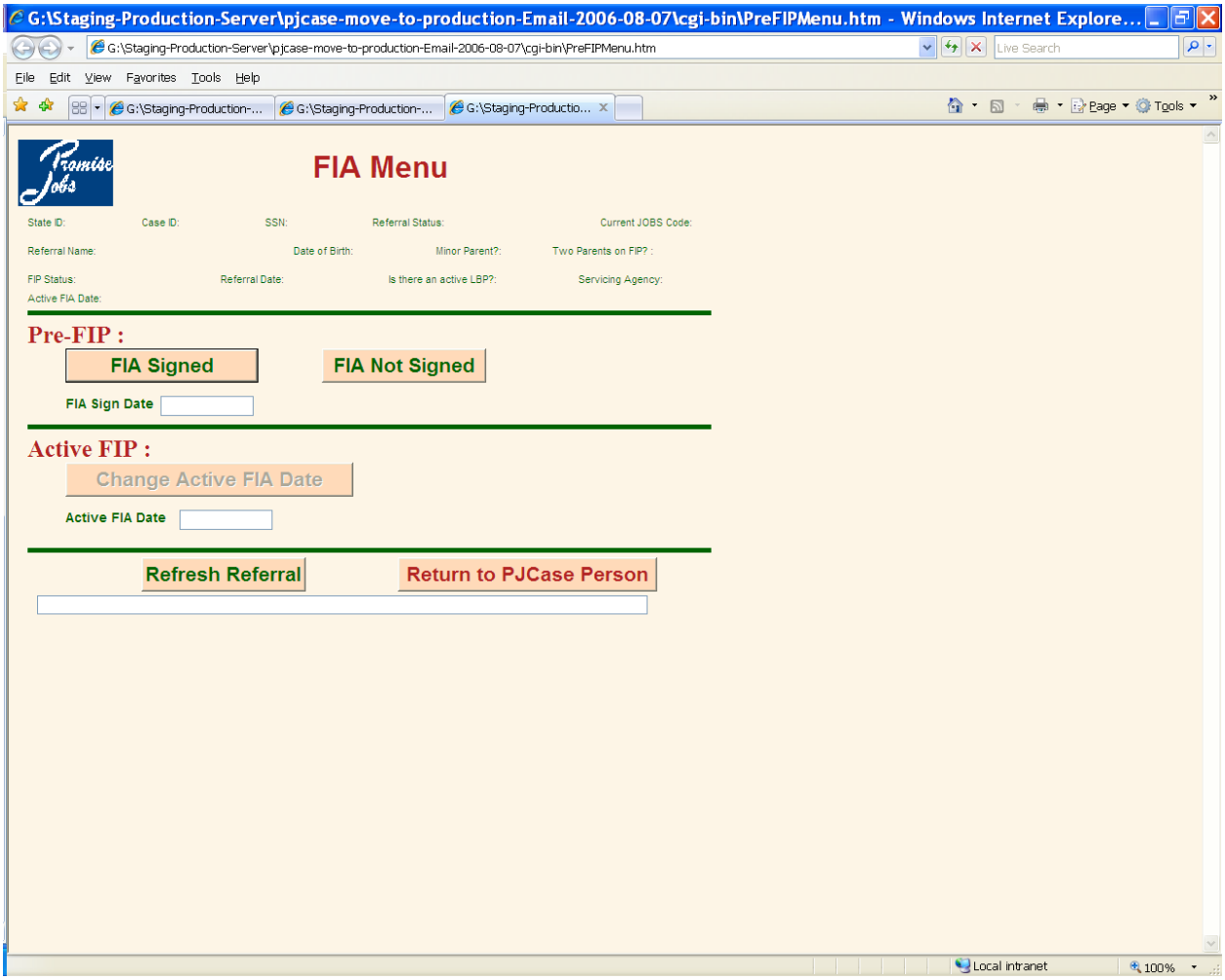
When a user clicks on the **Change Active FIA Date** button, a confirmation screen is displayed.

The confirmation screen displays a red box with the following instructions: The system has edited the Active FIA Date that you entered and is ready to update the database. Select **Change Active FIA Date** below to process your entry. Or select **Cancel** to return to the FIA Menu Screen.

When a user clicks the **Change Active FIA Date** button on the confirmation screen, the message, "FIA Date change successful" is displayed.

When a user clicks the **Cancel** button on the confirmation screen, the message, "Change Active FIA Date transaction cancelled" is displayed.

Revised screen:



Iowa Department of Human Services

Terry E. Branstad
Governor

Kim Reynolds
Lt. Governor

Charles M. Palmer
Director

PROMISE JOBS POLICY MEMO

TO: Lori Adams and Heidi Wicks, Iowa Workforce Development
John Wilken and John Wiedemeier, Bureau of Refugee Services
Bill Brand, Lorie Easter, Tim Fitzpatrick, and Kelly Davydov, Department of Human Rights
DHS Service Area Managers, Income Maintenance Supervisors and Administrators

FROM: Ann Wiebers, Bureau Chief, Bureau of Financial, Health and Work Supports

SUBJECT: **PROMISE JOBS MEMO 168**

DATE: **January 31, 2014**

Summary

This policy memo implements the revised and new policies and procedures listed below.

- **Individual Job Search Periods:** Allows individual job search to continue beyond 12 weeks or 3 calendar months, if appropriate.
- **Individual Job Search Documentation:** Allows the participant 10 calendar days following the end of each month during which the participant made a job search to provide form 470-3099, *Job Search Record*.
- **Recovery of Family Self-Sufficiency (FSSG) Overpayments:** Allows recovery of FSSG grant overpayments.
- **Limited Benefit Plan for Failure to Verify Hours of Employment or Participation:**
  - Adds the requirement to send a clear written reminder and give a participant another opportunity when the participant fails to provide verification of hours of employment or hours of participation in other PROMISE JOBS activities.
  - Removes the provision that allows participants to cure an imposed first or subsequent limited benefit plan (LBP) when the participant verifies the hours of employment or activity participation by the tenth day following the effective date of the LBP.

Use the instructions in this memo in lieu of any contrary instructions in the PROMISE JOBS Provider Manual. The PROMISE JOBS Provider Manual will be updated as soon as possible.

Changes to the following policies are effective immediately and retroactively to January 1, 2014:

- Individual Job Search Period
- Individual Job Search Documentation
- Recovery of FSSG Overpayments

Changes to the following policy are effective February 1, 2014:

- Limited Benefit Plan for Failure to Verify Hours of Employment or Participation

Please make this information available to PROMISE JOBS staff in each PROMISE JOBS Territory as quickly as possible. PROMISE JOBS staff, please direct any questions to your PROMISE JOBS Coordinators at IWD. If anyone else has questions, please contact Angela Madison by e-mail at amadiso@dhs.state.ia.us or by calling (515) 281-6082.

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INDIVIDUAL JOB SEARCH PERIODS

Former Policy *(PROMISE JOBS MEMO 165, page 9):*

The designated period for job search activities should not exceed five weeks ending on a Friday within the same calendar month. The total period for each episode of individual job search shall not exceed 12 weeks or three calendar months.

Former Procedure:

Use the *Job Search Plan Agreement* to notify a participant in writing of the expectations and verification requirements in job search activities for individual job search.

Identify the individual job search plan period in the *Job Search Plan Agreement*. Determine a period for the plan of up to five weeks ending on a Friday within the same calendar month.

A participant may use these individual job search plans for up to 12 consecutive weeks or 3 consecutive calendar months. **Example:**

Ms. A has a varied job history. She wants flexibility to look for work in several areas. Ms. A and her PROMISE JOBS worker decide that Ms. A will use the individual job search plans that are up to five weeks in length.

In her *Family Investment Agreement*, she indicates she will use individual job search for the months of February, March, and April. If she has not found employment in three months, she and the worker agree that Ms. A should use the work experience component.

February has four Fridays: February 7, 14, 21, and 28

- Ms. A's job search plan for the month of February will include all of these weeks.
- Ms. A's job search plan for this month of February cannot include five weeks as there are not five weeks that end on Friday.

March has four Fridays: March 7, 14, 21, and 28

- Ms. A's job search plan for the month of March will include all of these weeks.
- Ms. A's job search plan for this month March cannot include five weeks as there are not five weeks that end on Friday.

April has four Fridays: April 4, 11, 18, and 25

- Ms. A's job search plan for the month of April will include all of these weeks.
- Ms. A's job search plan for this month of April cannot include five weeks as there are not five weeks that end on Friday.

New Policy *(Legal reference: 441 IAC 93.6(2) and 441 IAC 93.10(2)"c"):*

The designated period for an individual job search plan in a *Job Search Plan Agreement* cannot exceed five weeks ending on a Friday within the same calendar month. If after three consecutive calendar months of individual job search, the participant still has not found employment, the worker must review the participant's situation for possible barriers to employment or possible need for training to increase employability. Individual job search may continue, if appropriate, but combining it with other activities should be considered.

New Procedure:

Follow current procedures for writing *Job Search Agreement Plans* found in PROMISE JOBS Memo 165 beginning on page 9. In addition, this new procedure allows the participant to continue in job search after a total of three calendar months if they have not yet found employment. If after three months, the participant has not gained employment, the worker and participant should consider including other PROMISE JOBS activities in the *Family Investment Agreement* with each additional *Job Search Agreement Plan* created. **Example:**

> Same as example in current procedure. However, if Ms. A has not found employment after three months, Ms. A and the worker may agree that Ms. A should continue with additional individual job search plans and include other PROMISE JOBS activities in Ms. A's *Family Investment Agreement*. Or, Ms. A and the worker may agree on participation in other PROMISE JOBS activities only.

Implementation:

Apply the new policy upon issuance of this memo.

INDIVIDUAL JOB SEARCH DOCUMENTATION

Former Policy *(PJPM, page 96; PROMISE JOBS MEMO 165, page 10):*

The participant must provide form 470-3099, *Job Search Record*, within five working days after the last working day of any week during which the participant has made a job search.

Consider the participant to have met the documentation requirement if the participant has completed the following information on the *Job Search Record*:

- Sufficient information to identify the employer that was contacted or the activity that was completed,
- The date the contact was made or the activity was completed,
- The amount of time spent on the contact or activity, and
- The participant's signature.

New Policy *(Legal reference: 441 IAC 93.10(2)"c"):*

The participant must provide form 470-3099, *Job Search Record*, within 10 calendar days following the end of each month during which the participant made a job search.

New Procedure:

Follow current procedures outlined in PROMISE JOBS MEMO 165 beginning on page 10 as to what constitutes a complete *Job Search Record*. The participant will submit job search records within 10 calendar days following the end of the month during which the participant made a job search.

Implementation:

Existing Job Search Plans:

Any *Job Search Plan Agreement* that includes January 1, 2014, or later, in the job search schedule is not valid unless the due date for each week of job search included in the plan is the tenth calendar day following the end of the month of scheduled job search. Allow the participant to continue job search according to the invalid *Job Search Plan Agreement* until you and the participant develop a new *Job Search Plan Agreement*. Schedule the participant with an appointment to develop a new and valid *Job Search Plan Agreement* at the earliest available time but no later than February 28, 2014.

DO NOT impose a Limited Benefit Plan (LBP) for **failure to provide documentation of job search** for any week identified in the invalid plan. **Examples:**

1. *Job Search Plan Agreement* written on November 22, 2013, as follows:

Job Search Schedule	Date Job Records Due
November 30 to December 6, 2013	December 13, 2013
December 7 to December 13, 2013	December 20, 2013
December 14 to December 20, 2013	December 27, 2013
December 21 to December 27, 2013	January 6, 2014

This *Job Search Plan Agreement* is **valid** as none of the scheduled days are January 1, 2014, or later.

2. *Job Search Plan Agreement* written on December 20, 2013, as follows:

Job Search Schedule	Date Job Records Due
December 28, 2013 to January 3, 2014	January 10, 2014
January 4 to January 10, 2014	January 17, 2014
January 11 to January 17, 2014	January 24, 2014
January 18 to January 24, 2014	January 31, 2014
January 25 to January 31, 2014	February 7, 2014

This *Job Search Plan Agreement* is **NOT VALID** as scheduled days are January 1, 2014, or later. An LBP does not apply if the participant failed to provide documentation of any week of job search included in this plan.

LBPs:

If a person is currently in the process of choosing an LBP **for failure to provide documentation of job searches** and the job search plan includes job search for a week that includes a day that is January 1, 2014, or later with a due date of five working days following a week of job search, PROMISE JOBS cannot start the LBP. If PROMISE JOBS has started an LBP for **failure to provide documentation of job searches** and the job search plan includes job search for a week that includes a day that is January 1, 2014, or later, PROMISE JOBS needs to stop the LBP and consider it in error. IM needs to reinstate without an application as of the effective date of the LBP.

RECOVERY OF FAMILY SELF SUFFICIENCY (FSSG) OVERPAYMENTS

Former Policy:

Former policy did not allow for recovery of FSSG overpayments.

New Policy *(Legal reference: 441 IAC 47.28(239B) and 441 IAC 93.12(239B)):*

All PROMISE JOBS expense allowances are subject to overpayment recovery. For purposes of overpayment and recovery, an FSSG payment is considered a PROMISE JOBS expense payment. When an applicant, participant, or a provider receives an FSSG payment for items for which funds were awarded were not purchased, services that were approved and not obtained by the provider, a duplicate payment was issued or when, according to receipts, the items purchased cost less than the funds received, an overpayment is considered to have occurred and recovery is required.

New Procedure:

When you discover an FSSG overpayment, notify the Iowa Department of Inspections and Appeals (DIA) by making entries in the Overpayment Recoupment System. Follow the procedures in 14-P, *Overpayment Recovery Direct Claim Entry*, to make the entries.

When completing the FSSG overpayment, select Program code 67 – OTHER PROMISE JOBS EXPENSE ALLOWANCES.

Implementation:

Apply the new policy upon issuance of this memo and retroactively back to January 1, 2014, to any FSSG payment issued on or after January 1, 2014, if it is determined to be overpaid.

LIMITED BENEFIT PLAN (LBP) FOR FAILURE TO VERIFY HOURS OF EMPLOYMENT OR PARTICIPATION

Former Policy *(PROMISE JOBS MEMO 165, pages 27-33):*

Notify a participant in writing of verification requirements.

PROMISE JOBS is not required to send a written reminder to allow an additional opportunity to participate when a participant fails to provide verification of hours of employment or hours of participation in other FIA activities.

PROMISE JOBS must refer the participant's file for a review when a participant fails to provide verification of hours of employment or hours of participation in other FIA activities. An LBP applies if a review concurs that the participant has chosen an LBP.

This policy applies only to failure to provide verification of hours (hours of employment or hours of participation in other FIA activities). It is important to make a distinction between failure to *provide verification of hours of participation* in an FIA activity and *failure to participate* in an FIA activity. These are separate issues.

- A written reminder is required when a participant fails to participate in an FIA activity and for all other participation issues as described in the PJPM, FIA PARTICIPATION ISSUES, Identifying Participation Issues, and
- A review must concur that the participant has chosen an LBP for the failure to participate.

An LBP imposed for failure to verify hours of employment or hours of participation in other FIA activities must be stopped if the client provides the verification by the tenth day of the month following the LBP effective date unless participation is an issue and the client has been previously notified of the issue. If the tenth day falls on a weekend or holiday, the client must provide the verification by the next working day.

If the verification is provided by the due date and participation is not an issue, the LBP must be stopped regardless of if the LBP is a first or subsequent. The LBP is considered voided and will not count towards a subsequent LBP if the client chooses an LBP in the future.

When an LBP is imposed for failure to verify hours of participation and the participant is in an ongoing activity other than job search and required to provide verification by the tenth day of each month, the LBP continues until:

- The participant provides the verification that was previously due, and
- Any additional verification that is due at the time the client provides the late verification that resulted in the LBP.

When an LBP is imposed for failure to provide documentation of job search activities, the LBP must be stopped if the client provides all the verification that is due according to the current *Job Search Plan Agreement* by the tenth day of the month following the effective date of the LBP unless participation is an issue and the participant has previously been notified.

***Former Procedure* - Failure to Verify Hours of Participation (Employment or Other FIA Activities)**

Use the FIA or a letter to notify a participant in writing of the need to provide verification of hours of participation (employment or FIA activities other than job search).

Use the FIA and the *Job Search Plan Agreement* to notify a participant in writing of the need to provide documentation of hours of participation in job search activities for individual job search and structured job search. See PROMISE JOBS Memo 165, beginning on page 34, for details on when to use the FIA or a letter or both.

If a participant fails to verify hours of participation by the due date stated in the written notice and has not contacted you to ask for additional time or assistance:

- Do not send a written reminder to give the participant more time to provide the verification.
- Refer the participant's case for a review.
- If the review concurs that the participant has chosen an LBP, make entry in PJCASE to start an LBP.
- On the same day you start the LBP, send a letter to the client. Include the following at a minimum:
  - Explain that the LBP will be stopped if the client provides the late verification within 10 days of the LBP effective date.
  - If the lacking verification is for an activity that requires the client to verify hours of participation monthly, explain that the client must also provide any additional verification that is due at the time the late verification is provided. Specify the verification that will be needed to stop the LBP (i.e., March *Time and Attendance*).
  - If the lacking verification is for a job search activity, explain that the client must also provide all other *Job Search Records* that are due at the time the late *Job Search Record* is provided.
  - Provide information regarding the LBP and explain that a separate NOD will be issued.
  - Explain that FIP may be reinstated if the client provides the verification before the LBP effective date.
  - Explain that the client must reapply if the client provides the verification on or after the LBP effective date but within 10 days of the effective date.

- Explain that the LBP will remain in effect if verification is not provided by the due date.
- Ask about problems or barriers that are keeping the client from providing the verification or from participating.
- Offer for client to speak with a supervisor regarding questions or problems.
- PROMISE JOBS worker name and phone number.

Suggested text follows for failure to provide proof:

Begin the letter with the suggested text for the applicable situation:

♦ **Failure to verify work hours:**

> You did not provide your agreed upon proof of your work hours. You agreed to provide proof by _____. By not providing proof of these hours, you have chosen the Limited Benefit Plan (LBP).

♦ **Failure to provide verification of time and attendance:**

> You did not provide proof of your hours of attendance in _____ for the month of _____. You agreed to provide a completed *Time and Attendance* form by <tenth day after the end of the month>.
>
> - ***Add these two paragraphs when required to provide verification monthly:***
>
> Since you are required to send proof of your hours of attendance each month, **you must also provide all other *Time and Attendance* forms that are due at the time you provide the late *Time and Attendance* form.**
>
> In addition to the late *Time and Attendance* form, you will have a completed *Time and Attendance* form due on _<date>_ and <second date if applicable>.
>
> - ***Add the following paragraph if you have sent the client a written reminder for failure to attend this activity in one of the three calendar months prior to the LBP effective date:***
>
> If you did not return your *Time and Attendance* form because you have not been attending the activity, your LBP will not be stopped unless problems are keeping you from participating in job search activities.

- **Failure to provide *Job Search Record*:**

You did not provide the *Job Search Record* to report your time spent in job search activities for the week beginning _____ and ending _____ by __<date>__.

You agreed to provide the *Job Search Record* in your *Job Search Plan Agreement*. By not providing a completed *Job Search Record* by the due date, you have chosen the Limited Benefit Plan (LBP).

Since you are required to send proof of your job search activities each week, **you must provide the late *Job Search Record* and all *Job Search Records* that are due at the time you provide the late *Job Search Record.***

Reminder: You agreed to participate in Job Search activities for _____ hours each week beginning ___-___-___ and ending ___-___-___.

See your *Job Search Plan Agreement* for the dates that you agreed to complete and return a *Job Search Record* form. Contact me if you have questions.

- ***Add the following paragraph if you have NOT sent the client a written reminder for failure to complete the required number of hours of job search activities:***

  If you did not return your *Job Search Record* because you did not complete the required number of hours of job search activity, contact me right away.

OR

- ***Add the following paragraph if you have previously sent the client a written reminder for failure to complete the required number of hours of job search activities with this episode of job search:***

  If you did not return your *Job Search Record* form because you did not complete the required number of hours of job search activity, your LBP will not be stopped unless problems are keeping you from participating in job search activities.

End the letter with the following text for all situations:

If you do not provide the requested proof by __*<tenth day after LBP effective date, i.e., May 10, 2009>*,__ your LBP will remain in effect and be considered valid. You will only be able to stop the LBP as stated in the *Notice of Decision* that will be sent to you separately.

Your LBP will begin ___*<LBP effective date>*___. This means your FIP benefits will be ___*<canceled* or *reduced>*___. DHS will send you a separate *Notice of Decision* that will tell you more about your LBP and how it will affect your FIP benefits.

If you provide the requested proof by _*<tenth day after LBP effective date, i.e., May 10, 2009>*_, your LBP will be stopped and will not count as a valid LBP if you choose an LBP again.

- You may not have to reapply for FIP if you provide the requested proof **before** the LBP effective date. DHS will reinstate your FIP benefits if you are otherwise eligible.
- You will have to reapply to get FIP benefits again if you do not provide the requested proof by the LBP effective date. You may also need to sign a new *Family Investment Agreement* (FIA).

Contact me right away at ___*<your phone #>*___ if you have problems that are keeping you from providing the proof or from participating in your activity. You may also contact me if you have any questions.

You may also talk with a supervisor about any problems or questions.

I hope that you decide to provide the requested proof. Thank you,

____*<Your Signature>*_____

If the client provides all required verification by the tenth day of the month following the LBP effective date and the participant's attendance or participation is not an issue:

- Make entry in PJCASE to stop the LBP. Use stop reason "C".
- Send the IM worker an email that includes the date the client provided the verification. The IM worker needs this date to decide if FIP can be reinstated or if the client must reapply. Suggested text follows:

> FYI: The LBP for __(Client's name)__ was imposed for failure to provide needed verification. This person provided the needed verification on __(*date*)__. Therefore, the LBP will not count if this person chooses an LBP again.

For employment and activities other than job search, continue the LBP if the client provides verification but not all of the required verification or the verification does not adequately verify hours of participation. Send the client a letter within 2 working days of receipt of the insufficient verification to specify the lacking verification and to explain that the LBP will continue unless all required verification is received within 10 days of the LBP effective date.

For job search activities, continue the LBP if the client provides one or more of the required *Job Search Records* but not all of the *Job Search Records* that are due by that time. Send the client a letter within two working days of receipt of the late *Job Search Record* to specify the *Job Search Records* that are still needed and to explain that the LBP will continue.

When a job search client provides all of the required *Job Search Records* but the records are either not complete or the client did not complete the required number of hours of job search activity, follow the procedures at *New Procedure – Job Search Records Not Complete or Participant Does Not Complete Required Job Search Activity in PJ Memo 165*.

For employment and all activities, if the client does not provide any verification by the tenth day of the month following the LBP effective date:

- A first LBP remains active until the client reapplies for FIP and signs an FIA. The LBP is valid and will count towards a subsequent LBP in the future.
- A subsequent LBP remains active through the six-month ineligibility period.

No further action is needed.

Former Procedure - Verification Shows Unsatisfactory Participation or Attendance:

When an LBP is imposed for failure to verify hours of participation in an ongoing activity other than job search, and the client provides the verification as required, and the verification shows that the participant's attendance or participation is unsatisfactory:

- Stop the LBP as described in the prior section if you did not send a written reminder to the client regarding unsatisfactory participation or attendance in any of the three calendar months prior to the LBP effective date. Send a written reminder regarding the unsatisfactory participation or attendance as described in the PJPM, FIA PARTICIPATION ISSUES or Participation Issues Specific to Classroom Training, whichever applies.
- Continue the LBP if the client's participation or attendance in the specific ongoing activity resulted in a written reminder regarding unsatisfactory attendance or progress in one of the three calendar months prior to the LBP effective date.
- **Exception**: This policy does not apply when the client is in education activities and the verification shows that the client is receiving less than a 2.0 grade point average (or less than a higher average when required by the specific training facility or curriculum). Apply the policies in PROMISE JOBS MEMO 165, beginning on page 22, in this situation.

Example:

An LBP is imposed effective April 1 for failure to provide a completed *Time and Attendance* by March 10 to verify hours of attendance in GED. The client provides the verification on March 30. The verification shows that the client did not attend GED as scheduled. Either:

- Stop the LBP and send a written reminder to the client regarding unsatisfactory attendance in GED unless you sent a written reminder to the client regarding unsatisfactory GED attendance in January, February, or March, or
- Continue the LBP if the client's attendance in GED has been unsatisfactory in the past and you have sent a written reminder regarding unsatisfactory attendance in January, February, or March. Send a letter as previously described.

Former Procedure – Job Search Records Not Complete or Participant Does Not Complete Required Job Search Activity:

When the client provides the late *Job Search Record* and all *Job Search Records* that are due at that time and the client reported the required hours of job search activity but did not provide all of the required information on the *Job Search Records* as described in PROMISE JOBS Memo 165, beginning on page 10:

- Stop the LBP as described earlier if you have not previously sent a written reminder regarding an incomplete *Job Search Record* form during this episode of job search. Send a written reminder regarding the incomplete *Job Search Record* as described in the PJPM, FIA PARTICIPATION ISSUES.
- Continue the LBP if the client has failed to provide complete information on a *Job Search Record* form in the past and you have previously sent a written reminder regarding an incomplete *Job Search Record* during this episode of job search.

When an LBP is imposed for failure to verify hours of participation in job search activities by providing a *Job Search Record* by the due date stated in the *Job Search Plan Agreement*, and the client provides the *Job Search Records* as required, and the records show that the client did not participate in job search activities for the required number of hours:

- Stop the LBP as described earlier if you have not sent the client a written reminder for failure to participate in job search activities for the required number of hours during this episode of job search. Send a written reminder regarding the unsatisfactory participation or attendance as described in the PJPM, FIA PARTICIPATION ISSUES.
- Continue the LBP if the client has failed to participate in job search activities for the required number of hours in the past and you have previously sent a written reminder regarding failure to participate in job search activities during this episode of job search.

If the client does not provide any verification by the tenth day of the month following the effective date of the LBP:

- A first LBP continues until the client reapplies for FIP and signs an FIA. The LBP is valid and will count towards a subsequent LBP in the future.
- A subsequent LBP remains active through the six-month ineligibility period.

No further action is needed.

New Policy *(Legal reference: 441 IAC 93.10(1), 441 IAC 93.13(1), 441 IAC 93.13(3), 441 IAC 93.16(1), 441 IAC 93.16(2)):*

PROMISE JOBS must notify a participant in writing of verification requirements. If a participant fails to provide verification of hours of employment or hours of participation in other FIA activities, PROMISE JOBS must send a written reminder and give the participant another opportunity to provide the verification. A limited benefit plan (LBP) applies if the participant continues to fail to provide the verification after receiving a written reminder.

A participant cannot end an LBP imposed for failure to verify hours of employment or hours of participation in other FIA activities by providing the verification. If the LBP is a first, the client can end it by reconsidering and signing an FIA. If the LBP is a subsequent, the client cannot take any action to reconsider the LBP until the six-month period has ended.

New Procedure:

Continue to use the FIA or a letter to notify a participant in writing of the need to provide verification of hours of employment or participation in other activities other than job search.

Use the FIA and the *Job Search Plan Agreement* to notify a participant in writing of the need to provide documentation of hours of participation in job search activities for individual job search and structured job search.

If a participant fails to provide verification of hours of employment or participation in other FIA activities by the due date stated in the written notice and has not contacted you to ask for additional time or assistance:

- Send a clear written reminder to give the participant more time to provide the verification. The clear written reminder should:
    1. Identify the participation issue and the action needed to resolve it
    2. Clarify expectations
    3. Attempt to identify barriers to participation
    4. Offer supervisory intervention
    5. Include an explanation of the limited benefit plan either by:
        - Describing the limited benefit plan in the text of the reminder, request or letter, or

- Attaching Comm. 170, *Understanding the Limited Benefit Plan*, or
- Sending form 470-0813, *Notice of Appointment or Participation*, which includes an explanation of the limited benefit plan.

If a participant fails to verify hours of employment or participation in other FIA activities after receiving the clear written reminder, PROMISE JOBS makes entry into PJCASE to start a limited benefit plan (LBP) if a review concurs that the participant has chosen a LBP.

If the LBP is a first, the client can end it by reconsidering and signing an FIA.

If the LBP is a subsequent, the client cannot take any action to end or reconsider the LBP until the six-month period has ended.

Implementation:

Apply the new policy and procedure to limited benefit plans imposed on or after February 1, 2014.

PROMISE JOBS MEMO 165, Limited Benefit Plan (LBP) for Failure to Verify Hours of Employment or Participation, pages 25 to 32 are obsolete.

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OVERVIEW OF PROMISE JOBS PROGRAM

The Department of Human Services (DHS) administers an employment and training program known as "PROMISE JOBS." Eligibility for the PROMISE JOBS program is dependent upon eligibility for the Family Investment Program (FIP).

The PROMISE JOBS program is designed to increase the availability of employment and training opportunities to FIP recipients through the family investment agreement (FIA). The program also implements Title I of the Personal Responsibility and Work Opportunities Reconciliation Act of 1996 (PRWORA), Block Grants for Temporary Assistance for Needy Families (TANF).

The program assigns responsibility for the provision of services for PROMISE JOBS to the Workforce Development Department. In addition, the DHS Bureau of Refugee Services is assigned the responsibility of providing program services to all refugees who have not attained U.S. citizenship, to the extent allowed with available resources.

PROMISE JOBS and the family investment agreement are designed to provide FIP applicants and recipients with opportunities to move to self-sufficiency through employment and to develop vocational skills needed to become economically self-sufficient, taking into consideration the 60-month lifetime limit of FIP/PROMISE JOBS benefits. See **Limit on PROMISE JOBS Assistance**.

For families that have exhausted their 60-month lifetime limit of FIP benefits, see **HARDSHIP EXEMPTION**.

Federal law contains mandatory work requirements expressed as participation rate requirements. Each state must achieve a minimum participation rate for all families that are required to be counted in the calculation of participation rates. Iowa Workforce Development notifies PROMISE JOBS staff of these annual participation rate goals. If Iowa fails to meet work participation requirements, the state faces loss of federal funding that can result in reduced participant services.

The income maintenance (IM) workers in the DHS local offices determine each client's mandatory or exempt status for PROMISE JOBS and refer applicants and participants to the program through referral code entries on the DHS Automated Benefit Calculation (ABC) system.

FIP applicants and participants who are eligible for the PROMISE JOBS program receive services such as orientation, assessment, job-seeking skills training, and job search assistance. FIP applicants and participants who do not qualify for exemption are referred to and must participate in the PROMISE JOBS program. The PROMISE JOBS/family investment agreement process begins with an orientation to the PROMISE JOBS program.

Unless exempt from participating with the PROMISE JOBS program, applicants who appear eligible for FIP and participants who lose their exempt status are referred to a designated office in the PROMISE JOBS service delivery region (or to the Bureau of Refugee Services if the participant is a refugee who has not yet attained U.S. citizenship). Referred individuals complete program orientation and go through an assessment process to determine their vocational aptitude and interest.

A family investment agreement is developed based on assessments reflecting family circumstances. The family investment agreement establishes the date the family plans to leave public assistance and maps the course of services that will be provided to enable a family to achieve economic self-sufficiency.

See **Six-Month Family Investment Agreement** for family investment agreement policies specific to families who have been granted a hardship exemption.

PROMISE JOBS/family investment agreement services include:

- Orientation
- Assessment
- Job-seeking skills training
- Group and individual job search
- Job placement
- Job development
- PROMISE JOBS on-the-job training
- Work experience
- Monitored employment
- Unpaid community service
- Life skills
- Parenting skills training
- Referral for family planning counseling
- Classroom training programs, including:
  - High school completion
  - Adult basic education
  - General educational development
  - English as a second language
  - Vocational classroom training
  - Postsecondary education
  - Entrepreneurial training
- Family violence option
- Family Development and Self-Sufficiency services
- Other family development services

Legal Basis

The legal basis for the PROMISE JOBS program is found in:

- Title IV-A of the Social Security Act.
- Iowa Code Chapter 239B.
- 441 Iowa Administrative Code, Chapters 41 and 93.

Program Area

Legal reference: 441 IAC 93.101(239B)

The PROMISE JOBS program, including the family investment agreement, is available statewide.

If DHS determines that sufficient funds are not available to offer on-location services in each county, state-level PROMISE JOBS administrators will prioritize the availability of services in those counties having the largest FIP populations.

Agencies Responsible for Provision of Services

Legal reference: 441 IAC 93.103(239B) and 93.150(239B)

PROMISE JOBS and family investment agreement services are provided by the state Workforce Development Department, known as IWD. The DHS Bureau of Refugee Services (BRS) provides PROMISE JOBS services to people who entered the country with refugee status who have not attained U.S. citizenship, to the extent allowed with available resources.

Applicants and participants also have access to all services offered by the provider agencies. People in other work and training programs outside of PROMISE JOBS or not approvable by PROMISE JOBS may be able to use activities from other services as family investment agreement options.

Refugee participants served by BRS are entitled to receive the same services and expense allowances (transportation and child care, etc.) as participants served by IWD. BRS meets the same requirements as IWD for provision of services and administration requirements.

The flow of PROMISE JOBS services through IWD is determined through state-level administrative approval.

Family Development and Self-Sufficiency Program

Legal reference: 441 IAC 93.105(2) and 93.110(239B)

The Family Development and Self-Sufficiency (FaDSS) program targets FIP participants who require concentrated services to overcome severe or multiple barriers in order to become self-sufficient. FaDSS is funded as a supportive service to the PROMISE JOBS program. Participation in FaDSS is voluntary and is designed to enhance a participant's strengths.

The program is operated statewide by public and private agencies under contract with the Department of Human Rights. These agencies, referred to as the FaDSS grantees, work with families comprehensively as a part of a specific plan toward family stability and self-sufficiency.

While stressing the strengths of families, the program provides ongoing assessment and goal setting and addresses safety, basic needs, shelter, health, and family functioning. FaDSS provides continuing support to these families as they work toward self-sufficiency.

FaDSS services are appropriate when:

- Very frequent contacts of personal support would greatly increase the possibility of self-sufficiency.
- The participant faces significant multiple family barriers and time is needed to address these barriers before beginning progress on economic goals.
- The participant is having difficulty understanding the family investment agreement and the limited benefit plan (LBP) process.

FaDSS is designed to assist a participant with severe or multiple barriers to participate in the PROMISE JOBS program meaningfully. FaDSS may also provide support as the family transitions to self-sufficiency for an additional three consecutive months after FIP eligibility ends.

Cooperation between PROMISE JOBS and FaDSS grantee staff is required to enroll FaDSS participants into PROMISE JOBS, complete a family investment agreement and provide ongoing services to a family. When providing services to a family who is enrolled in the FaDSS program, keep in mind that:

- FaDSS and PROMISE JOBS are both essential resources for the family investment agreement. Each depends on the other to provide participant services not provided by the other program.
- PROMISE JOBS and FaDSS will not interrupt each other's services. The FaDSS case manager and the PROMISE JOBS case manager, in consultation, shall decide if and when a FaDSS participant is capable of actively participating in other PROMISE JOBS activities, with FaDSS providing family support and PROMISE JOBS providing work and training services.

Limit on PROMISE JOBS Assistance

Legal reference: 441 IAC 41.30(239B) and 93.103(239B)

Only people who are applying for or receiving FIP assistance are eligible for PROMISE JOBS services. PROMISE JOBS services are subject to a family's 60-month FIP limit. See **HARDSHIP EXEMPTION** for FIP/PROMISE JOBS eligibility beyond 60 months.

The 60-month limit applies to a FIP family with an "adult" who is:

- A parent in the home with the child, even if the parent is excluded from the FIP grant.
- A minor parent in the home who is payee for his or her own FIP case, even if the parent is excluded from the grant.
- An incapacitated stepparent who is included in the FIP grant.
- A needy nonparental specified relative who is included in the FIP grant with the nonparental child.

Exception: When the only parent in the home (or both parents in a two-parent household) receives Supplemental Security Income (SSI), the 60-month limit does not apply. When both parents of the FIP child are in the home but only one parent is on SSI, the 60-month limit must be applied.

In two-parent households, the 60-month limit is determined when either parent has received FIP assistance for 60 months.

The entire family is ineligible when the person who has received assistance for 60 months is:

- The adult or minor parent head of household of the child on FIP, or
- An incapacitated stepparent on the grant.

In a nonparental case, only the needy specified relative becomes ineligible at the end of the 60-month period. Assistance for the nonparental children may continue.

The 60-month period need not be consecutive. As of January 1997, any month for which the adult or minor parent head of household receives assistance in Iowa is counted toward the 60-month limit. Assistance received for a partial month counts as a full month. Assistance received before January 1997 is not counted.

DHS is tracking the 60-month limit via the Eligibility Tracking System (ETS), which obtains the information from entries made on ABC and from the Issuance Verification (ISSV) system.

PROMISE JOBS staff have access to ETS and should access this system regularly to verify a particular case's remaining time on FIP when writing a family investment agreement and in ongoing case management. See **Determining the 60-Month Limit**.

The IM worker will send a timely *Notice of Decision* to cancel FIP at the end of the family's 60-month period. IM will proceed to cancel FIP even if the family has filed form 470-3826, *Request for FIP Beyond 60 Months*. The 60-month cancellation notice informs the family that:

- It will get another notice about the status of its hardship exemption request, and
- Cancellation of FIP assistance also cancels PROMISE JOBS services.

If timely notice cannot be met, FIP will be canceled effective the second month. Excess PROMISE JOBS assistance for the first month is subject to recoupment unless the family requests and is determined eligible for a hardship exemption that includes the first month.

Discuss the 60-month limit during orientation, while writing Family Investment Agreements and during family contacts. Stress to clients the importance of planning early how to become self-supporting by the end of the 60-month FIP period. Let them know that PROMISE JOBS staff can help them prepare for that time.

The 60-month limit applies only to FIP assistance. Families whose 60-month FIP period ends may still get other types of assistance, such as Medicaid, food assistance, or child care assistance.

Determining the 60-Month Limit

Legal reference: 441 IAC 41.30(1) and (2)

The Eligibility Tracking System (ETS) tracks months of assistance for each adult whose assistance must be counted. Regularly and routinely access ETS to determine applicants' and participants' 60-month FIP count. For example, access ETS:

- When receiving a referral and writing the initial family investment agreement.
- When renegotiating and amending family investment agreements.
- At any other time when determining the family's 60-month FIP status is pertinent.

The "Individual FIP History" screen on ETS reflects the 60-month count for each adult whose assistance must be counted toward the limit regardless of the adult's current FIP status.

To obtain a listing of participant cases that have received FIP for 36 or more months, select the "Active Cases That Have Used FIP For 36 or More Months" report on ETS.

Except for families that are exempt, IM observes the following basic principles for determining a family's 60-month count:

- Each "adult's" months are counted toward the family's 60-month limit. Therefore, in two-parent families, the 60-month limit is determined when either parent has reached the 60-month limit.
- The count begins with the month for which the "adult" receives a FIP grant for the family, even if the parent is excluded from the grant.
- The count stops beginning with the month for which the "adult" no longer receives a FIP grant for the family or becomes exempt from the limit.

In determining the number of months a family has received FIP assistance, IM does not consider toward the 60-month limit any month for which FIP was not issued for the family, such as when:

- FIP is suspended for the month, or
- FIP is not issued for the month because the family was eligible for less than $10 (or due to rounding).

When it comes to your attention that a FIP applicant or participant has received assistance in another state, the District of Columbia, or a United States territory, do not contact other states for verification, but do notify the applicant's IM worker.

The IM worker will contact that state or territory to verify whether the assistance received was TANF assistance that counts toward the federal 60-month limit, as some forms of cash assistance are not countable toward the federal 60-month limit.

The IM worker will record each countable month in the ETS "Individual FIP History" screen. When IM records out-of-state months in ETS, ETS considers them, in addition to any Iowa months received, in determining the number of months the person has used and has remaining. ETS reports reflect that combined total.

The IM worker will notify PROMISE JOBS whenever out-of-state months are added for a participant who has already been referred to PROMISE JOBS, as it may be necessary to modify the family's *Family Investment Agreement* to fit the shortened remainder of their 60-month period.

If the addition of countable out-of-state months causes a participant to exceed the 60-month limit, the IM worker will cancel the case with timely notice and notify PROMISE JOBS. See **Hardship Overpayments** for information on recouping assistance issued beyond the 60-month limit.

REFERRING CLIENTS TO PROMISE JOBS

Legal reference: 441 IAC 41.24(1), 41.24(3), and 93.104(239B)

The DHS Income Maintenance (IM) Unit refers the following people to the PROMISE JOBS program, unless they are exempt from participation:

- All FIP applicants who appear eligible for FIP.
- All people in the FIP eligible group.
- Any parent living in the home of a child receiving a FIP grant.

IM staff determine whether each household member must participate in PROMISE JOBS or if some or all members meet one of the exemption criteria described under **Who Is Exempt From PROMISE JOBS Participation**.

Each person who is a mandatory referral to the PROMISE JOBS program is a PROMISE JOBS client. PROMISE JOBS clients need to meet with a PROMISE JOBS worker and complete the writing and signing of a family investment agreement as a condition of FIP eligibility:

Applicants: A current family investment agreement must be signed before FIP approval.

- If a parent (or either parent in a two-parent household) fails to sign a family investment agreement, the entire family is ineligible for FIP.
- If a mandatory person who is not a parent fails to sign a family investment agreement, only that person is ineligible.

Participants: Once a FIP recipient loses exempt status, DHS will send a letter explaining that the person is now required to comply with the PROMISE JOBS program and must contact PROMISE JOBS within 10 days to schedule an appointment to begin the family investment agreement process.

People with refugee participant codes receive letters referring them to the Bureau of Refugee Services' central office. (See letter texts in ***PJPM APPENDIX***, forms 470-3105 and 470-3106, *FIA Referral for Mandatory Participants*.)

Participants who do not sign a family investment agreement choose the limited benefit plan (LBP) as described at **LIMITED BENEFIT PLAN**.

Although all persons who apply for assistance are considered to be registered for PROMISE JOBS, the IM worker must do the actual referral of mandatory PROMISE JOBS clients through the ABC system.

The IM worker makes referrals to PROMISE JOBS differently for applicants than for those who are FIP participants when they become mandatory to comply with the PROMISE JOBS program.

- **Applicants**: The IM worker refers FIP applicants who are mandatory referrals to PROMISE JOBS by:
  - Scheduling an appointment for the applicant to meet with PROMISE JOBS to write and sign a family investment agreement for the earliest time available that the applicant can attend, by accessing PJCase Calendar;
  - Completing parts form 470-3897, *FIA Appointment*, and distributing a copy to the client and to the PROMISE JOBS SDR mailbox;
  - Issuing form 470-0806, *Self-Assessment*, to the applicants with instructions to complete as much as possible and take with them to the PROMISE JOBS appointment; and
  - Pending the case on ABC, ensuring that the applicable JOBS referral codes are entered.
- **Participants**: The IM worker refers participants who lose exempt status while receiving FIP by making entries into ABC and changing the individual's JOBS referral code on the ABC TD03 screen from exempt to mandatory.
- **Families who are requesting FIP beyond 60 months**: The IM worker refers families who have been determined to have a hardship condition by:
  - Scheduling an appointment for the applicant to meet with PROMISE JOBS to write and sign a family investment agreement, by accessing PJCase Calendar;
  - Completing form 470-3897, *FIA Appointment*, and distributing as instructed in the PROMISE JOBS Provider Manual Appendix;
  - Issuing form 470-0806, *Self-Assessment*, to the clients with instructions to complete as much as possible and take with them to the PROMISE JOBS appointment;
  - Processing Section 1 of form 470-3876, *Hardship Exemption Determination* (see **HARDSHIP EXEMPTION**); and
  - Pending the case on ABC, when an application is required, ensuring that the applicable JOBS referral codes are entered.

PROMISE JOBS staff responsible for monitoring the SDR PJCase mailbox will distribute the referral appointments for FIP applicants to the appropriate PROMISE JOBS worker within one working day of receiving the referral appointment. Determine locally when it is necessary for IM to contact PROMISE JOBS directly to notify PROMISE JOBS of an appointment that is being scheduled very soon. Use your local communication plan to communicate the information.

The same process is used to refer refugees to the Bureau of Refugee Services (BRS). If the person enters the United States as a refugee, BRS will provide the PROMISE JOBS services until the refugee attains U.S. citizenship. The determining factor for making the referral to BRS is the person's alien status when the referral is made.

The refugee referral code changes if the refugee attains U.S. citizenship. Once the person becomes a U.S. citizen, IWD will provide the PROMISE JOBS services.

Note: All "adults" in families that are approved for a six-month hardship exemption are mandatory PROMISE JOBS participants. No exemptions are allowed even if the "adult" is disabled. (See **Qualifying for a Hardship Exemption**, for the definition of "adult.")

People Who Must Be Referred to PROMISE JOBS (Unless Exempt)

All applicants who appear eligible for FIP and all people included in the FIP grant, specifically:

- Any parent on the grant
- Any needy specified relative on the grant
- Any child aged 16 or older who is not in school
- Any minor parent, whether or not in school

Any excluded parent living with a child included in the FIP grant, such as:

- Parents excluded for failure to provide a social security number
- Parents excluded for failure to apply for all benefits
- Alien parents ineligible under 8 USC 1641

DHS provides a referral file of mandatory referrals to PROMISE JOBS. At the end of each day, the data file is sent to the PROMISE JOBS state-level office. They provide the information to your SDR. Some items included in the daily referral or change data file are:

- Participant name, address, and social security number.
- IM worker number.
- Status for FIP, Food Assistance, and Medicaid.

ABC will process PROMISE JOBS referrals only for people who have a social security number and are in a pended or an active FIP status (i.e., who are included in the FIP grant). Thus, IM workers must manually refer aliens who are not exempt whose social security number has been entered as 999-99-9999 pending application for or receipt of a number, such as:

- New alien arrivals
- Battered aliens
- Refugees

The IM worker will inform you if a battered alien does not yet have a social security number. It is possible for an alien designated as a battered alien to possess employment authorization. Contact IWD/PROMISE JOBS central office for assistance with problems with authorizing expense allowances.

The manual referral process is determined locally. It may consist of a phone call, an E-mail, or a written memo to the PROMISE JOBS office or to a designated PROMISE JOBS contact person.

Upon receipt of a manual referral:

- For applicants, follow your usual procedures.
- For participants whose referral status has changed from exempt to mandatory, send the referred person a copy of *FIA Referral for Mandatory Participants*, form 470-3105 (IWD) or 470-3106 (BRS).
- Track the ten day response due date.

The following sections give more information on:

- Referring disabled people in a limited benefit plan
- Who is exempt from PROMISE JOBS participation
- Referral of FaDSS participants

Referring People in a Limited Benefit Plan

Legal reference: 441 IAC 41.24(1)"d," 41.24(4)"a," 93.104(3), 93.105(2)

When a person chooses a **first** limited benefit plan (LBP), the person may begin the reconsideration process any time from the date of the *Notice of Decision* imposing the limited benefit plan.

When a person contacts you to reconsider a **first** limited benefit plan before the effective date, document and report the contact to IM via PJCase when there is time for the person to sign a family investment agreement before the effective date.

Schedule an appointment by accessing PJCase Calendar, completing form 470-3897, *FIA Appointment*, and distributing a copy to the client and to the client's IM worker. When such a person contacts the IM worker, the IM worker will schedule the appointment and refer the person to you via the system as soon as possible.

When there is not enough time for the person to sign a family investment agreement before the effective date of cancellation, refer the person to IM to reapply for FIP. If the household files an application, the IM worker will:

- Make entries to refer the person to you no later than the date of the application interview.
- Explain the actions the person who chose the limited benefit plan must take with PROMISE JOBS before the person and the person's family can receive FIP again.

Refer to **Reconsidering an Active Limited Benefit Plan** for more information.

To reconsider, the person may contact you or the IM worker. The needed action varies with the specific situation.

- When a person makes contact before the effective date of a **first** limited benefit plan:
  - If there is an available family investment agreement appointment before the effective date, offer the next available appointment. If the person can attend, schedule the person using the PJCase Calendar and form 470-3897, *FIA Appointment*. The IM worker will do the same if the person contacts IM.
  - If there is not an available appointment before the effective date, tell the person that the person must reapply for FIP. Document and report the contact to the IM worker. Do not schedule the person. IM will send the person an application. The IM worker will do the same if the person contacts IM and there is not an available appointment before the effective date.

    If the person files the application, the IM worker will make an ABC entry to refer the person to you and schedule the person using the PJCase Calendar and form 470-3897, *FIA Appointment*.
- When a person makes contact after the effective date of a **first** limited benefit plan, or after the six-month ineligibility period of a **subsequent** limited benefit plan ends:
  - Tell the person that the person must reapply for FIP. Document and report the contact to the IM worker. Do not schedule the person. IM will send the person an application. The IM worker will do the same if the person contacts IM.
  - If the person files the application, the IM worker will make ABC entries to refer the person to you and schedule the person using the PJCase Calendar and form 470-3897, *FIA Appointment*.
- When a person in a **subsequent** limited benefit plan makes contact after the *Notice of Decision* has been issued and within the six-month ineligibility period:
  - When the contact is made before month 6 of the ineligibility period, explain that the limited benefit plan cannot be reconsidered and FIP eligibility does not exist.
  - When the contact is made in month 6 of the ineligibility period, tell the person that the person must reapply for FIP and refer the person to the IM worker.

Referring Disabled People

Legal reference: 441 IAC 41.24(1)

The IM worker refers people who claim a disability to PROMISE JOBS, unless they are exempt due to receipt of Supplemental Security Income (SSI) benefits due to disability or blindness. The IM worker will refer disabled people who are not receiving SSI even when they claim that they are not able to participate with PROMISE JOBS.

Develop a family investment agreement that meets the disabled person's needs and abilities. Identify the problem or the barrier and include any actions needed to accommodate and remove the barrier. Consider any limitations when determining the person's level of participation in PROMISE JOBS activities.

Unless medical evidence is available from the Division of Vocational Rehabilitation Services, issue form 470-0447, *Report on Incapacity*, to be completed by a medical professional when a person claims a disability. Consider the medical professional's statements when writing or amending the family investment agreement.

For people who have limitations that prohibit their involvement with actual PROMISE JOBS components, include in their family investment agreement any activity that addresses their barrier. For example, this may include compliance with a medical professional's treatment plan.

The person may qualify for SSI when:

- Medical evidence substantiates that the person's disability is expected to last for at least 12 months or to result in death, and
- The person claims to be unable to engage in substantial activity due to the disability.

As a condition for continuing FIP eligibility for the family, IM will require the person to apply for Social Security Disability (SSD) and SSI benefits and accept them, if found eligible.

When you become aware of this situation, inform the IM worker using local communication procedures. Follow-up by faxing or sending a copy of the completed *Report on Incapacity* to the IM worker.

Referring People to the Division of Vocational Rehabilitation Services

Refer people with physical or mental impairments to the Department of Education, Division of Vocational Rehabilitation Services (DVRS), as appropriate. When making a referral to DVRS, inform the IM worker. IM will make a system referral to DVRS by entering a "V" in the OHP field on the ABC TD03 screen.

DVRS assesses referrals from PROMISE JOBS and makes an eligibility determination of:

- Most significantly disabled (MSD)
- Significantly disabled (SD)
- Non-significantly disabled/others (Non-SD)

Eligibility for vocational rehabilitation services depends on:

- The person having a physical or mental impairment which constitutes or results in a substantial impediment to employment for that person;
- A determination that the person can benefit in terms of an employment outcome from vocational rehabilitation services; and
- A determination that the person requires vocational rehabilitation services to prepare for, enter, or engage in or retain gainful employment.

Employment is the objective of the Vocational Rehabilitation Program. Eligible people receive counseling and guidance in choosing a vocational objective consistent with their interest and abilities and in determining how to prepare for and obtain a job. The person and the rehabilitation counselor jointly develop an employment plan that summarizes

- The person's job goal.
- Services needed to achieve this objective.
- How services will be obtained.
- How and when progress will be measured.

Communicate with the DVRS counselor to verify the date vocational rehabilitation services can begin in relationship to the DVRS budgetary status. When waiting lists are in use and the likelihood of those assessed as non-significantly disabled being served cannot be foreseen, do not include vocational rehabilitation services in the family investment agreement.

Acceptance of vocational rehabilitation services is optional, but once the services are accepted and written into a family investment agreement as action steps, the services become subject to all family investment agreement requirements and qualify for expense allowances.

Work with the participant and the DVRS counselor to incorporate and support the vocational rehabilitation plan to the extent possible within PROMISE JOBS policies and procedures.

Who Is Exempt From PROMISE JOBS Participation

Legal reference: 441 IAC 41.24(2)(239B)

The IM worker will exempt from PROMISE JOBS people who are under age 16 and are not parents. People may also be exempt due to school attendance or receipt of SSI or due to their alien status. The following sections explain requirements under each exemption.

Note: No exemptions are allowed for "adults" in families that are approved for a six-month hardship exemption, including adults that are receiving SSI. Address the adult's disability in the family investment agreement. For a definition of "adult," see **Qualifying for a Hardship Exemption**.

The following sections explain the requirements under each exemption.

School Attendance Exemption

The IM worker will exempt people who are aged 16 to 19 and are **not** parents and are attending elementary or secondary school or the equivalent level of vocational or technical school on a full-time basis except when the person:

- Is receiving FIP; and
- Was referred to PROMISE JOBS on or after November 1, 2005, and returned to school after signing a family investment agreement that remains in effect.

IM considers the child's school attendance full time when the child is not present during school vacations or because of illness, convalescence, or family emergencies. A child meets the definition of regular school attendance until the child has been officially dropped from the school rolls. Participating in a correspondence school does not exempt a child from PROMISE JOBS.

A person on FIP aged 16 to 19 who is referred to PROMISE JOBS remains obligated to a signed family investment agreement as long as the person remains eligible for FIP, regardless of school attendance. IM will not exempt a person aged 16 to 19 who has signed a family investment agreement if the person returns to school.

FIP applicants aged 16 to 19 who are not parents and who have chosen an active limited benefit plan must take action to reconsider the limited benefit to become FIP eligible, regardless of their school attendance status. See **Referring People in a Limited Benefit Plan** for more information.

SSI Exemption

The IM worker will exempt people who are receiving SSI benefits due to their own disability except for "adults" in families determined to meet hardship exemption criteria. People who receive SSI are not eligible for FIP or for PROMISE JOBS services unless they are an adult household member of a family who appear potentially FIP eligible or who has been approved to receive FIP beyond 60 months.

IM will refer to the PROMISE JOBS program all people who consider themselves disabled who are not receiving SSI. This includes people whom:

- Have a pending application for SSI or SSD,
- Have filed an appeal of a denial of SSI or SSD, and
- Are receiving other disability benefits, such as VA or worker's compensation.

Alien Exemption

PROMISE JOBS may serve only alien parents with the following alien classifications, as listed at 8 United States Code (USC) 1641:

- Asylee admitted under INA Section 208
- Refugee admitted under INA Section 207
- Amerasian immigrant
- Paroled into the U.S. under INA Section 212(d)(5) for at least one year
- Deportation withheld under INA Section 243(h) or Section 241(b)(3)
- Granted conditional entry under INA Section 203(a)(7) before April 1, 1980
- Cuban or Haitian entrant
- Battered alien under 8 USC 1641(c)
- Lawfully admitted for permanent residence under the Immigration and Nationality Act (INA)

The IM worker will exempt people who are not U.S. citizens and whose alien classification is not listed above. Examples of immigration statuses held by aliens who are not eligible for PROMISE JOBS services include:

- Illegal aliens.
- Nonimmigrants under the INA.
- Aliens paroled into the U.S. under INA Section 212(d)(5) for less than one year.
- Temporary residents under the Immigration and Control Act.
- Aliens in deferred status.
- Aliens with protected status, such as "permanently residing in the U.S. under color of law."

Referral of FaDSS Participants

The methods of referral to the FaDSS program are as follows:

- **Referral by PROMISE JOBS:** According to local arrangements, information about the FaDSS program should be made available.

  PROMISE JOBS may determine that a family would benefit from intensive FaDSS services through initial assessment, if a family is having difficulty participating successfully, or if there is a prior history of a limited benefit plan.

  Offer a referral to FaDSS to families who:

  - Are having difficulty participating successfully,
  - Have a prior history of a limited benefit plan,
  - Have chosen the family violence option,
  - Have a history of domestic violence, or
  - Are currently at risk because of domestic violence.

- **Referral by DHS income maintenance or social workers:** DHS IM workers and social workers may make referrals if:

  - A family has a history of a limited benefit plan, or
  - Past history with the family indicates benefits from participation in FaDSS, or
  - A family claims or requests consideration of good cause reasons for noncooperation with Child Support Recovery.

- **Referral by an agency other than DHS:** According to local arrangements, FaDSS grantees may obtain referrals from agencies outside of DHS. The FaDSS grantee is responsible for verifying that the family:
  - Currently receives FIP.
  - Meets one or more of the FaDSS at-risk criteria.
  - Is not currently in a period of ineligibility from choosing an LBP.
- **Recruitment by DHS lists:** In areas with low referral rates, grantees may use the option of obtaining through the Department of Human Rights lists of FIP participants who are eligible for the FaDSS program. It is suggested, but not required, that PROMISE JOBS and FaDSS meet to discuss the list of eligible FIP participants before direct recruiting by FaDSS.

Communicate information regarding referrals to the FaDSS program through the *FaDSS Universal Referral*, form FaDSS-00-01-R. PROMISE JOBS workers use this form to refer a family to the FaDSS program. FaDSS workers use this form to inform PROMISE JOBS of a referral, the status of a referral and to document the enrollment date if FaDSS services are accepted by a family.

For any referral being made from sources other than PROMISE JOBS, FaDSS is responsible for getting this form to the local PROMISE JOBS office within five working days of the referral being made.

The FaDSS program will notify PROMISE JOBS within ten working days from the date of referral of the status of the referral. If FaDSS is unable to meet with the family within the first ten days, PROMISE JOBS should be notified of the final status within 20 days of the date of referral.

See **FaDSS Participation** for policies and procedures regarding families who are considering enrolling into the FaDSS program or who have accepted FaDSS services.

SERVICE UPON REFERRAL

Legal reference: 441 IAC 93.105(2)

Each person who is a mandatory referral to the PROMISE JOBS program must meet with a PROMISE JOBS worker and complete the writing and signing of a family investment agreement.

- For **applicants**, the family investment agreement must be signed before FIP approval.
  - If a parent (or either parent in a two-parent household) fails to sign a family investment agreement, the entire family is ineligible for FIP.
  - If a mandatory person who is not a parent fails to sign a family investment agreement, only that person is ineligible.
- When a FIP **participant** loses exempt status, DHS will send a letter explaining that they are now required to comply with the PROMISE JOBS program and to contact their PROMISE JOBS office within ten days. Participants who do not sign a family investment agreement choose the limited benefit plan.

FIP Applicants

As an eligibility requirement to receive FIP, all members of the potentially eligible FIP household who are a mandatory referrals to the PROMISE JOBS program must have a valid family investment agreement before the IM worker can proceed with approving the family's application for FIP.

After conducting the face-to-face interview, the IM worker will make referrals to PROMISE JOBS through the ABC system when it appears likely that a family will be determined eligible for FIP. Referrals will be made no earlier than the date of the application interview.

The IM worker will also schedule an appointment for the referred persons to meet with PROMISE JOBS for orientation completion and to write and sign a family investment agreement, using form 470-3897, *FIA Appointment*. (See ***PJPM APPENDIX***).

The IM worker will issue form 470-0806, *Self-Assessment*, along with form 470-3897, *FIA Appointment*, with instructions to complete this form to the best of the applicant's ability before attending the appointment with PROMISE JOBS to write and sign a family investment agreement.

The IM worker will schedule appointments at the earliest time possible, based upon a schedule provided by the local PROMISE JOBS office. All appointments must be scheduled within ten days of the date of referral, so PROMISE JOBS must provide enough appointment times to accommodate the number of FIP applications filed.

Make every attempt to complete the orientation process and obtain a signed family investment agreement during the assigned appointment time.

In the rare instances where a phone interview is required to accommodate a family's travel situation, send orientation materials and a copy of the completed family investment agreement to the family. The family will need to sign and return the family investment agreement before you can notify the IM worker of cooperation. Do not waive any requirements of orientation.

Allow the client five working days from the date you mail orientation information, *Your FIA Rights and Responsibilities*, and the family investment agreement, to return requested information. Include a letter explaining what is needed, the date the information is due and the repercussions for not returning all requested information. Enclose a self-addressed stamped envelope.

When the applicant signs a family investment agreement, make entries in PJCase and the PJOB system within one working day of your appointment with the client or receipt of the requested information. Processing of the PJCase entry:

- Sends an E-mail to the IM worker, alerting the IM worker to proceed with the FIP eligibility determination.
- Records the ACTIVE FIA DATE in the PJCase system.
- Changes the "applicant" JOBS code to a valid "participant" code, if FIP is active, or to the "unknown" status code, if FIP is not active. The IM worker will update the "unknown" code to a valid "participant" code if FIP is approved.

When the applicant does not sign a family investment agreement, make entries in PJCase and the PJOB system. Processing of the PJCase entry:

- Denies the application in ABC and sends a *Notice of Decision* to the family when the person is a FIP parent. Otherwise, the IM worker must make entry in ABC to deny the FIP application and to send the notice.
- Sends an E-mail to the IM worker. The E-mail tells the IM worker if the system denied the application, or if the IM worker needs to make entry in ABC to deny the application.
- Changes the person's "applicant" JOBS code to the "unknown" code.

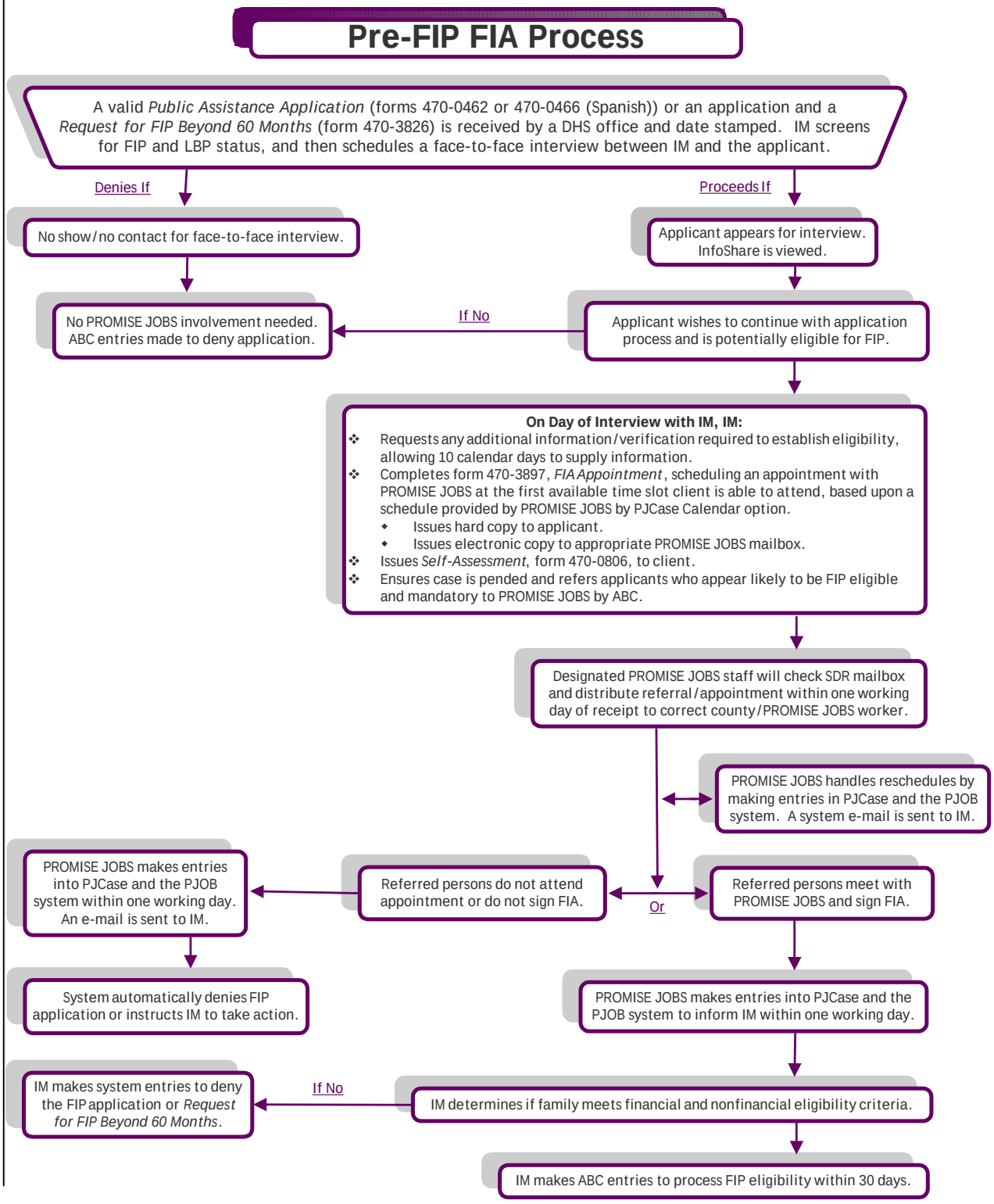
For clients who do not appear for their appointment, who do not sign a family investment agreement, or who fail to return requested information, make entries in PJCase and the PJOB system when you determine that the client is not complying.

If the client contacts you before the end of that workday, use the "prudent person" concept to determine if the client has extenuating circumstances that contributed to the client not meeting the deadline and therefore, good cause exists.

When you determine that good cause exists, make every effort to reschedule the appointment within ten calendar days from the date of the IM referral. Make entries in PJCase, as well as in the PJOB system, to delete your previous entry that a family investment agreement was not signed. The PJCase entry sends an E-mail to the IM worker alerting the IM worker that the appointment has been rescheduled.

PROMISE JOBS staff handles all rescheduling of appointments. The phone number and address of the PROMISE JOBS office is included on form 470-3897, *FIA Appointment.*

The following flow chart illustrates the procedure to follow when a referral is received on a FIP applicant.


Pre-FIP FIA Process
A valid *Public Assistance Application* (forms 470-0462 or 470-0466 (Spanish)) or an application and a *Request for FIP Beyond 60 Months* (form 470-3826) is received by a DHS office and date stamped. IM screens for FIP and LBP status, and then schedules a face-to-face interview between IM and the applicant.
Denies If
Proceeds If
No show/no contact for face-to-face interview.
Applicant appears for interview. InfoShare is viewed.
No PROMISE JOBS involvement needed. ABC entries made to deny application.
If No
Applicant wishes to continue with application process and is potentially eligible for FIP.
On Day of Interview with IM, IM:
Requests any additional information/verification required to establish eligibility, allowing 10 calendar days to supply information.
Completes form 470-3897, *FIA Appointment*, scheduling an appointment with PROMISE JOBS at the first available time slot client is able to attend, based upon a schedule provided by PROMISE JOBS by PJCase Calendar option.
Issues hard copy to applicant.
Issues electronic copy to appropriate PROMISE JOBS mailbox.
Issues *Self-Assessment*, form 470-0806, to client.
Ensures case is pended and refers applicants who appear likely to be FIP eligible and mandatory to PROMISE JOBS by ABC.
Designated PROMISE JOBS staff will check SDR mailbox and distribute referral/appointment within one working day of receipt to correct county/PROMISE JOBS worker.
PROMISE JOBS handles reschedules by making entries in PJCase and the PJOB system. A system e-mail is sent to IM.
PROMISE JOBS makes entries into PJCase and the PJOB system within one working day. An e-mail is sent to IM.
Referred persons do not attend appointment or do not sign FIA.
Or
Referred persons meet with PROMISE JOBS and sign FIA.
System automatically denies FIP application or instructs IM to take action.
PROMISE JOBS makes entries into PJCase and the PJOB system to inform IM within one working day.
IM makes system entries to deny the FIP application or *Request for FIP Beyond 60 Months*.
If No
IM determines if family meets financial and nonfinancial eligibility criteria.
IM makes ABC entries to process FIP eligibility within 30 days.

Adding a New Person to An Existing FIP Eligible Group

A new written application is not required for the IM worker IM to add a new person to the FIP eligible group or to make a parent or a stepparent a member of the FIP household. A face-to-face interview with the IM worker is not required when adding a new member to an active case.

The IM worker will schedule an appointment and refer any person who is a mandatory referral to PROMISE JOBS before proceeding to add this person to the active FIP case.

In these circumstances, the applicant has not viewed, so PROMISE JOBS staff needs to provide orientation to PROMISE JOBS. Failure to attend the PROMISE JO BS appointment or failure to write and sign a family investment agreement could result in cancellation of the active FIP case.

Make entries in the PJCase and PJOB systems as described in **FIP Applicants**.

Break in Assistance of One Month or Less

FIP applicants who have already signed a family investment agreement and are referred to PROMISE JOBS after experiencing a break in FIP assistance of one month or less may not need to schedule an orientation appointment. See **FIA and a Break in FIP Assistance** for further information on how to deal with applicants in this situation.

FIP Recipients Whose Referral Status Changes to Mandatory

FIP participants who are being referred to PROMISE JOBS due to a change in their referral status from exempt to mandatory have the responsibility to schedule an appointment with PROMISE JOBS to write and sign a family investment agreement.

FIP participants whose PROMISE JOBS referral code is changed from exempt to mandatory are sent a letter from DHS that contains the telephone number and address of the PROMISE JOBS office serving the participant's county of residence. (See ***PJPM APPENDIX***, forms 470-3105 and 470-3106.)

When the IM worker learns of a change in circumstances that affects the PROMISE JOBS referral status, the IM worker will send the participant notice that exempt status has been lost and family investment agreement responsibility has begun.

Within ten calendar days of receiving this notice, FIP participants who are referred to PROMISE JOBS must initiate service for PROMISE JOBS orientation and the writing and signing a family investment agreement by contacting the appropriate PROMISE JOBS office.

Schedule an appointment within ten days of the date that the FIP participant contacts the PROMISE JOBS office. During the appointment, complete an orientation and obtain a completed and signed family investment agreement.

For mandatory FIP participants who do not schedule an appointment within the ten days, send *Your PROMISE JOBS Reminder*, form 470-3103. This form:

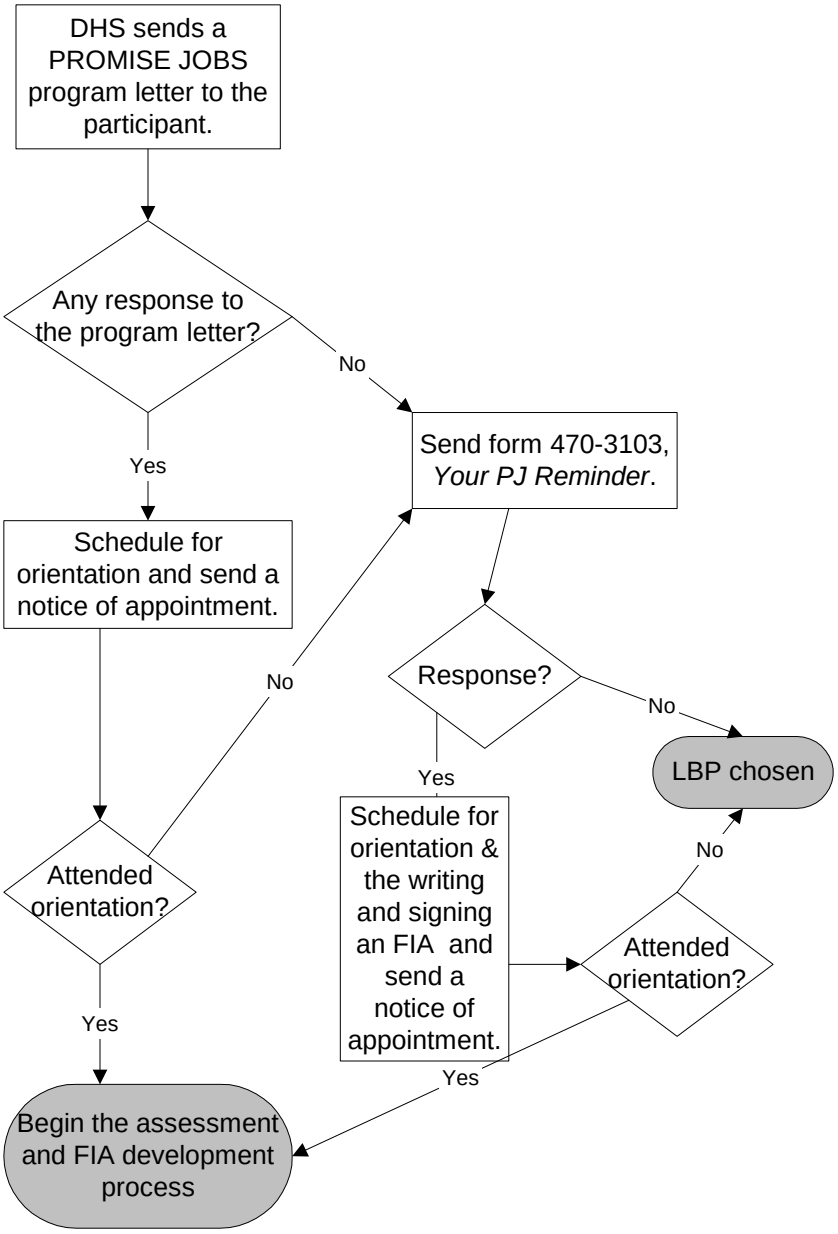
- Informs FIP participants who are not following through with orientation and writing a family investment agreement of the consequences of a first and subsequent limited benefit plan.
- Tells the participant to contact PROMISE JOBS if the participant has problems that make it difficult to work with PROMISE JOBS.
- Explains that the PROMISE JOBS supervisor is available to discuss any problems or questions.

The flow chart on the next page illustrates the procedure to follow when a participant's PROMISE JOBS referral code is changed from exempt to mandatory for PROMISE JOBS services.

When you have determined that the participant has chosen a limited benefit plan, refer the case for review as described at **Review of Limited Benefit Plan Recommendation**.

See also **Attempting to Resolve Participation Issues** for more information on actions in that situation.

Referral to PROMISE JOBS for a FIP Participant Whose PROMISE JOBS Referral Code Changes from Exempt to Mandatory



Allow participants who are participating in the Food Stamp Employment and Training (FSET) program at the time of referral to use the FSET component in which they are currently enrolled as the first step in the family investment agreement. This does not apply to people who drop out of the FSET component.

People participating in the FSET program at the time of PROMISE JOBS referral have the option of completing their FSET component. The person cannot be *required* to complete the FSET component for either PROMISE JOBS or food assistance purposes.

Note that these policies apply only to initial referral for the PROMISE JOBS program. Removal from the waiting lists is a separate issue and is described in detail at **Waiting Lists**.

The following sections give more information on:

- Prioritization of scheduling
- Orientation for PROMISE JOBS and the family investment agreement
- Arranging for services
- Beginning PROMISE JOBS participation

Prioritization of Scheduling

Legal reference: 441 IAC 93.105(2) and 93.116(7)"c"

DHS reserves the authority to prioritize orientation and other services to FIP applicants and participants in whatever order best fits the needs of the PROMISE JOBS program. You will be notified if an administrative need develops to prioritize services.

As a general procedure, orientation appointments are scheduled on a first-come, first-served, basis.

Orientation for PROMISE JOBS and the Family Investment Agreement

Legal reference: 441 IAC 93.106(239B)

Orientation is the first step in the family investment agreement process. Referred clients should be informed about the PROMISE JOBS services that are available to be part of the family investment agreement and the other programs that are available through PROMISE JOBS.

Complete orientation services for every referred FIP applicant and participant as described at **SERVICE UPON REFERRAL**. Provide or complete orientation services during the appointment to develop and sign the family investment agreement.

Orientation services begin by administering an overview of the PROMISE JOBS program via use of InfoShare, an income maintenance interviewing tool. InfoShare is administered:

- By the Income Maintenance worker for FIP **applicants** who are being referred to the PROMISE JOBS program.
- By the PROMISE JOBS worker when the referred person is a FIP **participant** whose referral status changes from an exempt to a mandatory status or for a FIP applicant who is joining an existing FIP household.

InfoShare will be supplemented by a written description of each PROMISE JOBS component. The administering of these two media will provide an explanation of:

- The PROMISE JOBS program.
- The FaDSS Program.
- The family investment agreement.
- The limited benefit plan.
- Available educational services, including a description of:
  - ABE
  - ESL
  - GED
  - High school completion
  - Postsecondary education opportunities

- Available job search services.
- The Work Experience Program (WEP) and on-the-job training (OJT).
- The advantages of employment under FIP.
- The five-year limit on FIP assistance.
- The benefits of cooperation with the Child Support Recovery Unit.
- The Child Care Assistance program.
- Transitional Medicaid, which may help if FIP is canceled due to employment.
- The Health Insurance Premium Payment program (HIPP), which may pay a family's health insurance premium while the family are still eligible for Medicaid.

The PROMISE JOBS worker completes orientation by:

- Making an effort to ensure that participants understand what is expected from them under the family investment agreement and what they can expect from PROMISE JOBS.
- Reviewing the limited benefit plan, making it clear when and how a participant is considered to be choosing the limited benefit plan. Explain the effect of choosing a **first** and a **subsequent** limited benefit plan. Issue Comm. 170, *Understanding the Limited Benefit Plan*.
- Explaining the family violence option. Issue brochures or information about domestic violence, available through your local domestic violence project.
- Requiring participants to register for employment by completing a current Workforce Development registration form, if you deem that it is appropriate. Note that this registration will not be held on file for participants referred for high school completion, GED, ABE, ESL, or postsecondary training.
- Reviewing participant rights and responsibilities under PROMISE JOBS and the family investment agreement. Give participants an opportunity to ask any questions or discuss any concerns they have.

At the conclusion of this discussion phase, require each person to sign form 470-3104, *Your FIA Rights and Responsibilities*. This form acknowledges that the client has received a full explanation of PROMISE JOBS and the family investment agreement and understands participation requirements.

Require the completion of form 470-0806, *Self-Assessment,* before the writing and signing of a family investment agreement. **Exception:** If the client's case file contains a previously completed *Self-Assessment* and you and the client have agreed that an existing family investment agreement can be reinstated, completing an additional *Self-Assessment* form is unnecessary.

Discuss with each participant or family (if appropriate when two parents or children who are mandatory PROMISE JOBS participants are involved) their current situation to determine readiness to participate, establish expenses and a payment schedule, and discuss child care needs.

Meet individually with each referred person, after all elements of Orientation have been completed, to develop their family investment agreement. Writing and signing a family investment agreement occurs during the same session as the PROMISE JOBS portion of Orientation. See **Beginning PROMISE JOBS Participation** and **FAMILY INVESTMENT AGREEMENT**.

Document clearly when orientation services are provided and the family investment agreement is completed.

Arranging for Services

Legal reference: 441 IAC 93.110(239B)

You are responsible for providing or helping participants and applicants who want to reconsider a limited benefit plan to arrange for employment-oriented services that are needed to support the client's successful participation. These include:

- Participant assessment.
- Case management.
- Employment education.
- Transportation.
- Child care.
- Referral for medical examination.
- Supportive services under FaDSS or PROMISE JOBS family development.

Provide or arrange for services needed to ensure that participants can successfully carry out the activities of the family investment agreement. Needs may be determined or revealed during:

- Participant assessment, or
- Development of the family investment agreement, or
- Development of the six-month hardship exemption family investment agreement, or
- Participation in family investment agreement activities.

Participation in PROMISE JOBS and the family investment agreement is intended to support family plans for achieving self-sufficiency. Failure to ensure that service needs have been met can result in undue hardship for the participant and may result in participant failure.

Direct your efforts towards the achievement of program goals (entry to employment, welfare savings, etc.). But do not lose sight of individual participant needs. Goals can be met only through successful participation by participants.

The following sections explain procedures for:

- Obtaining medical examinations to verify illness or disability.
- Handling self-initiated training.

Medical Examinations

Legal reference: 441 IAC 93.107(239B) and 93.117(239B)

When a client claims a temporary incapacity or permanent incapacity that makes PROMISE JOBS participation impossible, allow 45 days from the date of a written request by staff to verify the claimed illness or disability.

Do not delay the writing and signing of a family investment agreement in these circumstances. Securing and providing written documentation, signed by a health practitioner licensed in Iowa or adjoining states, becomes a step written into a family investment agreement.

When you need to assist the client in obtaining medical verification, ask the client to sign the *Report on Incapacity*, form 470-0447, to authorize the release of confidential information.

Consider that participants who fail or refuse to complete a medical examination or to provide appropriate statements have chosen the limited benefit plan. If the results of the examination do not substantiate the claimed illness or disability, require the participant to participate in PROMISE JOBS and the family investment agreement.

You may require a participant to complete a physical examination before including a particular PROMISE JOBS component or other activity in the family investment agreement when the participant specifies or exhibits any physical conditions that might jeopardize successful participation.

The physician should indicate to the best of the physician's knowledge that the person is capable of completing the family investment agreement activity or continuing with appropriate employment.

If the work and training activity is so hazardous that safety glasses, hard hats, and so forth are needed, do not arrange for or approve participation unless these safety precautions are available.

Self-Initiated Training

Legal reference: 441 IAC 93.108(249C)

Consider a person's training to be self-initiated when the person has attended one or more days of training before participating in PROMISE JOBS orientation.

When clients are in self-initiated classroom training at the time of PROMISE JOBS orientation, determine whether the training program meets criteria for approval under **Types of Approvable Training**, and **Nonapprovable Training**. This includes those in government-sponsored programs.

Include approvable self-initiated training in the family investment agreement, following the policies of **Family Investment Agreement Requirements**, **Family Investment Agreement Options**, and **Family Investment Agreement Contents**.

Except as specified at **Effective Date of Expenses for Persons Already in School**, when you determine that the self-initiated training meets PROMISE JOBS standards, allow enrollment in the classroom training component.

Registrants enrolled in approvable self-initiated training:

- Are eligible for child care and transportation financial assistance.
- Are not eligible for financial assistance to cover tuition, fees, books, or supplies.

When the self-initiated training is **not** approvable, work with the client to determine whether the training will be used as an acceptable family investment agreement activity, as described at **Family Investment Agreement Options**. A client in nonapprovable self-initiated training has two options:

- The client may participate in other PROMISE JOBS options; or
- The client may use the nonapprovable training to meet the obligations of the family investment agreement, under the "other work, education and training" component, as long as the training can be reasonably expected to result in self-sufficiency.

Clients in nonapprovable training are not eligible for any PROMISE JOBS financial assistance.

If the nonapprovable training can reasonably be expected to lead to self-sufficiency and meets the policies of **Family Investment Agreement Requirements**, write the family investment agreement to include the training. A participant in this situation can be reported with the 'W' (other work and training component) code in the PROMISE JOBS reporting file.

If you determine that the nonapprovable training is not likely to lead to self-sufficiency, other PROMISE JOBS activities must be included in the family investment agreement. The participant may continue in the nonapprovable training while fulfilling family investment agreement requirements, if the participant chooses to do so and is able to handle the workload.

Do **not** assign self-initiated status to persons who stay in training or enter into training included in a family investment agreement who lose FIP eligibility for reasons other than the limited benefit plan and return to FIP eligibility.

Beginning PROMISE JOBS Participation

Legal reference: 441 IAC 93.106(2) and 93.111(1)

The IM worker will schedule appointments for orientation completion and the writing and signing of a family investment agreement at the earliest time possible, based upon a schedule provided by the local PROMISE JOBS office. All appointments must be scheduled within ten days of the date of referral, so PROMISE JOBS must provide enough appointment times to accommodate the number of FIP applications filed.

Exception: Individuals whose referral status changes from exempt to mandatory will be sent form 470-3105 (IWD) or 470-3106 (BRS), *FIA Referral for Mandatory Participants,* explaining that they have been referred to PROMISE JOBS and as a mandatory participant they have ten days to contact PROMISE JOBS. See **FIP Recipients Whose Referral Status Changes to Mandatory** for instructions on how to proceed.

After all elements of orientation have been completed, meet individually with each referred person to develop the family investment agreemen*t*. Assessment I and the writing and signing a family investment agreement occur during the same session as the PROMISE JOBS' portion of orientation.

Use form 470-0806, Self-*Assessment,* as a basis to determine the family's goals and needs and the appropriate activities to be included in the family investment agreement. Assist the client in completing the self-assessment form when necessary.

Note: The IM worker issues the self-assessment form to the applicant when scheduling the appointment for orientation, with instructions to take the completed form to the PROMISE JOBS appointment.

Consider that a person has become a PROMISE JOBS participant when that person:

- Has a valid family investment agreement and is receiving FIP; or
- Is reconsidering the choice of a subsequent limited benefit plan.

Consider this when establishing the start date of the first interim goal and action step of the client's family investment agreement. Also consider the time required to issue any allowable transportation allowances.

The first step in a family investment agreement should be no sooner than 30 days from the date the client filed the application for FIP for:

- Applicants who are not in a limited benefit plan, and
- Applicants who are reconsidering the choice of a first limited benefit plan.

For applicants reconsidering the choice of a subsequent limited benefit plan, the start date should be no sooner than the date the client signed a family investment agreement.

ASSESSMENT

Legal reference: 441 IAC 93.111(1)

The purpose of assessment is:

- To provide for a thorough self-evaluation by the FIP applicant or participant family.
- To provide a basis for you to determine employability potential and the services that will be needed for the family to achieve self-sufficiency through PROMISE JOBS and the family investment agreement.

Provide assessment services, using the guidelines below, through coordination among PROMISE JOBS provider agencies as described and approved in the local service plan for the local PROMISE JOBS SDR. Conduct assessment so as to ensure that referred individuals make well-informed choices and you can provide appropriate guidance as they complete and renegotiate family investment agreements to achieve the earliest possible self-sufficiency for the FIP family.

Deliver assessment services through options known as Assessment I, Assessment II, and Assessment III. Provide Assessment I to all referred FIP applicants and to FIP participants whose PROMISE JOBS referral code changes from exempt to mandatory. Provide additional Assessment I, Assessment II and Assessment III services:

- As separate services, delivered at appropriate times during the duration of the family investment agreement, and
- As a continuous service as separate action steps in a family investment agreement up to the level necessary to provide the assessment needed for participant and PROMISE JOBS worker decisions while amending or renegotiating the family investment agreement.

Use Assessment I options as appropriate to the needs and wishes of each applicant or participant during the initial development of the family investment agreement and when need arises to renegotiate and amend the family investment agreement. (Assessment II and III can be waived for some participants. See **Participants Waived From Assessment II and Assessment III**.)

Provide the services of Assessment I as the last step of orientation in one individual session. Provide Assessment II and Assessment III activities as action steps in a family investment agreement.

Use *Self-Assessment*, form 470-0806, to begin assessment. Use other instruments as provided by DHS or approved in the local service plan. Assist the clients so that all self-assessment instruments are completed. Document in the case file any circumstances or observations used as a basis for decisions that are not clearly illustrated in the self-assessment instruments or in the family investment agreement.

The following sections explain procedures for:

- Assessment I
- Supplementing or substituting for Assessment I
- Assessment II
- Assessment III
- Participants waived from Assessment II and Assessment III
- Expense allowances for assessment

Assessment I

Legal reference: 441 IAC 93.111(1)“a” and 93.111(1)“a”(1) and (2)

Provide Assessment I for all FIP applicants or participants whose referral code changes from exempt to mandatory. Meet individually with persons who are referred to PROMISE JOBS and who choose to develop the family investment agreement.

At this assessment meeting, assess, at a minimum, the following circumstances of the family:

- Financial situation
- Family profile and goals
- Employment background
- Educational background
- Housing needs
- Child care needs
- Transportation needs
- Health care needs
- Family size and wishes regarding referral to family planning counseling
- Other barriers which may require referral to entities other than PROMISE JOBS for services

Assessment I may be the level of assessment appropriate for people for whom:

- A part-time job has potential to become full time.
- There is an expectation of securing immediate employment.
- There are obvious literacy or other basic education barriers.
- There are multiple barriers indicating that FaDSS, other family development services, or other social services are appropriate before other significant steps can be taken toward self-sufficiency.

Based on the results of Assessment I, complete the family investment agreement to participate in activities such as, but not limited to:

- Monitored part-time or full-time employment.
- Job search.
- PROMISE JOBS on-the-job training.
- Life skills
- Unpaid community service.
- Parenting skills training.
- Referral for family planning counseling.
- FaDSS or other family development services.
- Other social services or basic or remedial education, perhaps with other services.

The self-sufficiency plan of the family investment agreement may include activities for which Assessment II or III may be needed, but the first family investment agreement written, needs only Assessment I before services begin.

It is appropriate to provide Assessment II or III later, as action steps written in the family investment agreement. See also **Participants Waived From Assessment II and Assessment III**.

Supplementing or Substituting for Assessment I

Legal reference: 441 IAC 93.111(1)"a"(4) and (5)

PROMISE JOBS clients may be already participating in self-sufficiency programs with other entities, or they may have recently been involved with a program that has recorded assessment results for the family.

These plans could be with agencies such as Vocational Rehabilitation, Head Start, public housing authorities, child welfare workers in public or private agencies, and family development services.

Allow participants to use assessment information that they have completed with another agency or person in place of Assessment I if it contains all or nearly all of the items described under Assessment I. Also allow clients to use assessment information from other agencies as an addition to Assessment I. Such assessment results must have been completed within the past 12 months.

It is important to the participant and to the PROMISE JOBS program to ensure that there is no conflict between the family investment agreement and other case plans. On the other hand, it is important that those referred to PROMISE JOBS not feel coerced to provide information held by another entity.

Ask clients if they wish to authorize an exchange of information between PROMISE JOBS workers and the workers who have developed the other assessment in question. Be sure the client knows that there is no requirement to provide this information. However, be sure it is understood that it may be necessary to verify information about another case plan if conflicts develop with the employability plan.

Complete form 470-0429, *Consent to Obtain and Release Information*, to authorize collection of the information. This may be completed in conjunction with the permission that participant gives to obtain case plan information, etc., as described at **Family Investment Agreement Contents: Incorporating Other Self-Sufficiency Plans Into the FIA.**

Assessment II

Legal reference: 441 IAC 93.111(1)"b" and 93.111(1)"b"(1) and (2)

Provide Assessment II services as an action step in the family investment agreement for participants for whom one of the following is true:

- They reveal no barriers to limit participation during Assessment I, have no specific career goal or plan, and need further assessment services to complete a family investment agreement.
- They are ready to advance to other components after completing a PROMISE JOBS activity or other services determined after Assessment I that are part of the family investment agreement.

The services of Assessment II may include, but are not limited to:

- Literacy and aptitude testing,
- Educational level and basic skills assessment,
- Self-esteem building,
- Interest assessment,
- Exposure to nontraditional jobs,
- Exposure to job retention skills,
- Goal setting,
- Motivational exercises,
- Exposure to job-seeking skills, and
- Exposure to role models.

Assessment III

Legal reference: 441 IAC 93.111(1)"b"(3) and 93.111(1)"c"

Assessment III is required to provide occupational specific assessment or guidance before completing the family investment agreement for postsecondary classroom training for clients not yet enrolled in postsecondary classroom training.

Provide Assessment III services as an action step in the family investment agreement for participants when:

- They request postsecondary classroom training as part of the family investment agreement during Assessment I or II, or
- Their previous participation indicates a need for and a likelihood of success in postsecondary classroom training.

These services may be provided by PROMISE JOBS staff or other entities, as arranged locally. There are no expense allowance funds for assessment services provided by entities other than PROMISE JOBS.

Participants Waived From Assessment II and Assessment III

Legal reference: 441 IAC 93.111(1)"g"

Ordinarily, when a client has completed Assessment I and wishes to include postsecondary classroom training in the family investment agreement, you must require participation in Assessment II and Assessment III. However, you can waive Assessment II and III when a participant is in approvable self-initiated training at time of PROMISE JOBS orientation.

While you may waive Assessment II and III in these situations, the participant may wish to complete Assessment II and III to qualify for training allowances. Otherwise there may be a delay before the participant can receive supportive services, as described under **Training Expense Allowances**.

Expense Allowances for Assessment

Legal reference: 441 IAC 93.111(1)"f"

People participating in assessment options are eligible for allowances for transportation and child care needed to allow the scheduled participation. **Exception:** Do not issue transportation and child care allowances for assessment activities that occur on the same day as orientation.

Require participants to:

- Submit a completed form 470-3896, *PROMISE JOBS Child Care Attendance and Invoice*, to initiate child care payments or change the amount of child care payments.
- Submit a completed form 470-0510, *Estimate of Cost*, to initiate allowances or change the amount of payment for PROMISE JOBS expenses other than child care and transportation.

Authorize payment for the costs of obtaining a birth certificate when:

- The birth certificate is needed in order for the registrant to complete the Iowa Workforce Development registration process described at **Orientation for PROMISE JOBS and the Family Investment Agreement**, or
- Translation of a foreign birth certificate is needed to complete work registration.

People who miss any portion of scheduled assessment services may be required to make up the missed portions of the sessions, based on worker judgment and participant needs. When make-up sessions are required, do not give the participant an additional transportation allowance, but pay for necessary child care.

ASSIGNMENT TO COMPONENTS

Legal reference: 441 IAC 93.106(2) and 93.111(239B)

PROMISE JOBS components and family investment agreement options include:

- Assessment.
- Job-seeking skills training.
- Job search activities.
- Monitored employment.
- Basic education services.
- PROMISE JOBS on-the-job training.
- Work experience.
- Unpaid community service.
- Parenting-skills training.
- Postsecondary classroom training.
- FaDSS and other family development services.
- Referral for family planning counseling.

A person becomes a PROMISE JOBS participant when that person has a valid family investment agreement and is receiving FIP.

The following sections explain:

- Assignment following assessment
- Waiting lists
- FaDSS participation
- PROMISE JOBS family development
- Family planning counseling referrals
- Family violence referrals

Assignment Following Assessment

Legal reference: 441 IAC 93.111(3) and 93.111(4)

After clients complete the appropriate assessment level, refer them for the PROMISE JOBS component services or supportive services that are designated in the completed family investment agreement.

The initial family investment agreement is developed during the orientation and Assessment I process through discussion between the client and staff of coordinating PROMISE JOBS agencies. There is no specified flow of component services for clients aged 20 or over.

See **FIA Options for Parents Aged 19 and Younger** for guidelines for assessment and development of family investment agreement options for parents under age 20.

The starting date of the first interim goal and action step of a client's family investment agreement should be no sooner than 30 days from the date the client filed his or her application for FIP benefits and needs to consider the time required to issue any allowable transportation allowances.

Waiting Lists

Legal reference: 441 IAC 93.105(3)

Due to state and federal budgetary limitations on the PROMISE JOBS program, people who complete orientation and assessment may be placed on a waiting list for certain PROMISE JOBS services, when appropriate. DHS has the administrative authority to:

- Determine agency and geographical service levels,
- Designate specific groups for priority services, or
- Designate specific PROMISE JOBS components or supportive service levels for a waiting list.

Subject to the constraints described below, DHS shall make PROMISE JOBS services available to teen parents, with an emphasis on high school completion. DHS has the authority to give first priority for removal from the waiting list to the teen parents aged 19 and under.

Priority for removal from the waiting list may also be given to parents aged 20 and 21 and to parents on cases with aid types 33-8 or 35-0. The decisions as to whether these parents shall receive priority service, the services that will be made available to them, and the availability of PROMISE JOBS services to other clients shall be based on whether:

- Sufficient PROMISE JOBS funds are available.
- The state will meet the federal participation rate requirements.

DHS also has the authority to remove Job Corps Solo Parent program participants from the waiting list and make services available to them, subject to these constraints.

When a client is placed on the waiting list, give the client a copy of form 470-2925, *Notice of Waiting List Placement*. This notice informs clients of placement on a waiting list and makes them aware of the ability to pursue training on their own while waiting for PROMISE JOBS services.

Remove people from the waiting list and place them in additional components as funds and training slots become available. The decision as to the number and classification of people to be removed from the waiting list is made through consultation among state-level PROMISE JOBS administrators. Local offices are then notified of the number of participants that can be removed from the local office waiting lists.

Retention of Training Slot and Referral for Assessment

Legal reference: 441 IAC 93.111(1)"d" and 93.111(5)

Many people are placed on waiting lists for educational and training services. However, once a person has been assigned a PROMISE JOBS training slot, that person retains that training slot until one of the following is true:

- The person loses FIP eligibility for more than four consecutive months, or
- The person chooses a limited benefit plan after signing a family investment agreement.

For people who previously participated in an assessment option, you may require them to repeat any assessment option when you determine that the following apply:

- An updated assessment is needed for development or amendment of the family investment agreement.
- The person was canceled from FIP or entered a limited benefit plan after the assessment option was completed.

Once a participant is taken off the waiting list and placed in a slot, that person retains the slot even though assigned to a number of different components, for example, from GED to job club to postsecondary education.

Return to Waiting List After FIP Cancellation

Legal reference: 441 IAC 93.105(3)"c"

People who are active in a component when canceled from FIP are not eligible for PROMISE JOBS services while FIP is canceled. If the period the person is off FIP is not longer than four consecutive months and the person is still satisfactorily participating in approvable training when FIP eligibility is regained:

- The person can regain immediate eligibility for PROMISE JOBS services.
- The person shall not be placed on a waiting list.

> Ms. A is an active PROMISE JOBS participant. Her FIP is canceled effective July 1, with June's FIP being subject to recovery due to timely notice. If Ms. A returns to FIP with an effective date that is any time from July 1 through October 31, she will be exempt from the waiting list. If she returns with an effective date that is on or after November 1, she will again be subject to the waiting list.

For persons who are canceled for four months or less but more than one month, take the following steps:

- Refer them back to the original service provider.
- Reinstate the PROMISE JOBS component in their family investment agreement that is required to regain FIP eligibility.

Clients who are off FIP more than four months do not have a training slot and are not eligible for PROMISE JOBS funding. If they are still satisfactorily participating in approvable training, it can be included in the family investment agreement, as described at **Family Investment Agreement Options**.

FaDSS Participation

Legal reference: 441 IAC 93.111(1)"e" and 93.109(2)"b"(5)

Participation in the FaDSS program begins when a family that contains an household member who is a current FIP recipient voluntarily agrees to participate in FaDSS services. The FaDSS grantee will use form FaDSS-00-01-R, *FaDSS Universal Referral*, to inform you of the referral, the status of the referral, and the date of enrollment, or that a family has declined FaDSS services.

Work closely with FaDSS grantees to serve FaDSS participants as they develop their family investment agreements. Send a copy of form 470-0813, *Notice of Appointment or Participation*, to the grantee when scheduling an appointment to meet with the client.

Grantees should be present during the family investment agreement development process when possible. When the FaDSS worker cannot attend the appointment due to scheduling conflicts, the FaDSS worker will contact you to discuss family investment agreement activities for that particular family. Establish a procedure for communication to ensure an effective flow of services to FaDSS participants.

When an applicant or participant chooses to participate in FaDSS, always include FaDSS in the family investment agreement. For some families, you may determine that a FaDSS component only is best. During a six-month hardship exemption, a "FaDSS only" family investment agreement may be appropriate when you determine that is the most reasonable method to address the hardship barrier.

When the FaDSS participant signs the family investment agreement, give a copy to the participant and to the FaDSS grantee.

Make entries on the PROMISE JOBS component reporting file to report the family investment agreement. Also make entries to show the FaDSS component code "3" and a start date for the FaDSS service. The date of enrollment into the FaDSS program is based upon the date that a family is assigned into FaDSS as determined by the FaDSS grantee and listed on the *FaDSS Universal Referral*, form FaDSS-00-01-R.

When a participant is also involved in another PROMISE JOBS component, make separate reporting screen entries to show both the FaDSS and PROMISE JOBS activities.

See **State and Federal Reporting Requirements** for the policy on completion of the data file on a monthly basis. Do not make monthly entries to show hours of attendance in FaDSS activities. Do not issue expenses related to the FaDSS supportive services component.

The FaDSS grantee will communicate regularly with the PROMISE JOBS worker regarding the participant using the *FaDSS Monthly Report to PROMISE JOBS*, form FaDSS-00-02-M.

The participant's FaDSS worker will fill out the *FaDSS Monthly Report to PROMISE JOBS* and submit it to the county PROMISE JOBS office each month. This form is to be mailed to the local office by the tenth day of the month following the reporting month; e.g., the July report should be mailed by August 10. A copy is also given to the family.

E-mail correspondence can be used as an additional communication tool between the PROMISE JOBS worker and the FaDSS caseworker. All e-mail correspondence must begin with the statement: **"THIS MESSAGE CONTAINS CONFIDENTIAL INFORMATION. UNAUTHORIZED USE OR DISCLOSURE IS PROHIBITED."**

FaDSS participation does not remove the participant's responsibilities to follow the family investment agreement. When a FaDSS participant appears not to be fulfilling family investment agreement obligations, notify the grantee and discuss your concerns.

If the FaDSS caseworker indicates that the family investment agreement-responsible person has been demonstrating effort to carry out the steps of the family investment agreement but is unable to participate due to a family barrier, schedule a meeting between PROMISE JOBS, the participant, and the FaDSS caseworker to renegotiate and amend the steps of the family investment agreement.

The renegotiated family investment agreement must include steps towards self-sufficiency that the participant is able to fulfill.

FIP/FaDSS participants are subject to a limited benefit plan without a FaDSS exit form when they:

- Refuse to amend or renegotiate the family investment agreement;
- Fail to sign a family investment agreement; or
- Fail to follow the terms of the family investment agreement.

Notify the FaDSS provider within 10 days when a participant has chosen a limited benefit plan.

Transition From FaDSS to Other Components

FaDSS staff monitor participants who have only a FaDSS component in their family investment agreement to determine if they will be ready for PROMISE JOBS participation by the end of the FaDSS-only period. Schedule an appointment before the end of this period by sending a Notice of Appointment to the client with a copy to FaDSS to renegotiate or amend the family investment agreement.

Continue the FaDSS component for minor parents who are not living with a parent or legal guardian when they become 18 only when both the participant and the FaDSS worker believe that the services are needed for the family to reach self-sufficiency.

Assessment results recorded before the participant received FaDSS services may not indicate that person's full potential. If you believe that extended assessment is necessary to reassess the participant's abilities and circumstances, you may require the participant to complete assessment again when the FaDSS grantee approves assignment to other PROMISE JOBS activities.

When the participant completes the FaDSS program (as defined by the FaDSS staff with the individual family), FaDSS will send an exit form to PROMISE JOBS.

The participant may discontinue participating in the FaDSS program before completing the program. FaDSS will send an exit form to PROMISE JOBS. Send a notice to the participant to rewrite their family investment agreement to remove FaDSS.

FaDSS will send an exit form to PROMISE JOBS when:

- The family has decided that they no longer wish to receive FaDSS services.
- The FaDSS worker determines that further involvement from FaDSS is not conducive to the program's philosophy.
- The family has completed the FaDSS program.

When a client leaves FaDSS, make reporting screen entries to show a termination date (last day of the month) and a termination reason.

PROMISE JOBS Family Development

Legal reference: 441 IAC 93.119(239B) and 93.111(3)"e"

PROMISE JOBS family development services are defined as follows:

- Family development services are support services, other than FaDSS, for PROMISE JOBS families at-risk of long-term dependency on public assistance.
- Family development services are designed to promote, empower, and nurture the family to self-sufficiency and healthy reintegration into the community.

Family development services may be used in two ways as a step toward self-sufficiency under the family investment agreement process:

- Family development services may be combined with other PROMISE JOBS components or family investment agreement activities with concurrent participation.
- Family development services may be the only family investment agreement step for a designated period when the family needs intensive services before other family investment agreement activities will be appropriate.

When PROMISE JOBS family development services are appropriate for a participant, arrange for services through agencies that meet one of the following criteria:

- The agency has family development specialists certified by the University of Iowa College of Social Work, National Resource Center on Family-Based Services.
- The agency has a family development services plan that has been approved by the DHS Family Development and Self-Sufficiency Council.

You may include family development services in the family investment agreement from entities that meet one of the above criteria wherever these are available at no cost to PROMISE JOBS. See **FIA Options for Clients Aged 19 and Younger** for policies for young parents.

If family development services are not available at no cost to PROMISE JOBS, follow the instructions from state-level PROMISE JOBS administrators regarding availability of family development funding.

The following sections give more information on:

- Referrals to family development services
- Including family development in the family investment agreement

Referrals to Family Development

To ensure consistency of family development services across the state, DHS has provided information to IWD to use when locating services and determining appropriate referrals:

- *Minimum Standard for Family Development Services*, to enable you to select qualified providers.
- *The Family Development Process*, to give you a brief overview of services to use when counseling participants about the value of family development services.
- *Guide for Referring Families to Family Development Services*, to give you consistent criteria for referrals.

Contact PROMISE JOBS coordinators at IWD if you need copies of these documents.

Review the risk indicators in light of evidence that the participant is experiencing or anticipating barriers to participation in the family investment agreement process. You may use either demographic risk indicators or family experience risk indicators or a combination of them as a basis for referral to family development services.

Consider referral for family development services if personal and family problems cannot be addressed by using PROMISE JOBS components or through referral to community support resources. If these problems are barriers that cannot be dealt with any other way, referral for family development services may be appropriate.

The recommendation for family development services may be made at the beginning of the family investment agreement process or at any time during the period of the family investment agreement when it becomes apparent that family problems are a barrier to participation.

Including Family Development in the Family Investment Agreement

The family investment agreement remains your responsibility. You must coordinate services with the family development specialists so that the family investment agreement is honored while allowing the flexibility that may be needed in the family development services.

Work with family development specialists and participants to write the family investment agreement with family development services and any other family investment agreement activities that are appropriate to the circumstances of the family.

Decide together whether the family investment agreement should contain details about the family development services or a simple statement that family development services is the family investment agreement activity.

You, the participant, and the family development specialist can work with the family investment agreement as part of the family development process, renegotiating and amending the family investment agreement when there are changes in the participant's life circumstances.

Use targeted start and end dates for family development services. If you make a referral to family development services after the family investment agreement has been developed, renegotiate and amend the family investment agreement, involving all three partners in the family investment agreement process.

You may write the family investment agreement to include minimal activities until family development services are available when the following are true:

- Unusual family circumstances make it apparent that family development services are needed before the family can make progress toward self-sufficiency.
- The family wishes to accept family development services.
- Family development services are not available at no cost to PROMISE JOBS and PROMISE JOBS funding is not available.

In this situation, write the family investment agreement to include the following:

- An ending date that includes the estimated time needed to receive and benefit from family development services.
- Interim goals that the family can work on, independent of family development services, which would improve family circumstances or enhance employability.

Do not require participants to include family development services in the family investment agreement, except for the minor parents described above.

PROMISE JOBS participants who are using family development services may need help with child care and transportation costs. As with the FaDSS program, most activities are likely to be arranged so there are no costs for these supportive services or the service provider covers the costs. Where this is not true, authorize the expense allowance under PROMISE JOBS policies.

Do not consider that participants are choosing the limited benefit plan if they fail to follow through with family development referral or family development activities that are included in the family investment agreement. The decision about satisfactory participation in family development services belongs to the service provider.

Use your local coordination procedures to establish a method that the service provider will use to notify you when they decide that participation has ended. This can occur because the participant no longer needs services, or because the participant is not working with the service provider.

When you are notified that family development services have ended at a time not indicated in the family investment agreement, offer renegotiation and amendment of the family investment agreement. Participants who do not participate in the renegotiation and amendment process are choosing the limited benefit plan.

Family Planning Counseling Referrals

Legal reference: 441 IAC 93.118(239B)

Referral for family planning counseling services is an optional service to be offered to each PROMISE JOBS client. **Note:** Do not allow family planning counseling as the only step of the family investment agreement.

Family planning counseling services are not a component of PROMISE JOBS. Report the activity in the PROMISE JOBS component reporting file for data purposes, but you do not need to track or verify hours of participation.

Limited benefit plan policies do not apply to family planning counseling. This is true for clients who:

- State they do not want family planning counseling services and choose not to include family planning counseling in form 470-3096, *FIA Steps to Achieve Self-Sufficiency*; or
- Do not carry out the family planning counseling step of the family investment agreement.

You have the following responsibilities on referral for family planning counseling:

- During the interview to write a family investment agreement, discuss with the client, orally and in writing, the financial implications of additional children on the family.
  - Provide factual, objective assistance. Do not offer personal advice. Be sure the client clearly understands that there is no PROMISE JOBS or family investment agreement requirement to accept a referral for family planning counseling services.
  - Help the client complete form 470-0806, *Self-Assessment*, which includes an analysis of the additional income the family will need to reach self-sufficiency. Give the client a copy.

- Provide a list of resources for family planning counseling services in the client's county of residence or the SDR. Use Comm. 134, *Providers of Family Planning Counseling*, which is a statewide listing, or another listing of resources that is more appropriate to your SDR.

  Always remind the client that family planning counseling services may be available from doctors, hospitals, or other sources, as well as family planning clinics.

- On the *FIA Steps to Achieve Self-Sufficiency*, help the client to indicate the client's response to the option of referral for family planning counseling services.
  - If the client checks "no," no further action is needed regarding family planning counseling services.
  - If the client checks "yes," include the family planning counseling services as a step in the family investment agreement, using targeted start and end dates.

The client is not required to:

- Indicate a specific provider (but may do so).
- Report the actual start and end dates of the counseling services.

In the PROMISE JOBS component reporting file, enter component code "9" to indicate the client has included family planning counseling services as a step in the family investment agreement. Report the targeted start and end dates. Enter "0" for hours.

Family Violence Referral

To be prepared to make family violence referrals:

- Have the local domestic hot line number available. If no local number is available, use the statewide number, 1-800-942-0333.
- Have brochures and packets of information about local domestic violence services available. Contact your local domestic violence project for this information. Call 1-800-942-0333 to locate your local project's phone number.

Post information about domestic violence throughout the office and have brochures readily available for all clients.

If a client admits to being in a domestic violence situation, or you have reason to believe that a domestic violence situation exists, apply the following protocol:

1. Ask questions of the client when it seems appropriate (continued missed appointments, physical evidence of abuse, police records in the paper). Some suggested wording is:

   - "I have noticed that you have missed several appointments. For some people who have this problem there is sometimes another person in their life who is making it difficult for them to participate. Is this something that is happening in your life?"
   - "I have noticed you have had several black eyes, bruises (whatever the physical evidence is). This is something that has happened to many women/men. Nobody needs to be hurt. Is there something that is going on in your life that is causing you concern?"

   If a client begins talking about the abuse, use good counseling skills. Listen, reflect feelings, respond non-judgmentally, validate the experience, and assure victims that it is not their fault that this is happening to them. Let the victim know that the safety of the victim and the children is your number one concern.

2. Inform the victim that a shelter is more than a place to stay. Other services include:

   - Safety planning for the victim and children.
   - Providing information about legal rights and options, including child custody.
   - Accompanying and supporting victims during court hearing.
   - Providing needed services for children.
   - Connecting victims with other needed services.

3. Provide the victim with the opportunity to call the domestic violence hot line for crisis intervention and safety planning. Say "I'm concerned about your safety. Would you like to talk to someone about what is happening? We can call the hotline right now. It's confidential."

   Do not call law enforcement unless the victim specifically asks you to, or the abuser is on the scene and behaving in a threatening manner.

Remember that the abuser has been trying to control the victim. It is not helpful for others to try to exert control over the victim as well. Providing victims with information and the opportunity to make their own decisions is the best method of intervention.

4. If the victim says yes to calling the hot line:

   - Find a private place where the victim can talk on the phone.
   - Give the victim the local number or statewide hot line.
   - Allow at least 30 minutes to talk privately with the hot line worker.
   - Be available if the hot line worker needs any information (where the office is located, program hours, how transportation can be arranged, etc.).
   - Once the call is completed, ask the victim if help is needed with any arrangements. Make appropriate referrals.
   - If the victim is going directly to the shelter, provide a private place to wait. (Most victims do not go directly into a shelter, as they need time to make arrangements for themselves and their children.)

   Do not pressure the person to go into the shelter or to leave the relationship. The person may need time to absorb the information and make plans for safety.

   Remember that leaving a violent relationship can be dangerous, and small steps may be the safest way for the victim to proceed. The risk of homicide increases when victims are attempting to leave. The victim is the best judge of what steps can safely be taken right now.

5. If the victim says no to calling the hotline:

   - Say, "I want you to know that I'm concerned for your safety. It's not your fault that this is happening to you. There is help available."
   - Give the victim the packet of information and time to read the packet, or allow the victim to take the packet home.
   - Do not pressure the person to leave the relationship. Continue to let victims know of your concern for their safety, that it's not their fault, and that help is available.

- If the victim decides to call the hotline, follow action step 4.
- Ask the victim if you have the best phone number and address to reach them.
- Refer to FaDSS or other family development.
- Tell the victim to let you know if participating with the PROMISE JOBS program becomes difficult.

Always treat the person non-judgmentally and with respect. Remember the victim is not to be blamed for the abuse.

If you, yourself, need to talk to someone about your own feelings and frustrations, call the domestic violence hotline for more information about working with domestic violence.

Because of privacy and safety issues, your documentation should not include details of abuse. The information the participant discusses with the domestic violence hotline is privileged and must remain so. Document only that the domestic violence protocol was followed.

Allow a victim the option of choosing to include the family violence option in their family investment agreement. See **Family Violence Option**.

FAMILY INVESTMENT AGREEMENT

Legal reference: 441 IAC 93.109(239B), 41.24(239B)

As an eligibility factor to receive FIP, families that contain people who are mandatory referrals to PROMISE JOBS shall enter into and carry out the activities of a family investment agreement.

The family investment agreement is the individual road map to becoming self-supporting for each FIP family. Family investment agreements shall detail the expectations of both the state and the family in accomplishing the family investment agreement.

Applicant families who choose not to enter into the family investment agreement shall have their application for FIP denied. Those who choose not to continue family investment agreement activities after signing the family investment agreement and those who lose exempt status and fail to write and sign a family investment agreement shall enter into the limited benefit plan, as described at **LIMITED BENEFIT PLAN**.

Clients who have the potential to move into self-sufficiency with short-term assistance can do that without being required to participate in activities that do not meet their needs. Clients who require extensive long-term agreements will receive appropriate assistance without facing an arbitrary cutoff date other than the 60-month lifetime limit of receiving FIP benefits.

Although there is no standard length for a family investment agreement, the ending date cannot exceed the family's 60-month lifetime FIP limit unless an extension due to a hardship has been granted. As new referrals are received, the number of months of FIP eligibility needs to be determined. Refer to ETS and confer with the IM worker for clarification when needed.

An understanding of the full range of programs and resources that are available in the PROMISE JOBS program is basic to the success of the family investment agreement process.

Provide the family investment agreement development and monitoring services as described and approved for the local PROMISE JOBS SDR. Develop close coordination with public and private agencies and entities that can contribute to the success of family investment agreements.

Include a safety plan for victims of domestic violence who have chosen the family violence option. See **Family Violence Option**.

Information about the *Family Investment Agreement* is organized into the following sections:

- People who are responsible for a family investment agreement
- Family investment agreement requirements
- Family investment agreement options
- Family investment agreement contents
- Renegotiating and amending the family investment agreement
- The family investment agreement in relation to a break in FIP assistance

FIA-Responsible People

Legal reference: 441 IAC 93.109(1)

Unless exempt from PROMISE JOBS, the following people are responsible for signing and carrying out the activities of the family investment agreement:

- All parents
- A child aged 16 or older
- Any other adult or a minor nonparental caretaker relative whose needs are included in the FIP grant
- Hardship exemption cases: (See **Appointment to Develop and Sign the Six-Month FIA** for more information.) This includes:
  - The parent in the home, even if the parent is or will be excluded from the FIP grant.
  - The incapacitated stepparent when the stepparent is or asks to be on the FIP grant.
  - The needy nonparental specified relative who is or requests to be on the FIP grant.

When the FIP eligible group holds a minor parent living with a parent or needy caretaker relative who receives FIP, and both are referred to PROMISE JOBS, each parent or needy caretaker relative is responsible for a separate family investment agreement. Each parent or caretaker relative is considered to be responsible for self-sufficiency for that parent's family, even when the minor parent and child are the only children on the FIP grant.

When the FIP eligible group holds a parent or parents or needy caretaker relative and a child or children who are all mandatory PROMISE JOBS participants, each parent or needy caretaker relative and each child will not have a separate family investment agreement.

All shall be asked to sign the family investment agreement with the family and to carry out the activities of that family investment agreement. Copies of the family investment agreement shall be placed in individual case files.

When the FIP eligible group holds a parent or parents or needy caretaker relative who is exempt and a child or children who are mandatory PROMISE JOBS participants, each child is responsible for completing a separate family investment agreement.

To the extent possible, schedule family investment agreement development appointments to accommodate the circumstances of the family. Forms 470-3095, *Family Investment Agreement*, and 470-3096, *FIA Steps to Achieve Self-Sufficiency*, are designed to be flexible, allowing for placement of copies of appropriate pages in more than one case file.

When a family is enrolled in FaDSS, send a copy of form 470-0818, *Notice of Appointment or Participation*, to the FaDSS grantee to include FaDSS in the family investment agreement process.

The family investment agreement is intended to address the goals of the family, identifying the needs and problems that must be met and solved so that the family can become self-supporting. For this reason, ask all family members who are referred to PROMISE JOBS to sign the family investment agreement for that family.

Family Investment Agreement Requirements

Legal reference: 441 IAC 93.109(2) and 93.109(2)"a"

To meet the family investment agreement requirements:

- Develop a family investment agreement during the orientation and the initial assessment process through discussion between the clients and PROMISE JOBS staff.
- Use forms 470-3095, *Family Investment Agreement*, and 470-3096, *FIA Steps to Achieve Self-Sufficiency*.
- See **Six-Month Family Investment Agreement** for family investment agreement policies specific to families that have been granted a hardship exemption.

In order to support the family efforts toward self-sufficiency:

- The family investment agreement must be specific to the family needs and problems.
- The individual level of participation, using one or more options, shall be as close as possible to the level of commitment required for full-time employment, given the specific family needs and problems.
- A referred person must possess a valid family investment agreement. **Do not** wait until a family investment agreement expires to renegotiate and amend the agreement. **Exception:** A FIP recipient who loses exempt status will not possess a valid family investment agreement from the time of referral through:
  - The process of writing and signing a family investment agreement; or
  - The imposition of a limited benefit plan for failure to write and sign a family investment agreement.

Work with all members of the family who must sign the family investment agreement to help them choose their participation in one or more family investment agreement options. The level of participation required in one or more of the options of the family investment agreement shall be:

- Equivalent to the level of commitment required for full-time employment, or
- Significant so as to move toward the level of full-time employment.

When a client is caring for a child under 12 weeks of age at the time of referral to PROMISE JOBS, require the client to participate actively in PROMISE JOBS orientation and assessment to the extent that future self-sufficiency activities are clear and the family investment agreement is signed.

The client may choose to use the policies of the Family Leave Act of 1993 as described at **Problems With Participation** as one of the family investment agreement options. Because future activities are already planned, there will be no delay in participation at the end of the period chosen for family leave.

See **Renegotiation and Amendment of the FIA** for policies to use when a child is born after the family investment agreement is signed.

Consider the level of commitment required for full-time vocational training (as defined by the educational institution) as equivalent to the level of commitment required for full-time employment. Examples:

1. Ms. A, who has no significant barriers to participation, should be able to use one of the following in her family investment agreement:
   - Full-time employment.
   - Full-time job search.
   - Full-time classroom training.
   - A combination of activities that are "equivalent to the level of commitment required for full-time employment."
   - A specific time when monitored employment will lead to self-sufficiency.

2. Ms. B, who has had no connection with the workforce and who has been isolated from community interaction, may use the following family investment agreement steps that would be "...significant so as to move toward that level":
   - Use life skills or a few hours per week of unpaid community service as a first step in the family investment agreement.
   - Include specific plans to begin GED within a few months.
   - Specify the time when job club or other job search activities will begin and monitored employment will lead to self-sufficiency.

3. Ms. C, whose employability potential is very low, may use the following family investment agreement steps that would be "...significant so as to move toward that level":
   - Life skills.
   - Unpaid community service for an appropriate amount of time.
   - FaDSS services if appropriate and available.
   - Specific plans farther in the future for a two-day per week work experience placement combined with one-day per week of job search.
   - Specified time when job club or other job search activities will begin and monitored employment will lead to self-sufficiency.

Family Investment Agreement Options

Legal reference: 441 IAC 93.109(2)"a"(1)-(4)

You may help clients to choose from the following activities as options of the family investment agreement:

- Assessment
- Life skills
- Self-directed job search, job-seeking skills training, group and individual job search
- Monitored part-time and full-time employment
- PROMISE JOBS on-the-job training
- Work experience placement
- Unpaid community service
- High school completion activities, GED, ABE, ESL
- Parenting skills training
- Postsecondary classroom training
- Referral for family planning counseling
- FaDSS or PROMISE JOBS family development programs
- Family violence option
- Treatment plan for self-disclosed substance abuse or mental health issues.

When writing a family investment agreement, use all other policies in this manual that apply to the family investment agreement options chosen. (This is not a complete list of family investment agreement options.)

Employment is the focus of PROMISE JOBS and the family investment agreement process. Help clients to choose appropriate options, including employment, for the family investment agreement self-sufficiency plan. Use the following principles regarding employment in the family investment agreement:

- Use employment as the principal activity of the family investment agreement whenever it is possible, given the specific family needs and problems.
- When family circumstances do not allow employment as the principal activity, use employment combined with other family investment agreement options to the extent possible under the circumstances of the family.

- Use employment in the family investment agreement while on a waiting list for a PROMISE JOBS component or supportive service, unless family circumstances indicate that employment is not appropriate. See **Waiting Lists**.

You may allow the following as family investment agreement options:

- Any services offered by IWD.
- Work and training programs below a graduate degree that are funded outside of PROMISE JOBS and are approvable by PROMISE JOBS.

  Clients can use this provision to attend postsecondary classroom training while on a waiting list for PROMISE JOBS funding. The client must be able to document adequate funding to cover the expenses of the training. Clients must provide documentation to show continued participation and satisfactory progress.
- Work and training programs below a graduate degree which are funded outside of PROMISE JOBS and are not approvable by PROMISE JOBS **only** when the client is in the program at the time of PROMISE JOBS orientation.

  Clients who wish to continue to pursue training or a degree that is nonapprovable may do so. However, during that time they must use employment or other PROMISE JOBS options to meet their PROMISE JOBS and family investment agreement responsibilities.

Family Planning Counseling as an FIA Option

Legal reference: 441 IAC 93.109(2)"b"(3)

Require client response to the option of referral for family planning counseling on form 470-3096, *FIA Steps to Achieve Self-Sufficiency*. Clients who wish to do so may include family planning counseling in the steps of the family investment agreement.

It is not acceptable for the family investment agreement to have family planning counseling as its only step. See **Family Planning Counseling Referrals** for information about this family investment agreement option and the limited benefit plan.

FIA Options for Clients Aged 19 and Younger

Legal reference: 441 IAC 93.109(2)"b," 93.111(3), and 41.24(3)"a" and "b"

As part of the family investment agreement, clients who are aged 19 or under at the time the family investment agreement is signed must:

- Attend educational activities to obtain a high school diploma or its equivalent.
- Participate in work and training activities if you determine that the referred person is not making good progress in completing educational activities or that participation in educational activities is not appropriate.
- Participate in parenting skills training if they have a child of their own.

As part of the family investment agreement, parents aged 17 or younger at the time the family investment agreement is signed must:

- Participate in PROMISE JOBS even if:
  - Emancipated by court action or marriage or
  - Considered a child on the case of the minor parent's parent.
- Participate in parenting skills training.
- Participate in educational activities to obtain a high school diploma or equivalent.
- Participate in other family investment agreement options only if the school considers them unable to participate in educational activities.
- Participate in FaDSS or PROMISE JOBS family development if they have good cause for not living with their parent or legal guardian.

Note: For these minor parents, always use FaDSS referral as the first option in SDRs where FaDSS is available. If the FaDSS grantee has no slots available, refer for PROMISE JOBS family development.

When you find that a PROMISE JOBS client is a parent under age 18, check the TD03 screen on ABC. The IM worker enters a code in the field titled "MINOR" to show the living circumstances of minor parents. The ABC system removes this code from TD03 when the minor parent turns 18.

Minor Code	Definition
0	Under 18, has been married
1	Living with self-supporting parents
2	Living with legal guardian
3	Living independently
4	Living in a three-generation FIP household
5	Living with a nonparental caretaker

If you have questions about the circumstances of any parent under age 18, contact the IM worker.

Minor parents with codes of '3' or '5' must participate in PROMISE JOBS family development or FaDSS. Young parents who do not carry out these family investment agreement options have chosen the limited benefit plan.

Continue participation in FaDSS or PROMISE JOBS family development after age 18 only if the participant and the family development provider agree that the services are needed to help the family reach self-sufficiency.

PROMISE JOBS funding is always available for PROMISE JOBS family development services for these young parents, even after they turn 18 while participating in family development.

The receipt of SSI and alien status are the only exemption criteria that apply to parents aged 19 or under. **Exception:** In the unlikely event that a parent 19 or under has exhausted the 60-month FIP limit and is approved for a hardship exemption, no exemption is allowed even if the young parent is disabled. See **HARDSHIP EXEMPTION** for additional information.

Family Investment Agreement Contents

Legal reference: 441 IAC 93.109(2)"b," "d," and "e"

To the maximum extent possible, develop and write the family investment agreement to reflect the goals of the family, subject to:

- Program rules.
- Funding.
- Capability, experience, and aptitudes of family members.
- Potential market for the job skills currently possessed or to be developed.
- The 60-month lifetime FIP limit.

In the family investment agreement:

- Avoid using abbreviations and acronyms. Acceptable acronyms include DHS, FIP, FIA, PJ, GED, and abbreviations of local colleges.
- Include the long-term goals of the family for achieving self-sufficiency.
- Establish a start date no sooner than 30 days from the date the client filed their application for FIP benefits. See **Required Activity to End a Subsequent Limited Benefit Plan**, for the exception.
- Address the circumstances of the client. Include services as the family chooses, within the limits of PROMISE JOBS rules regarding each specific component. Example:

> For a client enrolled in nonapprovable training at the time of orientation, the training can be considered to meet the requirements of the family investment agreement, even though PROMISE JOBS cannot pay any expense allowances.

- Identify barriers to participation and include the client's plan with appropriate referrals and necessary supportive services to eliminate the barriers.
- Outline the expectations of the PROMISE JOBS program and of the family.
- Clearly establish interim goals necessary to reach the long-term goals and self-sufficiency.

- Stipulate supportive services to be provided by the PROMISE JOBS program, including:
  - Child care
  - Transportation
  - Tools, uniforms
  - Tuition, books, fees
  - FaDSS or other family development services
- Establish a specific ending date by which the family expects to become self-sufficient. (This is the time when FIP benefits will be terminated because the family income is above FIP eligibility limits.)

For clients whose family circumstances make long-term planning difficult to arrange, complete a short-term family investment agreement that addresses specific family circumstances that need to be overcome before long-term planning can be effective. Establish a time frame for self-sufficiency at the soonest possible date.

When establishing an ending date, consider the number of months a family has received FIP benefits. An ending date cannot exceed a family's 60-month FIP limit. Access ETS for the official record of months counting for a family.

Help the client select a specific targeted ending date, considering a family's 60-month FIP limit, with all family investment agreement planning geared to that date. For individuals or families with acknowledged barriers, the family's plan may be written in one or more incremental family investment agreements all using the same targeted ending date.

The participant may:

- Select an ending date by laying out plans for a training goal and calculating the time that will be needed to fulfill the activities needed to reach that goal, or
- Select the ending date desired and choose PROMISE JOBS activities that will lead to self-sufficiency by that date.

In situations where further assessment has to be provided to enable the client to make a well-informed decision, establish a time frame for self-sufficiency at the soonest possible date. Take into consideration waiting lists for family development services or for specific training components when establishing the ending date.

Once established, the ending date should remain fixed. It should not be regularly revised or updated as the participant moves from one activity to another or from one provider agency to another.

However, the family investment agreement shall contain a provision for extension of the time frames and amendment of the family investment agreement if funding for PROMISE JOBS components included in the family investment agreement or required supportive services are not available.

A minor setback in achieving interim goals does not necessarily mean that the ending date should be changed. A change in the ending date is considered to be necessary in circumstances as described below in **Renegotiation and Amendment of the FIA**.

Guide clients to realistic choices in establishing interim goals and target dates. Goals and target dates must be achievable.

To complete the family investment agreement, you must ensure it is signed by:

- All FIA-responsible people who are covered by this family investment agreement.
- The PROMISE JOBS worker or workers.
- The project supervisor.

Family Violence Option

Legal reference: 42 CFR 260.51-260.59, 1998 Iowa Acts, Chapter 1218, Section 5(3)(f)

Domestic violence is a one-time event or an ongoing pattern of abusive behaviors that is used to control one partner by the other partner. Abusive behavior may include one or more of the following:

- Physical injury to a person, pets, or property
- Threats to harm you or your children
- Threats to harm self
- Not allowing employment outside the household
- Not allowing association with other people and other forms of isolation
- Controlling all household money
- Accusations, name-calling and other verbal abuse
- Sexual assault
- Other forms of emotional abuse

Offer the "family violence option" to victims of domestic violence. Notify all clients of the family violence option during orientation. If you have reason to believe that a domestic violence situation exists, see **Family Violence Referral** for protocol.

A client who is a victim of domestic violence may select the family violence option at any point of the person's participation in PROMISE JOBS. Include a safety plan in the victim's family investment agreement when a family violence option is chosen.

Cases that contain the family violence option should be easily identified by PROMISE JOBS staff but not identifiable to clients. Use a colored file folder, a colored dot readily visible, or some other locally agreed upon identification to mark the case, in the event that back-up staff need to cover a family violence option case in the absence of the regular PROMISE JOBS worker.

The goal of the family violence option is to enable clients with domestic violence to work towards self-sufficiency in as safe a manner as possible. Although not true for all, most clients should be able to make some steps towards self-sufficiency. Safety is the first priority; becoming self-supporting is second.

Refer victims of domestic violence for counseling and support services as appropriate to their individual circumstances. Offer a referral to FaDSS or other family development services. Waive the PROMISE JOBS requirements that make it difficult or place them at risk of further domestic violence for as long as necessary.

Since these situations vary greatly, no time limits are placed on waiving PROMISE JOBS activities. Use good judgment in waiving PROMISE JOBS participation. Remember that the 60-month lifetime limit of FIP benefits applies during the months that a family chooses the family violence option, so it is important that the family is working towards self-sufficiency as earnestly as possible.

Remember that PROMISE JOBS is *not* a provider of domestic violence services, but provide good information and make appropriate referrals. Provide people interested in the family violence option brochures and packs of information about domestic violence and local services available through the local domestic violence project.

Accept what the client indicates is necessary to keep the client's family safe and to be able to move towards self-sufficiency safely, so long as the client is making good faith efforts to follow the steps of the family investment agreement and resolve the issue.

The client in a family violence option is expected to make a good-faith effort to follow the steps of the family investment agreement. However, the ability to follow the details of the safety plan or to participate fully in agreed-upon family investment agreement activities may be hindered by the domestic violence.

A client who provides good cause reasons due to domestic violence is not to be penalized for failure to participate according to the steps of the family investment agreement. The client is responsible for providing the good cause reasons to PROMISE JOBS.

Clients are expected to keep PROMISE JOBS notified of any change in their situation when safety becomes or ceases to be a barrier to participation. When the client is not able to participate in their family investment agreement as written, the family investment agreement should be adjusted so the client is able to safely participate to the fullest of their capacity.

Safety Plan

A "safety plan" outlines how the client will be able to safely participate in the PROMISE JOBS program. Every client seeking a family violence option must have a safety plan as a part of the family investment agreement. Review the PROMISE JOBS safety plan every six months.

In two-parent families, the safety plan must be separate from the family investment agreement. Confidentiality of the safety plan is essential, since the safety of the client selecting the family violence option and the client's family may be at risk.

Composition of a safety plan could include:

- Referral to FaDSS or other family development.
- Referrals to services such as:
  - Shelters for battered individuals
  - Medical services
  - Domestic abuse hotlines
  - Emergency aid for individuals fleeing domestic violence
  - Mental health care
  - Counseling
  - Support groups
  - Financial assistance for victims of crime
  - Other services locally available and appropriate
- How to prevent a perpetrator from gaining access to information in a victim's family investment agreement about the family violence option in two-parent cases.
- How to continue to pursue becoming self-supporting. You may include "safer" PROMISE JOBS activities than initially indicated by assessment, such as:
  - Employment where the female client is supervised by a female
  - Less aggressive schedule of training or employment
  - A FaDSS-only component
  - A change of a PROMISE JOBS field worker from a male to a female
  - Acceptable work to the perpetrator
- How to contact the client safely. (May include alternate telephone numbers or mail address.)
- How field staff can inform a client safely of perceived danger from the perpetrator (such as an agreed-upon key phrase, word, or action; or the use of a safe telephone number).
- How the client will safely contact PROMISE JOBS to indicate an inability to participate or attend a meeting, a need for service or referral, perceived danger, or other circumstances.

Treatment for Substance Abuse or Mental Health Issues as an FIA Option

Legal reference: 441 IAC 93.109(239B) and 93.110(239B)

Substance abuse or mental health issues are assessed in terms of the extent to which they affect the adult's ability to work. Some conditions may have little or moderate effect that can be addressed through a treatment plan, accommodations at the work site, or both. Other conditions may be severe enough to limit the adult's ability to work.

When a client reveals substance abuse or mental health issues that are affecting the family's ability to be self-supporting, incorporate the assessment and the treatment plan into the family investment agreement if the client agrees. Combine the treatment plan with other work activities equal to full-time employment when possible.

To include the substance abuse or mental health issue into the family investment agreement, there must be an existing:

- Scheduled appointment for assessment of substance abuse or mental health with a medical professional, or
- Substance abuse or mental health condition that has been verified by a medical professional and a professional treatment plan that addresses the health issue.

Renegotiate the family investment agreement to include a new professional medical treatment plan or a change in an existing professional medical treatment plan. Completion of the assessment and compliance with a treatment plan becomes part of the family investment agreement and subject to limited benefit plan rules.

Authorize transportation allowances only after conferring with the participant's IM worker to see whether the participant qualifies for medical transportation reimbursement through Medicaid. Authorize child care if required for participation.

Code supportive payments for assessment activities using the PROMISE JOBS component of assessment (AB). Code supportive payments for on-going treatment using the PROMISE JOBS component of family development services (8A for parents aged 17 or younger and 8B for all others).

FIA Activities for Convicted Drug Felons

Legal reference: Code of Iowa 239B.5(b)

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 directed states to either deny benefits to certain convicted drug felons or to pass legislation to opt out of this provision.

Iowa passed legislation in 1997 that opted out of the federal law but directed the Department to require a convicted drug felon to participate in drug rehabilitation activities or fulfill other requirements to verify that the applicant or participant does not illegally possess, use or distribute a controlled substance. This provision applies only to convictions for conduct occurring after August 22, 1996.

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.

> A person referred to the PROMISE JOBS program is convicted for robbery. The crime of robbery also includes the possession, use, or distribution of a controlled substance. This person is a convicted drug felon.

It is expected that a family investment agreement for a convicted drug felon or any client with an admitted substance abuse barrier will include activities to help remove the barrier. Suggested activities may include:

- Treatment or rehabilitation after-care activities
- Attendance at support groups
- Steps outlining the follow through with parole or probation requirements
- Referral for clinical substance abuse assessment
- Treatment or rehabilitation attendance
- Other activities to promote self-sufficiency

Self-disclosure of the drug felony conviction is the accepted procedure for identification. Form 470-0806, *Self-Assessment*, incorporates the convicted drug felon self-declaration statement.

If PROMISE JOBS learns of a drug felony conviction from another reliable source, ask for verification from the county clerk of court. Drug felony convictions are a matter of public record. A release of information is not needed.

If the drug felony conviction is confirmed, schedule an appointment to renegotiate the family investment agreement to include steps to address the drug felony.

Incorporating Other Self-Sufficiency Plans Into the FIA

Legal reference: 441 IAC 93.109(2)"c"

The family investment agreement may incorporate a self-sufficiency plan which the family has developed with another agency or person, so long as that self-sufficiency plan meets the requirements of these rules and is deemed by PROMISE JOBS staff to be appropriate to the family circumstances.

Be sure that clients have the opportunity to tell PROMISE JOBS staff about existing case plans with child welfare agencies or juvenile court, for example, in order to prevent conflicts or problems. Such other plans include, but are not limited to, Head Start, public housing authorities, child welfare workers, Vocational Rehabilitation, and FaDSS grantees.

Ensure that the activities of the family investment agreement do not conflict with any other required activities or responsibilities that already exist for the family. Offer form 470-0429, *Consent to Obtain and Release Information*, so the client can authorize an exchange of pertinent information in such situations.

During orientation or Assessment I, be sure that clients understand the following:

- They may choose to authorize an exchange of information between PROMISE JOBS and other service agencies, but are not required to do so.
- They may provide verification independently if reported conflicts are interfering with the activities of the family investment agreement.

This information exchange can include, for example, assessment information as described at **Assessment I** and **Supplementing or Substituting for Assessment I**, or activities or responsibilities that the family must meet under child welfare or juvenile court case plan requirements.

Note: A release is not needed to exchange information between PROMISE JOBS and IM or FaDSS that is necessary to provide services to the client family.

Renegotiation and Amendment of the FIA

Legal reference: 441 IAC 93.109(2)"f" and "g"

Renegotiate the family investment agreement, and amend the steps of the family investment agreement to describe the new plan for self-sufficiency, extending the time frame in relationship to the family's 60-month lifetime FIP limit, if the family investment agreement-responsible person meets the following criteria:

- The participant demonstrates effort.
- The participant is carrying out the steps of the family investment agreement.
- A short-term family investment agreement was written as the family's barriers made long-term planning ineffective or the participant is unable to achieve self-sufficiency within the period specified in the family investment agreement.
- The participant has enough months remaining in the 60-month lifetime limit of FIP benefits.
- The participant's months of FIP eligibility are less than the dates shown on the participant's *Family Investment Agreement*, form 470-3095, or *FIA Steps to Achieve Self-Sufficiency*, form 470-3096.

Authorize expense allowances when needed for participating in the renegotiation process if otherwise allowable.

Do not wait until the family investment agreement activity end date or the family investment agreement ending date has been reached to determine whether the participant has demonstrated effort and has carried out the steps of the family investment agreement. This is an ongoing process.

A referred person must possess a valid family investment agreement except in those rare instances when a FIP recipient loses exempt status. In these situations, the client will not possess a valid family investment agreement from the time of referral through:

- The process of writing and signing a family investment agreement; or
- The imposition of a limited benefit plan for failure to write and sign a family investment agreement.

Establish and document an ongoing monitoring plan and appropriate procedure for verifying that a participant is demonstrating effort and is truly carrying out the steps of the family investment agreement with regard to the current activity. Use all appropriate PROMISE JOBS component participation and documentation policies.

See **Required Client Documentation**, for specific information on documentation that can be used or required from the client.

For a discussion of procedure specific to participants who are employed full time, see **Full-Time Employment**.

Determine whether the client has chosen the limited benefit plan at any time it becomes evident that the client is not carrying out one of the steps of the family investment agreement.

- Do not automatically offer renegotiation and amendment.
- Do not automatically move the participant to the next family investment agreement activity.
- Do not automatically transfer the case to another provider agency, unless it is appropriate for that agency to do renegotiation and amendment.

Use the policies of **FIA PARTICIPATION ISSUES** and any other applicable policies regarding the choice of the limited benefit plan to make that determination.

If you determine that the participant has not chosen the limited benefit plan, an offer to renegotiate and amend is the next step.

Participants who choose not to cooperate in the renegotiation process have chosen the limited benefit plan. Attempt to resolve the issue as described at **FIA PARTICIPATION ISSUES**.

Do not wait until the family investment agreement expires to renegotiate and amend the family investment agreement when appropriate. Family investment agreements for families who are utilizing short-term agreements to address barriers to employment should be renegotiated before the ending date listed on the agreement to avoid any time the family is receiving FIP without possessing a valid family investment agreement.

Either the participant or PROMISE JOBS can ask to have the family investment agreement renegotiated and amended at any time that:

- Newly revealed barriers to participation must be included in the agreement.
- Problems with participation are severe enough or long term enough that they will interfere with efforts toward self-sufficiency.
- A major change in life circumstances indicates that the steps of the family investment agreement no longer fit the participant or family.
- An incremental family investment agreement is due to expire.
- Self-sufficiency will not be achieved by the ending date.

Establish an appointment date to renegotiate the family investment agreement, accommodating the work or other participation circumstances of the participant to the extent possible, when:

- You believe it is necessary as the participant does not seem to be able to carry out the steps of the family investment agreement or for some other reason, or
- The participant believes it is necessary, or
- An incremental family investment agreement is due to expire, or
- The family investment agreement ending date is approaching.

For example, when a child is born or is to be born after the family investment agreement is signed, it is appropriate for PROMISE JOBS to ask that the family investment agreement be renegotiated and amended if the Family Leave Act policies are not already included the family investment agreement.

Require the participant to renegotiate and amend the family investment agreement (before the birth if possible), including:

- The participant's choice of family leave under the policies of the Family Leave Act of 1993 (as described at **Problems With Participation**); and
- Any necessary changes in future activities or the self-sufficiency date.

Because future activities are already planned, there will be no delay in participation at the end of the period chosen for family leave.

Make the reason and need for the appointment clear to the participant. Document the letters, notices, and telephone calls used in the appointment process.

Provide information on the limited benefit plan to the participant. Whether the participant chooses not to carry out the renegotiation and amendment of the family investment agreement before or after its ending date, the policies above still apply.

Note: The fact that the ending date of the family investment agreement has passed before the participant makes the choice not to cooperate in the renegotiation process does not place the participant in a "before the family investment agreement is signed..." status.

A family investment agreement has been signed; you are just in the process of renegotiating and amending it. Always apply policies found at **FIA and a Break in FIP Assistance**.

Using the FIA Document in Renegotiation and Amendment

Legal reference: 441 IAC 93.109(2)"e," "f," and "g"

It is appropriate to use new pages of *Family Investment Agreement*, form 470-3095, and *FIA Steps to Achieve Self-Sufficiency*, form 470-3096, at the time of renegotiation and amendment if you and the participant prefer to do so.

You and the participant may not always need to complete new versions of the document. As long as the family investment agreement document, including the changes, is easy to read and understand for any person who may have occasion to read it, you may modify it. However, if one page of the document needs to be replaced for clarity, replace both pages.

To modify the document, you and the participant may:

- Cross out to eliminate any information that no longer applies.
- Cross out and replace any information that no longer applies.
- Add new information.

The participant must initial each changed or added item. In addition, you, the participant, and the project supervisor must:

- Re-sign or initial the document signature lines.
- Re-date the date lines at the bottom of the page.

Give the participant a copy of both pages of the modified document.

FIA and a Break in FIP Assistance

Legal reference: 441 IAC 93.109(2)"h"

The responsibility for carrying out the steps of the family investment agreement ends as of the effective date of FIP cancellation. A person cannot be held responsible for a family investment agreement when no one in the household is eligible for FIP.

Therefore, when there is a break in FIP assistance, a family investment agreement that was signed before the break is no longer in effect. The former FIP/PROMISE JOBS participant has become ineligible for FIP and has no responsibility to PROMISE JOBS or the family investment agreement.

A "break in FIP assistance" is defined as any time a new FIP application is required to regain FIP eligibility, even if there is not a break in the family's receipt of the cash grant.

A FIP case is suspended when IM believes that circumstances that would usually cause cancellation will exist for only one month. While a household does not receive FIP during a month of suspension, this is not considered to be a "break in FIP assistance," since a new application is not required to regain FIP eligibility.

A referral to PROMISE JOBS and a signed family investment agreement remain in effect. However, the client is not required to participate and is not subject to an LBP for failure to participate during the month. See **Expense Allowances During a Month of FIP Suspension**. Remember, a break in assistance does not occur when FIP assistance can be reinstated without a new FIP application.

Identifying a Possible Break in FIP Assistance

Legal reference: 441 IAC 93.109(2)"h" and "i"

The "break in assistance" policies have great impact on management of the family investment agreement process and on the limited benefit plan resolution process. You need to watch for these situations.

Three groups of people are identified in the action codes that come from DHS in the daily PROMISE JOBS referral file to provider agencies:

- **Original referrals:** Two categories of people are referred to PROMISE JOBS for the first time. They display on the PJOB "B" screen as DHS REF – ORIGINAL and are essentially new PROMISE JOBS people whose need for a family investment agreement is obvious.
  - **Applicants for FIP** who are not exempt from cooperating with PROMISE JOBS are required to possess a valid family investment agreement as one of the non-financial conditions for FIP approval.
  - **FIP recipients who lose exempt status** have been sent a PROMISE JOBS program letter to contact PROMISE JOBS for orientation and the writing of a family investment agreement.
- **Re-referrals:** People who are being referred PROMISE JOBS again after their original referral display on the PJOB "B" screen as DHS REF – REREFERRAL. These clients usually have had to file a new application for FIP eligibility.

  If they had a signed family investment agreement in place before the FIP cancellation the family investment agreement can be reinstated if the break in assistance is one month or less.
- **Changes in status:** People who have had changes in FIP eligibility status display on the PJOB "B" screen as DHS REF – REACTIVATED or DHS REF – CHANGE TO ADC ACTIVE.

  These participants may have been notified about losing FIP eligibility, but were not required to file a new application to regain FIP eligibility. There has been no break in assistance. A family investment agreement signed before this event remains valid.

You must put in place a process to deal with **re-referrals** (the second group above):

- Ensure that you are aware of how to locate this information in your provider agency management information system.
- Use DHS ABC and ISSV screens to determine whether a break in assistance has occurred, following the examples below.
- Contact IM through e-mail or by telephone in questionable situations.

The following examples illustrate the situations where you will need to determine the length of the break in assistance.

1. Ms. A:

FIP cancellation effective	01/01/05
Reapplication	01/03/05
Re-referral	01/17/05
Approval	01/20/05
FIP effective date	01/10/05

Ms. A's break in assistance **is less than one month**. She has received some benefits for the month of January. On her DHS ISSV screen, benefits are recorded for 12/04, 01/05, and 02/05.

2. Ms. B:

FIP cancellation effective	01/01/05
Reapplication	01/20/05
Re-referral	01/21/05
Approval	02/17/05
FIP effective date	01/27/05

Ms. B's break in assistance **is less than one month** because she has received some January benefits, even though she did not actually get them until February. On her DHS ISSV screen, benefits are recorded for 12/04, 01/05, and 02/05.

3. Ms. C:

FIP cancellation effective	01/01/05
Reapplication	01/20/05
Re-referral	01/27/05
Approval	02/17/05
FIP effective date	02/01/05

Ms. C's effective date could have been 01/27/05, but IM found that her household was over income for the month of January. Therefore, the effective date is 02/01/05.

Ms. C's break in assistance **is exactly one month**. She received full benefits for February even though she did not receive them until later in the month. Her DHS ISSV screen records benefits for 12/04 and 02/05. Check the TD02 for the effective date to see if the break was more than one month. Contact IM if ABC information is not clear.

4. Ms. D:

FIP cancellation effective	01/01/05
Reapplication	01/31/05
Re-referral	02/05/05
Approval	02/17/05
FIP effective date	02/07/05

Ms. D's break in assistance **is more than one month**. Even though she received some February benefits, she did not receive them to cover the entire month. On her DHS ISSV screen, benefits are recorded for 12/04 and 02/05. Check the TD02 for the effective date to see if the break was more than one month. Contact IM if ABC information is not clear.

5. Ms. E:

FIP cancellation effective	01/01/05
Reapplication	02/03/05
Re-referral	02/17/05
Approval	02/25/05
FIP effective date	02/10/05

Ms. E's break in assistance **is more than one month**. Both application date and effective date are in the second month of ineligibility. On her DHS ISSV screen, benefits are recorded for 12/04 and 02/05.

6. Ms. G's FIP case is suspended for one month beginning 01/01/05, because her earnings in November were temporarily over FIP eligibility limits. Her case is reinstated beginning 02/01/05.

   This is not considered to be a break in assistance. A FIP application is not required to reestablish the FIP case. On her DHS ISSV screen, benefits are recorded for 12/04 and 02/05.

7. Mr. H's FIP grant was calculated to be $8.00 beginning 01/01/05, due to increased earnings. DHS makes FIP payment only when the grant amount is ten dollars or more, so Mr. H does not receive a warrant, even though he and his children continue to be regarded as FIP recipients.

   Mr. H has had no break in assistance. He and his children continue to be regarded as eligible for FIP. He continues to be responsible for carrying out the steps of his family investment agreement. DHS ISSV shows no grant amount, but TD02 screens show the case as eligible. In the PROMISE JOBS referral file, his case shows as eligible with $0 grant.

Break in Assistance of One Month or Less

Legal reference: 441 IAC 93.109(2)"i"

When a break in FIP assistance is one month or less, and a valid family investment agreement exists, reinstate the contents of the existing family investment agreement. Resume case management at the point it was discontinued before the break in assistance occurred. Renegotiate and amend the reinstated family investment agreement only if needed to accommodate changed family circumstances.

When a break in FIP assistance is one month or less, and a family investment agreement does not exist, see **SERVICE UPON REFERRAL**.

When a valid family investment agreement exists, notify the IM worker that IM can proceed with application processing by making entry in PJCase that a family investment agreement was signed within one working day of receiving the referral. No interview is required because a valid family investment agreement exists.

At the same time, reinstate the existing family investment agreement by sending the participant form 470-3300, *Your Family Investment Agreement Reminder*, along with a copy of the existing family investment agreement. This form reminds the client of the family investment agreement obligation and offers the opportunity to renegotiate and amend the reinstated family investment agreement.

The client and PROMISE JOBS do not need to re-sign a reinstated family investment agreement when the family investment agreement does not change. See **Dealing With Breaks in FIP Assistance**.

Break in Assistance of More Than One Month

Legal reference: 441 IAC 93.109(2)"h"

When a break in FIP assistance is more than one month, the family investment agreement process must be completed again. The family investment agreement is no longer valid, and the participant should be treated just like a new referral for PROMISE JOBS service. See **SERVICE UPON REFERRAL** to begin the steps of either:

- Resigning and redating the previous family investment agreement or
- Writing a new family investment agreement.

Consider the following factors for families in this situation:

- The family may be able to use the same steps that appear in the family investment agreement signed before eligibility was lost. If appropriate, include these steps in a new family investment agreement.
- A change in circumstances may mean that the terms of the former family investment agreement do not fit the family any longer. Write a new family investment agreement to address the changes.

Dealing With Breaks in FIP Assistance

Legal reference: 441 IAC 93.109(2)"h" and "i"

Once you are alerted to any **break-in-assistance** situation, evaluate the following circumstance: Is the break more than one month?

If **yes**, refer to **SERVICE UPON REFERRAL** for information on how to proceed.

If **no**, the chart on the following page illustrates how to deal with this situation.

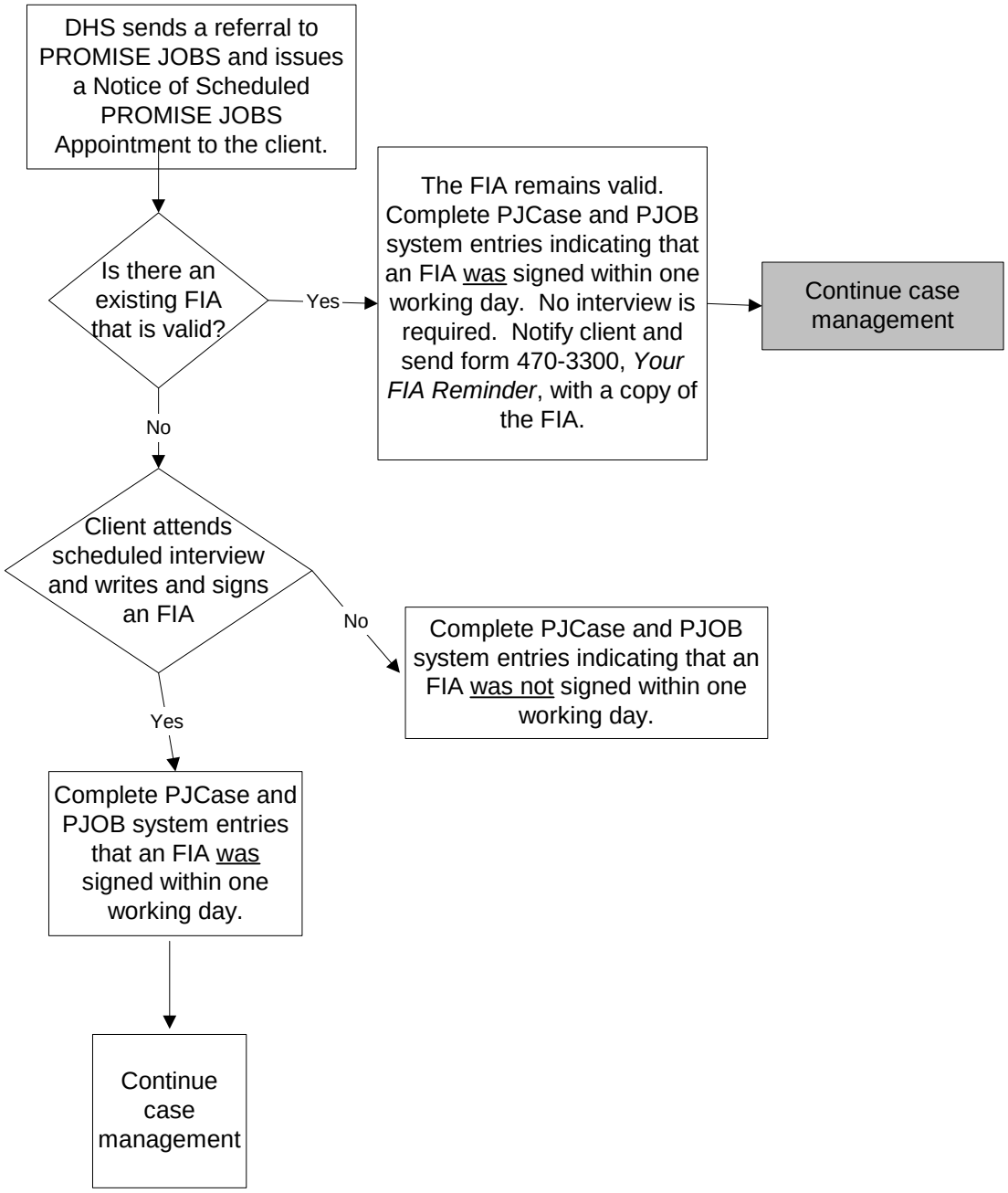
Participants may experience a break in assistance of one month or less when they are already failing to participate in the steps of their family investment agreement, and PROMISE JOBS has begun the limited benefit plan resolution process.

In these situations, do not stop the limited benefit plan resolution process. Send the participant form 470-3300, *Your Family Investment Agreement Reminder*, as soon as possible, while continuing to resolve the LBP.

When participants who experience a break in assistance of one month or less **are** currently participating in their family investment agreement steps, send *Your Family Investment Agreement Reminder* as soon as possible while continuing case management.

When you have determined that the participant has chosen a limited benefit plan, refer the case for review. See **Review of Limited Benefit Plan Recommendation**.

Break in FIP Assistance of One Month or Less



Remember, a break in FIP assistance of one month or less does interrupt the family investment agreement process. The participant is not required to participate during the break in assistance between the date the case is canceled and the date the participant is referred back to PROMISE JOBS.

Case management should resume after the participant is referred because the family investment agreement remains valid. Examples:

1. Ms. A is a new (original) referral to PROMISE JOBS. She receives FIP in April and May but is canceled June 1 for failure to provide documentation to DHS. She must reapply to get FIP benefits again, and does so on June 12. She is referred back to PROMISE JOBS on June 19, after experiencing a break in FIP assistance of less than one month.

   If you determine that a valid family investment agreement exists, notify Ms. A and send form 470-3300, *Your Family Investment Agreement Reminder*, along with a copy of the current family investment agreement to Ms. A. Complete PJCase and PJOB system entries indicating that a family investment agreement was signed.

2. Mr. B has failed to provide required classroom training documentation and appears to be choosing a limited benefit plan. On May 29, PROMISE JOBS sends him a reminder letter to inform him of this potential choice, to attempt to resolve the issue, and to offer supervisory intervention if he responds by June 5.

   However, Mr. B goes off FIP assistance as of June 1 because he fails to return employment information. He reapplies for FIP on June 2, and is rereferred to PROMISE JOBS on June 9.

   Mr. B has experienced a break in FIP assistance beginning June 1 and lasting until June 9. Since Mr. B was not obligated to respond to the written reminder letter as of June 1, PROMISE JOBS must resolve this issue at the scheduled appointment to write and sign a family investment agreement as an eligibility factor for Mr. B's family to be approved for FIP.

3. Ms. C is scheduled to attend Job Club for three weeks starting on June 5. However, she fails to return her PAER, and is required to reapply for FIP in June to get benefits again. She does reapply for FIP on June 13.

Therefore, Ms. C experiences a break in FIP assistance beginning June 1 that lasts until she is reapproved to FIP on June 20. In this situation, PROMISE JOBS must amend the family investment agreement to reschedule Ms. C for the next available Job Club.

The missed June 5 Job Club would not indicate a limited benefit plan choice, since Ms. C was not a FIP recipient at the time the Job Club was held and was not required to participate with PROMISE JOBS

JOB SEARCH OPTIONS

Legal reference: 441 IAC 93.112(239B)

Employment is an emphasis of the family investment agreement as described at **FAMILY INVESTMENT AGREEMENT**. Flexible job search options enable clients to use the services of PROMISE JOBS effectively as they develop the family investment agreement.

PROMISE JOBS clients have several options to search for work:

- Job club.
- Individual job search.
- Self-directed job search.

Work with the clients who need job search services to select the appropriate level of service. Take into account the following:

- Previous work history.
- Skill level.
- Life circumstances of the client.

You and the client must document job search contacts for all options except self-directed job search.

For documentation of time spent in job search in circumstances that you cannot document, require participants to complete form 470-3099, *Job Search Record*, as described at **Job Search Documentation**. If the *Job Search Record* is not appropriate, you and the client may designate an alternate form of documentation in the individual job search plans.

For planning and component reporting purposes, consider each in-person job search contact that is reported on *Job Search Record* to equal one hour of participation.

You may encourage clients to use more than one job search option in the family investment agreement. For example, if you believe that a client is unlikely to find employment by the end of the three weeks of job club, write the family investment agreement so that individual job search follows job club.

Job Club

Legal reference: 441 IAC 93.112(1)

Job club includes two components provided in three weeks:

- Job-seeking skills training for one week.
- Group job search for two weeks.

Job-seeking skills training and structured job search are considered separate components. To report these components:

- Assign component code "BA" to people in the one week of job-seeking skills training.
- Assign component code "C" to people participating in the two weeks of structured job search.

The term "job club" identifies a group of clients who develop common objectives during their three weeks of working together, supporting one another in the job search process.

You may want to use the "job club" term when talking with or writing to clients about their job search activities. However, you may use a component title, i.e., "job-seeking skills training," if you believe this will make communication with clients more accurate. This is an SDR decision.

Note that the policies for the two components allow great flexibility in delivery of job club services. Normally, job club should require at least 20 hours per week of participation in each of the three weeks. However, you may schedule fewer than 20 hours a week, depending on your local office needs and resources.

Remember that at the end of the three weeks of job club, clients should have met three objectives:

- Be prepared to understand and function in the interview process and in the work place.
- Complete all tools needed for effective work search (resume, letter of application, etc.).
- Have the opportunity to complete as many actual job contacts and interviews as possible after completing all of their job search tools.

For participants who obtain part-time employment during participation in job club, take the following actions:

- Discontinue job club for participants who obtain part-time employment of 86 or more but less than 129 hours per month during participation, as long as part-time employment was the family investment agreement goal.
- Continue job club for participants who obtain part-time employment of less than 86 hours per month during participation, unless the only available job club hours conflict with the scheduled hours of employment. Whenever possible, schedule PROMISE JOBS participation to occur during those hours where no conflict with work hours exist.

Job-Seeking Skills Training

Legal reference: 441 IAC 93.112(1) and 93.112(1)"a"

Provide one week of job-seeking skills training for all participants who include job club in the family investment agreement. Daily attendance during the one-week of job-seeking skills training is necessary. Require participants who miss any portion of the job-seeking skills training to repeat the entire week of training.

Provide training in appropriate dress, finding job leads, completing employment applications, scheduling employment interviews, participating in employment interviews and, in general, how to sell one's self to an employer.

To do this, use job-seeking skills training elements that include, but are not limited to, the following:

- Self-esteem building and motivational exercises.
- Identifying and eliminating employment barriers.
- Goal attainment planning.
- Job retention skills.
- Personal grooming, positive impressions, and self-marketing.
- Resume development, letters of application and follow-up letters.
- Job application completion.
- Finding job leads.
- Obtaining interviews and use of telephones.
- Interviewing skills development and practice interviewing.

Expect participants to take part in group discussions concerning these topics. You may use role-playing and other teaching methods that provide instruction in applying for employment and participation in employment interviews.

Structured Job Search

Legal reference: 441 IAC 93.112(1)"b"

After participants complete job-seeking skills training, require them to take part in a structured job search activity for a period **not to exceed two weeks**. Design the scheduled activities and required hours of participation to reflect proven job-search techniques and the employment environment of your community or service delivery area. You may vary them due to resources available and the needs of the participants.

Make expectations very clear to the participant regarding the activities and the number of job search contacts to be completed during the period of the job club. Use a written method of communication as well as oral.

Expect job club participants to report to the structured job search site on time each day and to participate on a daily basis.

Provide participants with all possible job lead resources, including phone books, daily newspapers, job listings that employers may provide, and any other available resources. As part of your job club design, you may require participants to contact employers by phone to schedule employment interviews.

Allow participants sufficient time away from the job club site to complete employment applications and participate in employment interviews. Encourage participants to inform other job club participants of potential job leads.

Consider that participants have chosen the LBP when they do not complete the number of job searches required in the period of the job club or do not carry out other group job search activities.

Apply policies at **Identifying Participation Issues** (especially Item 8), **Problems With Participation**, and **Barriers to Participation**. Use form 470-3099, *Job Search Record*, if needed to document job search contacts away from the job club site.

Require job club participants to attend additional days of group job search to make up absences that occur during the two-week job search period. Do not add the required job searches from the days of absence to the total required from the participant.

Consider that participants have chosen the LBP if they do not attend the make-up days. Apply policies at **Identifying Participation Issues** (especially Item 8), **Problems With Participation**, and **Barriers to Participation**.

Job Club Expense Allowances

Legal reference: 441 IAC 93.112(1) and 93.112(1)“a”(1) and (2)

Authorize a child care allowance, if required, for participants who choose job club. Also authorize a transportation allowance, if required, at the start of participation.

For job club participants who are required to repeat job-seeking skills due to absence, take the following actions:

- Authorize an additional transportation allowance for each training day the participant is required to repeat because of absence for reasons as described at **Problems With Participation**. This allowance is to compensate for funds expended from the participant's original allowance.
- Do not authorize additional transportation allowance for any days the participant is required to repeat because of absence for reasons other than those that are described at **Problems With Participation**.
- Allow required child care payment.

For job club participants who are required to make up days of absence that occur during the two-week job search period, take the following actions:

- Do not pay additional transportation allowances to these people.
- Allow required child care payment.

See **Transportation** for the policies illustrated in the following example.

Ms. K lives two miles from the job club site. She estimates varying miles for job search.

	Day 1 Miles	Day 2 Miles	Day 3 Miles	Day 4 Miles	Day 5 Miles
Job-seeking skills	4	4	4	4	4
Issue warrant $4.20	5 days × 4 miles × 0.21				
First week of group job search	4	4	6	4	4
Second week of group job search	4	4	4	4	10
Issue warrant $10.08	8 days × 4 miles × 0.21 (6.72) + 1 day × 6 miles × 0.21 (1.26) + 1 day × 10 miles × 0.21 (2.10)				

See **Child Care** for information covering maximum allowable child care costs.

Issue expense allowances through direct screen entry in the PROMISE JOBS office.

Individual Job Search

Legal reference: 441 IAC 93.112(2) and 93.112(2)"a" and "b"

Work with participants to use the individual job search component in these situations:

- When job club is not available to them.
- When the participant needs job search services beyond the three weeks of job club.
- When job club is not appropriate for them.
  - Participants who have completed training.
  - Participants who have recent ties with the workforce.

The total period for each episode of individual job search shall not exceed 12 weeks or three calendar months.

Require the client to design and provide a written plan of the individual job search activities to meet their particular needs. You are expected to serve as consultant to the client in this process and you must approve the plan.

Help the client to design a job search plan. The plan should be as specific as possible, to ensure that job search activities are equivalent to the level of commitment required for full-time employment or are significant so as to move toward that level. When the client is also involved in other family investment agreement options, the combined hours of participation shall meet the full-time equivalency standard.

The format of the written plan is subject to agreement between you and the client. Ensure that it contains the following elements, as specifically as possible:

- A designated period, not to exceed four weeks or a calendar month.
- The specific locations of the job search.
- The areas of employment interest and the employers to be contacted or other specific information that can be an acceptable substitute for these two criteria.
- Information to allow accurate issuance of child care and transportation allowances or to show that either of these allowances is unnecessary.

Give or send the original of each individual job search plan to the client. Keep a copy for the client case file.

Require participants to provide the *Job Search Record*, form 470-3099, within five working days after the last working day of any week during which the participant has chosen to make the employer contacts. This allows time for mail delivery. You and the participant may arrange a shorter period that fits the job search plan.

Be sure clients understand their three responsibilities regarding job search. Clients must:

- Actually carry out the job contacts that are included in any job search plan.
- Clearly report those contacts on the *Job Search Record*, completing all sections of the form.
- Provide the information to PROMISE JOBS in a timely fashion. For example, if the job search week ends on a Friday, the *Job Search Record* should reach you on or before Friday of the following week.

If other documentation is needed because face-to-face job search contacts are not appropriate, ask for the documentation at regular intervals as agreed upon in the written plan. Alternate documentation should be provided, at a minimum, at the end of each designated period.

Consider that participants have chosen the LBP when they do not complete the steps of the written individual job search plan. Apply policies at **Identifying Participation Issues**, **Problems With Participation**, and **Barriers to Participation**.

Participants can use individual job search for periods up to four weeks or one calendar month, up to a total of three such periods consecutively, to design a job search that meets their particular circumstances. In other words, each individual job search plan may range from one week to four weeks or a calendar month.

A participant may use these individual job search plans for up to 12 consecutive weeks or three consecutive calendar months. Examples:

1. Ms. A has a varied job history. She wants flexibility to look for work in several occupational areas. Ms. A and her PROMISE JOBS worker decide that Ms. A will use individual job search plans that are one week in length. She plans to turn in her *Job Search Record* during a weekly appointment with the worker. During the office visit, they will design the new plan for the next week.

   In her family investment agreement, she indicates that she will use individual job search for the months of May and June. If she has not found employment in two months, she and the worker agree that Ms. A should use the work experience component.

2. Ms. B is an experienced food service worker. She lives in a rural area and must travel to other communities to look for work in that industry. The family investment agreement for Ms. B indicates that she will use individual job search for the months of May, June, and July. Because of the distances involved, she believes it may take her all three months available under individual job search to find employment.

   The family investment agreement also indicates her agreement with her PROMISE JOBS worker to use individual job search plans that are two weeks in length. The plans will be specific about the area of her job search. If she has not reported employment at the end of a two-week plan, she will immediately provide a new plan to her worker.

   Because Ms. B has a record of dependability, she and the worker agree that Ms. B does not need frequent office visits.

3. Ms. C is completing her bachelor's degree in May and will have a teaching certificate. She and her worker renegotiate and amend her family investment agreement to include the details for individual job search.

   Ms. C and the worker develop the family investment agreement to allow for individual job search in May, June, and July. The family investment agreement also indicates that each job search plan will be written for a calendar month.

   The May plan will include Ms. C's plans to use newspaper advertising, recruitment agencies, college placement services, etc. to locate teaching positions. It will include her plan to develop a resume, arrange for availability of transcripts, etc. If she and the worker believe that Ms. C can anticipate child care and transportation needs, these will be included in the plan.

   If plans for the second and third months are needed, Ms. C and her worker will agree on the content at that time. Ms. C and the worker also agree on the method she will use to document that the activities of the job search plan have been carried out. She could use copies of her resume and application letters, letters of appointment from school officials, the *Job Search Record*, etc.

Individual Job Search Expense Allowances

Legal reference: 441 IAC 93.112(2)"b"

Authorize a child care allowance, if required, for participants who choose individual job search. Also authorize a transportation allowance, if required, so that the participant receives the allowance before the start of each designated time-period of the individual job search.

Limit payment for required child care to 20 hours per week.

The written plan that you and the participant develop must describe child care needs and anticipated transportation. Develop the plan to provide for the most effective use of transportation funds. Issue form 470-3915, *Notice of Decision: Child Care Assistance*. Base the number of approvable child care units on the written plan, up to a maximum of 20 hours per week.

Treat transportation allowances for any missed days of job search activity as transportation overpayments as described at **Transportation Overpayments**.

Self-Directed Job Search

Legal reference: 441 IAC 93.112(3)

Self-directed job search is a component for participants who are capable of independent job search efforts without oversight or assistance from PROMISE JOBS. Do not require participants to provide documentation of the self-directed job search activities. Do not provide transportation and child care allowances in this job search option.

Some FIP participants may believe that they will be on FIP for only a short time. Such FIP participants may want to develop a family investment agreement of short duration. Work with these participants to develop the written self-directed job search plan as the first option in the family investment agreement when they want to be independent of PROMISE JOBS job search assistance and expense allowances.

You may also use this component with participants who are ready to conduct an independent job search as their job search activity after completion of classroom training or WEP assignment. (This may mean renegotiating and amending the family investment agreement if the type of job search was not clearly indicated.)

Exception: This option does not apply to parents under the age of 20 who are required to participate in high school completion activities.

Do not allow participants to include self-directed job search in the family investment agreement unless participant circumstances indicate a real probability that the participant can find employment through independent efforts within the four-week or one-month maximum for this component.

Job Search Plan

Require the participant to design and provide a written plan of the self-directed job search activities to meet their particular needs. You are expected to serve as consultant to the participant in this process and you must approve the plan.

Help the participant to design a job search plan. The plan should be as specific as possible, to ensure that job search activities are equivalent to the level of commitment required for full-time employment or are significant so as to move toward that level.

The format of the written plan is subject to agreement between you and the participant. Ensure that it contains the following elements, as specifically as possible:

- A designated period, not to exceed four weeks or a calendar month.
- The specific locations of the job search.
- The areas of employment interest and the employers to be contacted or other specific information that can be an acceptable substitute for these two criteria.
- Information to show there are definite plans for meeting any child care and transportation needs or so as to show that these needs do not exist.

Give or send the original of each self-directed job search plan to the participant. Keep a copy for the participant case file.

Consider that participants have chosen the LBP when they do not carry out the steps of the family investment agreement that apply to the self directed job search plan or plans. Apply policies at **Identifying Participation Issues** (especially Item 8), **Problems With Participation**, and **Barriers to Participation**. Examples:

1. Mr. D has a job history with landscaping and lawn care companies. When he is writing the family investment agreement in April, Mr. D is confident that he will be able to find full-time employment quickly and earn enough so that he and his son will be ineligible for FIP by the end of July. He asks to use self-directed job search as the first step of the family investment agreement.

   The family investment agreement indicates that Mr. D will develop a written plan each week for the four weeks of self-directed job search. The first plan will be written before Mr. D leaves the office after signing the family investment agreement. Mr. D will provide the second, third, and fourth plans (if needed) to the worker on Friday of each week.

   The plan will indicate that his son spends each day with his grandmother, who does not want to be paid, so Mr. D has no child care costs. It will also indicate his plans to cope with transportation needs, so the PROMISE JOBS worker knows that transportation costs will not keep him from making his job search.

2. Ms. E likes the idea of doing self-directed job search because she wouldn't need to document her job searches. During assessment, the PROMISE JOBS worker helps Ms. E to see that she will not be able to do an effective job search unless she has help with child care and transportation costs. Ms. E decides to use individual job search instead.

3. Ms. F has completed her bachelor's degree in May and has a teaching certificate. She and her worker renegotiate and amend her family investment agreement to include the details for self-directed job search.

   Ms. F and the worker develop the family investment agreement to allow for self-directed job search in June. Because she participated in recruitment fairs at her college, she believes she will be able to find a teaching position in one month.

   The family investment agreement also indicates that the job search plan will be written for the entire calendar month. Ms. F and the worker develop the plan before Ms. F leaves the office after signing the family investment agreement. It includes Ms. F's plans to locate teaching positions. It includes her plan to develop a resume, arrange for availability of transcripts, etc.

4. Ms. G has no work history. She wants to look for work so she can have a part-time job while she is working on her GED. She is attracted to the idea of self-directed job search, since it seems less restrictive than job club or individual job search.

   The PROMISE JOBS worker works with Ms. G during assessment to help her realize that the job club services will help her gain the skills and confidence she needs in the job market. Ms. G decides to use job club in the family investment agreement.

5. During assessment, Ms. H indicates that she wants to be on FIP for a short time. She wants to do a job search right away so she can get a job and leave FIP. She wants to use self-directed job search so she won't have to report to PROMISE JOBS each week. She understands that she will have no help with transportation and child care.

   Ms. H has no work history. She has a PROMISE JOBS history of frequently rescheduled and missed appointments. The PROMISE JOBS worker points out that it seems unlikely that Ms. H can find employment within one month since she has no experience as a serious job-seeker and she has not shown an ability to follow through on commitments.

   The PROMISE JOBS worker does not allow Ms. H to include self-directed job search in the family investment agreement. Instead, the worker helps Ms. H to evaluate the benefits of job club as compared to individual job search. Ms. H decides to use job club.

WORK OPTIONS

Legal reference: 441 IAC 93.109(2)"a"(1)-(4)

Expect participants to use paid employment as the principal activity of the family investment agreement whenever it is possible for the participant to use it as part of the plan to achieve self-sufficiency.

Expect participants who are on a waiting list for a PROMISE JOBS component or a supportive service to include paid employment in the family investment agreement unless their family circumstances make it impossible.

For participants who are not ready for paid employment, consider the unpaid work components of work experience and unpaid community services.

Paid and unpaid work components can be combined with other family investment agreement options in order to fit family circumstances. PROMISE JOBS on-the-job training also meets these requirements for the family investment agreement.

The following sections describe the options:

- Monitored employment
- PROMISE JOBS on-the-job training
- Work experience placement
- Unpaid community service

Monitored Employment

Legal reference: 441 IAC 93.113(239B)

Employment shall be the principal activity of the family investment agreement or shall be combined with other family investment agreement options whenever it is possible for the participant to do so as part of the plan to achieve self-sufficiency.

Participants who are on a waiting list for a PROMISE JOBS component or supportive service must include employment in the family investment agreement, unless family circumstances indicate that employment is not appropriate.

See **Refusing, Ending, or Reducing Employment** on how to treat PROMISE JOBS participants who refuse, end, or reduce employment that is part of the family investment agreement, for reasons that are not included under **Problems With Participation** or **Barriers to Participation**. This includes people as described at **Identifying Participation Issues** (Item 12) who are discharged from employment due to misconduct.

When the participant reports employment to the IM worker, the IM worker asks for verification of employment through the *Employer's Statement of Earnings*. When the participant reports employment or change in employment to you, complete the *Notice of Employment*, form 470-0820, and send it to the DHS IM worker.

Do this whenever you learn of employment for a person who has been referred to PROMISE JOBS through the PROMISE JOBS referral file. Do this for both full-time and part-time employment and for multiple instances of employment by the same participant. (See the exception below.)

The IM worker will verify the information on the *Notice of Employment* and will change the participant's grant if appropriate. The IM worker will then return the *Notice of Employment* to PROMISE JOBS after attaching a copy of *Employer's Statement of Earnings*, form 470-2844. IM will not complete Part B of the *Notice of Employment* when the *Employer's Statement of Earnings* is attached.

The IM worker may receive this verification of employment before receiving your *Notice of Employment*. If so, the IM worker will send a copy of the *Employer's Statement of Earnings* or equivalent verification to the PROMISE JOBS office designated by each PROMISE JOBS SDR to receive the forms.

Exception: You do not need to send the *Notice of Employment* to IM when you have already received a copy of the *Employer's Statement of Earnings* or equivalent verification from the IM worker. In this circumstance, send the *Notice of Employment* only if your information about the job, wages, hours, etc., is different from and more current than what you received from IM.

When verification is not available from any other source, require the participant to verify anticipated and actual hours of employment. Document this in the case file. Require participants who are self-employed to provide monthly verification of actual hours worked. See **Self-Employment**.

For employed participants, do not pay transportation, as this expense is covered by the FIP earned income disregard. Refer the participant to their local Department of Human Services office for Child Care Assistance.

See **State and Federal Reporting Requirements** for instructions on data entry and employment follow-up.

The following sections explain policies on:

- Full-time employment
- Part-time employment
- Self-employment
- Refusing, ending, or reducing employment
- Defining misconduct

Full-Time Employment

Legal reference: 441 IAC 93.113(1)

Expect participants who become employed 30 or more hours per week (129 hours per month) while participating in PROMISE JOBS to meet the obligations of the family investment agreement by continuing in that employment if FIP eligibility continues and the end date of the family investment agreement has not been reached. They have no other obligations under the family investment agreement.

Do not wait until the family investment agreement end date is near or has been reached to determine whether the employed participant has demonstrated effort and has carried out the employment steps of the family investment agreement. This is an ongoing process.

Establish a procedure for regular monitoring of the fact that an employed participant is demonstrating effort and truly carrying out the steps of the family investment agreement with regard to employment. See **Required Client Documentation** for information on documentation that can be used or required from the participant.

If a participant who is working 30 or more hours weekly still has FIP eligibility as the family investment agreement end date nears, you and the participant need to renegotiate and amend the family investment agreement to:

- Establish a new ending date, and
- Determine whether any additional steps are needed so that the family can reach self-sufficiency.

See **Renegotiation and Amendment of the FIA** for a detailed discussion of how to handle cases that are not self-sufficient by the end date of the family investment agreement.

When you document that the employed participant has chosen not to work with PROMISE JOBS in the renegotiation process, the participant has chosen the limited benefit plan. When you determine that the participant has chosen the limited benefit plan, follow the policies and procedures under **FIA PARTICIPATION ISSUES**.

Part-Time Employment

Legal reference: 441 IAC 93.113(2)

Part-time employment provides flexibility for development of the family investment agreement, giving clients and PROMISE JOBS workers discretion in combining employment with other family investment agreement options or using employment as the primary activity when that is appropriate.

Expect clients who are employed less than 30 hours per week (129 hours per month) to meet the obligations of the family investment agreement by continuing employment at that level as long as that employment is part of the family investment agreement.

Based on family circumstances of some clients, you may help them write the family investment agreement so that part-time employment will be the only activity, at least for a time.

To help other clients to move to self-sufficiency at the earliest possible time, you may help them write the family investment agreement to include part-time employment in combination with participation in other PROMISE JOBS activities. These could be high school completion, GED, ABE, or ESL, unpaid community service, parenting skills training, or placement on a PROMISE JOBS waiting list, for example.

It is acceptable for participants to leave part-time employment to move into another step in the family investment agreement.

Self-Employment

Participants who are self-employed must meet the same policies and procedures as other full-time and part-time employed people. See **Full-Time Employment** and **Part-Time Employment** for information. Participants are expected to work full time **and** steadily increase their earnings to be considered to be making satisfactory progress in self-employment.

Self-employed participants are required to provide PROMISE JOBS verification of:

- Their monthly actual hours of employment.
- Monthly gross earnings received from their business.

This verification is required to document satisfactory participation in the client's family investment agreement steps. Use existing PROMISE JOBS forms whenever possible. See **Required Client Documentation** for information on documentation that can be used or required from the client.

Establish a procedure for regular monitoring of the fact that a self-employed client is demonstrating effort and carrying out the steps of the family investment agreement with regards to employment. Use the work hours and income documentation described above to track the family's progress towards self-sufficiency.

Accept the client's reported documentation of the number of hours worked in a month as well as the amount of income being earned by the client's business to be accurate unless there is a reason to believe otherwise.

When self-employment is part of a participant's family investment agreement, conduct a progress review every six months to determine whether the participant is making satisfactory progress and if self-employment should remain part of the family investment agreement.

A client who is only working part-time is expected to include other activities in the family investment agreement to meet full-time participation requirements. Do not use number of hours alone to determine whether a client is making progress towards self-sufficiency.

When a six-month review indicates the participant is not making satisfactory progress, determine whether the family investment agreement should be renegotiated to include other activities, or if the participant has chosen the limited benefit plan.

Refusing, Ending, or Reducing Employment

Legal reference: 441 IAC 41.24(8)

Consider that participants whose employment is part of the family investment agreement are choosing the limited benefit plan if they refuse, end, or reduce employment without a justification listed under **Problems With Participation** or **Barriers to Participation**. This includes a participant who is discharged from employment due to the participant's misconduct.

Unusual circumstance may make the participant eligible for renegotiation and amendment of the family investment agreement. Apply the policies under **Renegotiation and Amendment of the FIA**.

A newly-revealed barrier to participation that was not previously part of the family investment agreement or a "major change in family circumstances" might mean that renegotiation and amendment is appropriate.

Inform every client whose employment is part of the family investment agreement that refusing, ending, or reducing employment without an acceptable reason means choosing the limited benefit plan.

Consider that the participant has chosen the limited benefit plan after signing the family investment agreement when you determine that the participant:

- Has refused, ended, or reduced employment that is part of the family investment agreement for reasons not included under **Problems With Participation** or **Barriers to Participation**, and
- Is not eligible for renegotiation and amendment of the family investment agreement.

Follow the policies and procedures under **FIA PARTICIPATION ISSUES**.

Note: Iowa Workforce Development's definition of "good cause" for job separation differs substantially from the PROMISE JOBS definition. Therefore, you must disregard a determination that a person is disqualified from receiving unemployment benefits when considering whether a PROMISE JOBS participant's action to end employment is justified.

Use the following procedure when you become aware that a participant has refused employment, ended a job, or reduced employment.

1. Contact the participant to get an explanation of the circumstances surrounding the employment situation. Until you have discussed the situation with the participant, you do not know if the person's participation is an issue that indicates that the person has chosen the limited benefit plan.

   When you learn of the employment situation while meeting the participant for other reasons, discuss the circumstances with the participant at this time. Otherwise, schedule an appointment to discuss the circumstances surrounding the employment situation. See **Written Notification to Client**.

   This applies even when you have a copy of an *Employer's Statement of Earnings* stating that the person voluntarily quit employment. The person may have a valid reason for refusing, ending, or reducing the employment, so you need to provide the person with an opportunity to explain.

If the participant fails to attend the appointment, the participant is choosing the limited benefit plan. Attempt to resolve the issue of failure to attend the appointment. See Issue 2 under **Identifying Participation Issues**.

Go to step 2 when the participant appears for the appointment.

2. Discuss the employment situation with the participant. Ask the participant to tell you the reason that the employment ended, or employment was refused, or the participant reduced hours of employment.

   Explain that the employment situation will be a choice of a limited benefit plan unless the situation occurred due to a problem or barrier to participation that is allowed by policy. Document the participant's explanation in the case record.

   Also tell the participant that if the job in question is still open and the participant returns to the job, or if the participant starts another job equal to the job in question, the issue will be resolved when PROMISE JOBS receives verification.

   Go to step 3 after discussing the situation with the participant.

3. Determine if the participant's explanation indicates that the person should be excused for the employment situation. See **Problems With Participation** and **Barriers to Participation**.

   When the participant gives you a reason that excuses the employment situation, and the statement appears to be accurate and consistent with other circumstances, you need not require any further documentation. Renegotiate and modify the family investment agreement as appropriate.

   When the participant states that the employment situation occurred due to a problem or barrier to participation that is allowed by policy, but documentation is needed to support the person's statement, give the person an opportunity to provide the documentation before considering whether the person has chosen a limited benefit plan.

Request the documentation in writing. Explain that the employment situation will be considered a choice of the limited benefit plan if the participant does not provide the requested documentation. Allow the participant at least five working days to provide the documentation. See **Written Notification to Client**.

Examples of supporting documentation include, but are not limited to:

- Statements from former co-workers.
- Medical documentation of illness or inability to perform the work requirements.
- Documentation of a complaint filed with an organization that represents employee rights. **Note:** Never require a person to file such a complaint.

If you need more complete information from the employer, you may contact the employer based on the authorization to furnish information to DHS included in the *Employer's Statement of Earnings*. PROMISE JOBS is entitled to this authorization as a contracted agent of DHS that must have this information to provide the contracted services.

If the 60-day period authorized by the participant on the *Employer's Statement of Earnings* has expired, you may ask the participant to sign a *Consent to Obtain and Release Information*.

When you have all of the needed information from the participant and the employer, weigh all of the evidence and consider the totality of circumstances when determining whether the person should be excused for the employment situation. Do not rely solely on the employer's statement.

If you find that the employment situation is excused due to a problem or barrier to participation that is allowed by policy, renegotiate and modify the family investment agreement as appropriate. Document your decision in the case file.

Otherwise, go to step 4.

4. Attempt to resolve the issue by following the policies under **Identifying Participation Issues** when:
   - The employment issue was caused by the participant and the participant does not have a problem or barrier to participation according to policy for causing the issue, or
   - The participant gives a reason that needed documentation to support it and the participant fails to provide the documentation.

Defining Misconduct

For the purpose of the PROMISE JOBS program, "misconduct" is defined as a deliberate act or failure to act by the participant that is considered to be a material breach of the duties and obligations agreed upon between the employer and employee at the time of hire.

To be considered "misconduct," the employee's conduct must demonstrate a willful violation or disregard of the standards of behavior that the employer has the right to expect of employees.

Any conduct that is not an intentional decision by the employee to act or fail to act is not misconduct. An employee is not guilty of misconduct when the discharge is the result of the employee's:

- Mere inefficiency.
- Unsatisfactory conduct when unintentional.
- Failure to perform well due to inability or incapacity.
- Ordinary negligence in isolated instances.
- Good faith errors in judgment or discretion.

An employee is not guilty of misconduct when the employee's reason for the conduct was justified according to **Problems With Participation** or **Barriers to Participation**.

PROMISE JOBS On-the-Job Training

Legal reference: 441 IAC 93.123(249C) and 93.123(1)

Under PROMISE JOBS on-the-job training (OJT), a participant is hired by a private or public employer and, while engaged in productive work, receives training that provides knowledge or skills essential to the full and adequate performance of that job. OJT participants become the employee of the OJT employer, receiving the same pay, benefits, etc. as other employees in similar positions.

The OJT component funded by PROMISE JOBS establishes an additional tool for PROMISE JOBS participants and staff to use in crafting a family investment agreement that fits the particular circumstances of the family.

PROMISE JOBS participants eligible for OJT shall be hard-to-place participants, such as, but not limited to, those who lack work skills, have outdated skills, or have demonstrated difficulty in finding employment.

Do not interpret this component as "buying a job" for a participant who is already eligible to be hired for a position. Instead, use this component for participants who would not be hired if the employer did not have a small incentive to provide the extra training and additional supervision that may be needed.

You may also use this component for persons who need specific skills for a particular job and who have not had the opportunity to learn those skills before.

PROMISE JOBS OJT Contracts

Legal reference: 441 IAC 93.123(2)

Enter into a contract with the OJT employer for providing training and additional supervision to the participant. Use the contract format established by state-level PROMISE JOBS administrators, which contains these requirements:

- The OJT employer hires the participant after the contract is signed and is to be retained by the employer as a regular employee at the end of the OJT. Do not place a participant under an OJT contract after the participant has begun the employment.

- The job is full time, defined as 30 or more hours per week. (Always encourage full-time employment of 40 hours per week.)
- The participant will engage in productive work. A person who requires training and extra supervision when beginning employment may be less than fully productive according to the standards of the workplace. However, the OJT participant must be part of the planned work flow of the employer.
- The specific knowledge or skills to be gained through the training are described in detail. Include in the contract all pertinent details, such as job title and job description of the position. Identify the major job skills or techniques that the participant will gain, including use of any specialized tools, equipment, machinery, etc.
- The length of the training period is established according to the policies under Duration of the PROMISE JOBS Training Period.
- The employer compensates the participant at the same rate as similarly situated employees or trainees, including benefits and periodic increases. Benefits shall be in accordance with all applicable law, including worker's compensation insurance. In no event shall compensation be less than the federal or Iowa minimum wage, whichever is higher.
- The employer shall provide training and additional supervision, when needed, to enable the participant to gain knowledge and skills essential to the job. Include the name or the job classification of the trainer, and of the supervisor if different from the trainer, in the contract. Ensure that the trainer is to be available at the work site.
- The rate and time of the compensation to reimburse the employer for training and additional supervision are included in the contract as described under PROMISE JOBS OJT Reimbursement.
- Qualitative and quantitative measures are established which the OJT employer, the PROMISE JOBS participant, and the PROMISE JOBS worker shall use to determine whether the participant is making good or satisfactory progress in gaining the knowledge or skills described in the specific contract and whether the training shall continue.

- An OJT employer is required to provide a monthly report on good or satisfactory progress using form 470-2617, *PROMISE JOBS Time and Attendance*.

  Employers may use other forms that contain all of the elements of form 470-2617, allowing reporting of good or satisfactory progress under the qualitative and quantitative measures that are included in the contract and are approved by state-level PROMISE JOBS administrators.

The contract requirements are rather detailed and are intended to make it very clear how the OJT fits into the family investment agreement. The participant will know what to expect from the employer and from PROMISE JOBS in setting up and monitoring the contract and the training that is to be provided.

Just as you work with participants to find jobs at 40 hours per week whenever possible, also seek OJT opportunities where wages are high enough, or can be expected to increase to a level high enough, to move the family to self-sufficiency.

Qualitative and quantitative measures are unique for each OJT and unique to each PROMISE JOBS participant planning to use OJT in the family investment agreement. Develop these measures in consultation with the OJT employer and the participant.

- Quantitative measures apply where achievements or gains can be demonstrated by increasing numbers. Greater volume of production, faster performance of tasks, etc. are some examples.
- Qualitative measures may relate to quality of product or efficiency of performance. It may also relate to the participant's progress in acclimatization to the workplace and its demands, adjusting to being part of a team, etc.

All three partners in the agreement need to understand how the success of the OJT will be measured and what criteria will be used to show that the OJT should be terminated before the end of the contract if it is not successful.

Arrange with the OJT employer and the PROMISE JOBS participant a method of sharing the information that the employer reports to you each month on the form you decide to use for the "good or satisfactory progress under the qualitative and quantitative measures..." that you have established.

(If you have evidence that the OJT trainer or supervisor is providing regular and constant feedback to the participant, you will not need this step.)

PROMISE JOBS OJT Reimbursement

Legal reference: 441 IAC 93.123(3)

PROMISE JOBS state-level administrators have the administrative authority to establish the statewide standard for the rate and time of reimbursement to be included in the OJT, subject to state and federal budgetary limitations.

The methodology for establishing the statewide reimbursement rate is determined each time that the statewide rate is established. It may include (but is not limited to) a payment rate for units of training time, such as hours or weeks, or a payment rate based on a specified percent of the average wages paid to the participant during the training period.

No matter what methodology is used to establish the statewide rate, the payments shall never exceed an average of 50 percent of the average wages paid by the employer to the participant during the period of training.

The amount of the reimbursement per participant shall be based on the standard statewide established rate and the duration of the OJT, as provided under **Duration of the PROMISE JOBS Training Period**.

The time of the reimbursements shall be related to the ending date of the OJT or the date the OJT participant leaves the OJT before the training is completed.

Duration of the PROMISE JOBS Training Period

Legal reference: 441 IAC 93.123(4)

PROMISE JOBS OJT is limited to occupational training that can be completed within six months. Use the *Dictionary of Occupational Titles* (DOT) and the *Standard Vocation Preparation Guide* (SVP) from the U.S. Department of Labor to establish appropriate durations for occupational training that can be completed within the six-month limit.

Determine the number of OJT training hours for a participant using the following SVP chart. Consider the hours specified as a departure point for determining actual PROMISE JOBS training hours.

SVP Level	Hours
1	80
2	160
3	520
4	1,040
5	2,080
6+	4,160

If the total number of training hours for the OJT position cannot be provided during the maximum contract length of six months, provide as many training hours as possible.

Reduce the OJT training hours for a participant if a participant has prior related employment or training in the same or similar occupation. You may disregard previous training or experience which occurred so long ago that skills gained from that experience are obsolete, to the extent that those skills need to be relearned or reacquired.

PROMISE JOBS Eligibility for the OJT Participant

Legal reference: 441 IAC 93.123(5)

For state and federal participation rate purposes, the OJT participant is counted as a PROMISE JOBS participant, as long as the OJT continues. This is true even if the participant loses FIP eligibility due to earnings.

The participant shall remain a PROMISE JOBS participant for the purpose of managing and tracking the OJT. The participant in these circumstances is eligible for the supportive services that are available to any other employed PROMISE JOBS participant. Continue to provide contract monitoring, component reporting, and any other case management services, to the end of the OJT.

As is true for all employed PROMISE JOBS participants, never authorize a transportation allowance, whether or not the OJT participant is eligible for FIP. Refer a participant to the local Child Care Assistance Unit for help with child care costs.

FIP Treatment of Income From OJT Employment

Legal reference: 441 IAC 93.123(6)

IM workers will use income from the OJT employment in determining FIP eligibility and the amount of the grant. Wages paid to participants in OJT are considered earned income for purposes of any provision.

The term "subsidized employment" does not apply to PROMISE JOBS OJT. PROMISE JOBS OJT is "unsubsidized employment," for any instances where the distinction is relevant.

Remind the participant of the responsibility to report employment and changes in employment to the DHS IM worker. Fulfill the PROMISE JOBS responsibilities on reporting employment as described at **State and Federal Reporting Requirements**.

Work Experience Placement

Legal reference: 441 IAC 93.121(1) and 93.121(1)"a" and "b"

Work experience placement (WEP) combines work site assignment and job search activities. For clients who choose WEP, develop assignment to work sites on a schedule that uses eight hours per day between the hours of 8 a.m. and 6 p.m., Monday through Friday, unless the client agrees to another schedule.

Work with clients to develop WEP so that the number of days, the scheduled hours, and the length of the assignment reflect the assessed needs of the client and the needs of the sponsor.

Determine the number of days per week by agreement among the client, the sponsor, and you, with a maximum of four days and a minimum of one day. Participation shall be equivalent to the level of commitment required for full-time employment or significant so as to move toward that level, as discussed at **Family Investment Agreement Requirements**.

Clients may combine WEPs with monitored employment or with participation in other PROMISE JOBS activities such as (but not limited to) GED or other high school completion activities, parenting skills training, postsecondary classroom training, or placement on a PROMISE JOBS waiting list for postsecondary classroom training.

Appropriate Work Sites and Positions

Legal reference: 441 IAC 93.121(2) and 93.121(3)

WEP work sites are expected to provide clients with work experience and on-the-job training opportunities while providing services that are of direct benefit to the community. Work sites are limited to public and nonprofit agencies.

Employers who participate in the WEP program are referred to as "sponsors." Sponsors who request WEP participant placements shall:

- Complete form 470-0809, *Sponsor's Request for WEP Placement*, for each type of position that they wish to fill.
- Include a complete job description specifying all tasks to be performed by the client.

For WEP positions, require sponsors to use the same job description and performance requirements that would exist if the sponsor were hiring an individual for the same position. You have final authority to determine suitability of any WEP position offered by a sponsor.

You may place clients at work sites with **religious institutions only when work performed is nonsectarian** and not in support of sectarian activities. Work sites may not use clients to replace regular employees in the performance of nonsectarian work to enable regular employees to engage in sectarian activities.

WEP positions must meet additional criteria as follows:

- Positions shall not be related to political, electoral, or partisan activities.
- Positions shall not be developed in response to or in any way associated with the existence of a strike, lockout, or other bona fide labor dispute.
- Positions shall not violate any existing labor agreement between employees and employer.

- Positions shall comply with applicable state and federal health and safety standards.
- Positions shall not be used to displace current employees or to infringe on their promotional opportunities.
- Positions shall not be used in place of hiring staff for established vacant positions, and shall not result in placement of a participant in a position when any other person is on layoff from the same or equivalent position in the same unit.

Referral for WEP

Legal reference: 441 IAC 93.121(4), 93.121(5), and 93.121(6)

Match client vocational skills and interests as closely as possible with the job description and skills requirements specified by the sponsor. The willingness of the client to participate and the satisfaction that a sponsor has with a WEP placement are dependent on this match.

Develop a client profile using information gained during assessment, including interview and test results, to identify the types of work that a client is most suited to perform. Refer clients only to those positions with job descriptions and skill requirements that match their skills and interests.

Require clients to interview for and accept positions offered by WEP sponsors. Schedule WEP interviews with the sponsor. Give clients form 470-0810, *Referral for Work Experience (WEP) Placement*, to present to the sponsor at the interview. Require the sponsor to complete the form and return it to you, indicating whether the client has been accepted.

In most circumstances, you should expect WEP sponsors to accept for placement the clients you refer to them. However, sponsors may refuse any referrals they deem inappropriate for the position that they have available.

Do not allow sponsors to discriminate against any program client because of race, color, religion, sex, age, creed, physical or mental disability, political affiliation, or national origin. Require sponsors who refuse a referral to notify you in writing of the reason for the refusal.

Maximum Length of Assignment

Legal reference: 441 IAC 93.121(1)"d" and "e"

Use six months as the maximum duration for each WEP assignment. The limit of six months for each WEP ensures reevaluation of the arrangements.

Participants who complete a six-month WEP assignment are eligible for any of the following options, whichever is appropriate under the family investment agreement:

- The participant may move to another family investment agreement option as provided in the steps of the family investment agreement.
- The participant may be assigned to a different WEP work site.
- The participant may be reassigned to the same WEP work site.

Use assessment to ensure that WEP assignments are appropriate to the needs of the participant. The ability to use the same work site beyond the six-month assignment allows planning for skills training which goes beyond the six months when this is appropriate.

When you and the WEP participant believe that the participant has gained sufficient work experience before completing the months of the WEP assignment, help the participant move to another component to facilitate regular employment.

Required Job Search for WEP Participants

Legal reference: 441 IAC 93.121(1) and 93.121(1)"a" and "b"

Assignment to WEP is a transitional step to employment in the regular job market. To facilitate this transition, require all WEP participants to complete job search activities. Require clients to engage in job-seeking activities one day per week, unless they are also participating in classroom training activities.

Job-seeking activities for WEP participants shall include contacting a minimum of five employers per week, unless you determine that fewer contacts are appropriate for a particular participant. Document your reason for requiring fewer than five contacts per week. Require the participants to provide documentation as described at **Job Search Documentation**.

WEP Expense Allowances

Legal reference: 441 IAC 93.121(9)

For WEP participants, authorize a child care allowance, if required, and a transportation allowance for each month or part thereof as described in **Transportation**.

Determine the amount of the WEP transportation allowance by including the day of the job search obligation and the days of the WEP assignment in the normally scheduled days used in the formulas described at **Transportation**.

Issue expense allowances through data entry on a computer screen. Narrate each authorization in the case record narrative for permanent case file documentation of this issuance.

Required Clothing and Equipment

Legal reference: 441 IAC 93.121(10) and 93.121(10)"a"

Require the entity responsible for the WEP work site to provide clothing, shoes, gloves, and health and safety equipment for the performance of work under the program, unless the participant already possesses such clothing or equipment. Items provided by the entity responsible for the work site remain the property of that entity, unless the participant and the entity agree to a different arrangement.

Ask the work site sponsor to provide information on safety equipment that is normally provided to employees. When the employer reports a need for safety equipment that the employer does not provide to employees, document this in the case file.

Authorize a PROMISE JOBS expense allowance for safety equipment that the sponsor does not normally provide to employees (for example, steel-toed shoes). Issue this allowance up to a limit of $100 per participant per work site assignment. If the cost of the safety equipment is more than $100, notify the participant and the work site that the WEP assignment is not acceptable.

Ensure that participants are not required to use their FIP grant or their income or resources to pay any portion of their participation costs, such as expenses described above.

Monitoring WEP Participants

Legal reference: 441 IAC 93.121(7)

Require sponsors to complete a monthly evaluation of the participant's performance using form 470-0805, *Work Experience Participant Evaluation*, and provide copies to the participant and to you.

This monthly evaluation report will enable you to monitor participant performance and ensuring that the participant receives necessary feedback regarding job performance.

If problems are identified, meet with either the participant, the sponsor or both parties to resolve any issues impeding the participant's performance. Make all efforts to reconcile whatever problems are causing the disruptive behavior if a sponsor states that a participant's behavior has been disruptive. You have final authority in determining whether a report of disruptive behavior is bona fide.

Sponsor Termination Reports

Legal reference: 441 IAC 93.121(8)

You cannot require a sponsor to retain any WEP participant whom the sponsor believes is unsatisfactory. Hopefully, sponsors will use your services to resolve problems with a WEP participant before termination occurs.

Require sponsors to complete the *Work Experience Participant Evaluation* at the time of termination for each WEP participant. When the sponsor requests termination, require the sponsor to specify the reason for termination and identify those areas of individual performance that were unsatisfactory.

For participants who leave the WEP assignment to accept regular employment or reach their WEP placement time limit, be sure the sponsor's evaluation indicates whether a positive job reference would be provided if the participant requested one.

Work Site Safety and Workers' Compensation

Legal reference: 441 IAC 93.145(249C) and 93.146(249C)

DHS provides workers' compensation insurance coverage for PROMISE JOBS work experience participants. Work site safety is important for two reasons:

- Protecting of PROMISE JOBS participants from work site hazards.
- Preventing increases in workers' compensation premiums, which reduce funds available for PROMISE JOBS expense allowances.

Work site safety for PROMISE JOBS participants is the responsibility of the WEP sponsor. WEP sponsors must follow their own safety rules in:

- Assigning PROMISE JOBS participants to appropriate tasks.
- Providing adequate training in the use of equipment and adjusting to the work site.

Emphasize to WEP sponsors the importance of following work place safety rules with PROMISE JOBS participants:

- Require each WEP sponsor to give you a copy of the safety rules in effect in that entity.
- Require each WEP sponsor to give you a list of all safety equipment provided by the sponsor and all safety equipment needed and not provided by the sponsor.
- Obtain the rules and safety equipment lists before the first PROMISE JOBS participant is referred for WEP at that work site.
- Review the safety rules and training procedures with each sponsor when you receive them and include them in your central file.

Document in participant case files the steps you take to protect PROMISE JOBS participants. Include a copy of the WEP sponsor's safety rules and safety equipment lists at the time you make a WEP assignment or provide another clear form of documentation. Your central file and PROMISE JOBS case files will be monitored for adequate documentation of these work site safety precautions.

When an accident occurs, require the participant to file a Workers' Compensation claim in the PROMISE JOBS office, using IAIABC Form 1.2, *Workers' Compensation - First Report of Injury or Illness*. Obtain these forms from the Internet web site: **www.iowaworkforce.org** by accessing Workers' Compensation/Forms and Publications.

Complete the form with the participant. Contact IWD/PROMISE JOBS central office for instructions on notifying the Workers' Compensation insurance carrier.

Send two copies to PROMISE JOBS Coordinators, Iowa Workforce Development, 150 Des Moines Street, Des Moines, IA 50309. One of these shall be forwarded to DHS, Division of Financial, Health and Work Supports.

Unpaid Community Service

Legal reference: 441 IAC 93.115(249C)

Use unpaid community service to provide clients with opportunities to establish or reestablish contact with the work force in a nonthreatening environment while providing services that are of direct benefit to the community.

The unpaid community service component serves clients for whom more intensive efforts toward self-sufficiency are not appropriate at the moment. It is expected that the unpaid community service work site will be less demanding than work experience placements. Specific skills-training tasks are not required.

Clients may combine this activity with another such as, but not limited to, GED or other high school completion, ESL, FaDSS or other family development services, and parenting skills training.

Unpaid Community Service Work Sites

Legal reference: 441 IAC 93.115(1) and 93.115(1)"c"

Develop local listings of potential unpaid community service work sites that clients can use when selecting a work site. Work with all entities and agencies involved in your local coordination plan to develop and add to this list.

Unpaid community service work sites must be public or private nonprofit organizations. The placement shall:

- Not be related to political, electoral or partisan activities.
- Not be developed in response to or in any way associated with the existence of a strike, lockout or other bona fide labor dispute.
- Not violate any existing labor agreement between employees and employer.
- Comply with applicable state and federal health and safety standards.
- Not be used by work site organizations to displace current employees or to infringe on their promotional opportunities.
- Not be used in place of hiring staff for established vacant positions.
- Not result in placement of a participant in a position when any other person is on layoff from the same or an equivalent position in the same unit.

Provide to work site organizations that provide unpaid community service work sites a written explanation of the placement criteria as given above. Document this explanation in the case file, using narrative or copy of the explanation.

Participation Requirements

Legal reference: 441 IAC 93.115(3) and 95.115(1)"a"

When you and the client agree that an unpaid community service placement is appropriate, the client is responsible for locating and making arrangements with the work site.

Give the client all possible assistance in the process, but leave the responsibility with the client to establish days, hours, tasks, etc. Formal interviews are not required to establish the relationship between the client and the work site organization.

Ask the director (or designee) of the work site organization to verify the monthly hours of participation using form 470-3097, *Unpaid Community Service Monthly Report*, that you provide.

Expense Allowances for Unpaid Community Service Placement

Legal reference: 441 IAC 93.115(4)

Unpaid community service work sites may offer on-site child care and other participant-friendly services. Pay a child care allowance and a transportation allowance for each month of participation or part thereof, as described at **Transportation** and **Child Care**, if these services are not provided by the work site organization and are required for participation.

BASIC EDUCATION SERVICES

Legal reference: 441 IAC 93.114(239B), 93.114(1), 93.114(2), 93.114(10)"b," 93.114(11)"a" and "b"(1)-(5) and (7)-(11)

"Basic education" means any course of study that enables a client to:

- Complete high school or equivalent,
- Improve ability to read and speak English, or
- Prepare for a specific professional or vocational area of employment.

As basic education, training may be approved for the following:

- High school completion activities.
- Adult basic education (ABE).
- General Educational Development tests (GED).
- English as a second language (ESL).

Base a basic education training plan on evaluation and assessment as obtained in accordance with the process described at **ASSESSMENT**. As part of training plan approval require participants to do the following when appropriate:

- Take nationally recognized vocational tests, including the general aptitude test battery.
- Provide grade transcripts from previous training.
- Use testing, when available, to determine the projected length of time of the training plan for participants requesting GED, ABE, or ESL training. This will determine the length of the family investment agreement step to self-sufficiency for the basic education component. Allow a transportation allowance and child care expenses if necessary in order for the client to participate in GED testing.

To include a training plan when writing a family investment agreement for an applicant, list above testing and providing grades as action steps of the client's family investment agreement.

When renegotiating or amending a family investment agreement to include a training plan, participants must provide all information required to approve a *Family Investment Agreement* (family investment agreement), form 470-3095, and *FIA Steps to Achieve Self-Sufficiency*, form 470-3096, which includes a plan for postsecondary training.

Follow the policies at **Written Notification to Client** when requesting additional information needed to complete the basic education and training portion of a family investment agreement.

All family members who meet classroom training eligibility criteria are eligible for all program benefits. This is true even if two or more family members participate at the same training facility or in the same program.

The following policies described at **POSTSECONDARY TRAINING** also apply to basic education services:

- Types of approvable training
- Nonapprovable training
- Effective date of expenses for persons already in school
- Disposal of supplies upon plan termination
- Standards for satisfactory participation
- Participation issues specific to classroom training

The following sections give more detailed information on education policies for:

- High school completion and GED
- Approvable training providers
- Training goals and time limits
- Training expense allowances

High School Completion and GED

Legal reference: 441 IAC 93.114(5)

Participants who have not completed a high school education may be required to do so before other vocational training courses may be arranged. GED or high school training courses and vocational training may run concurrently. Unless they are under the age of 18, approve participants to return to regular high school only when they can graduate within one year of their normal graduation date.

Some minor parents are required to participate in high school completion and cannot be required to participate in other PROMISE JOBS components. Other participants may be required to participate in high school completion if this training is necessary to allow the participant to gain self-sufficiency. Refer to **FIA Options for Clients Aged 19 and Younger** for additional information.

Approvable Training Providers

Legal reference: 441 IAC 48.3(4), 93.114(1)"a," "b," and "c"

Basic education services can be provided by both public and private agencies that meet one of the following criteria:

- The facility is approved or registered with the state.
- The facility is accredited by an appropriate accrediting agency.

In addition to traditional training facilities, PROMISE JOBS can take advantage of nontraditional training opportunities. Some examples of approvable training providers that are applicable for basic education are as follows:

- Trade schools.
- Job Corps and Job Corps Solo Parent Program.
- Church-sponsored ESL courses, parenting skills training, or others.

All policies described as **Approvable Training Providers**, also apply to basic education components.

Training Goals and Time Limits

Legal reference: 441 IAC 93.114(3) and (4); 93.114(11)"a" 93.114(9)"a"; 93.114(11)"a" and "b"(6) and 93.114(3)"b" and "c"

Basic education training plans shall include a specific goal, that is, high school completion, or improved English skills. Participants enrolled in ABE, GED, or ESL programs are expected to complete training in the time determined by testing.

However, you and the participant's academic advisor or instructor may agree that additional time should be allowed, up to six additional months. Do not allow any additional time if months required to complete training would exceed:

- 24 months for high school, GED, or adult basic education.
- 12 months for English as a second language classes.

Exception: You may allow up to an additional 12 months of ESL training when you determine need.

Note: The time limit to complete high school does not apply if the participant is under the age of 18.

Training Expense Allowances

Legal reference: 441 IAC 93.114(10) "c" and 93.114(12)

Authorize the PROMISE JOBS expense allowances listed below for participants who are enrolled in high school completion, GED, ABE, or ESL and who need help with these expenses in order to participate:

- Child care. See **Child Care**.
- Transportation, subject to the limits in **Transportation**.
- Fees for school enrollment, school testing or school application, provided the fees are:
  - Related to the training plan and
  - Approved by the PROMISE JOBS worker before being incurred.

- Fees for educational grant or scholarship application. Since receipt of grants or scholarships will be needed to meet the participant's educational costs, these are allowable costs provided the PROMISE JOBS worker approves them before they are incurred.
- Fees for certification and testing, provided the PROMISE JOBS worker approves them before they are incurred.
- Travel costs required for certification or testing, subject to the limits under **Transportation**.
- Practicum expenses. When the curriculum of a course of study requires a practicum which is not available within driving distance of the participant's home, a $10 per diem allowance is available to help with living costs. See **Practicum Living Costs** for additional information.
- Direct education costs, including.
  - Tuition, limited to the actual cost of tuition.
  - Fees, including graduation.
  - Books required for participation.
  - Basic school supplies, limited to the standard $10 allowance as described at **Fees, Books, and Supplies**.
  - Specific supplies, including tools, and required uniforms, related to obtaining credit for a course and required of all students in a course.

Observe the following limits when approving allowances for direct education costs for participants in basic education components (high school completion, GED, ABE, or ESL):

- Do not allow tuition allowances that exceed the rate charged by the Iowa community college nearest to the participant's home that offers a program comparable to the one in which the participant plans to enroll.
- If a community college in Iowa does not offer a comparable program, do not allow maximum tuition payment that exceeds the Iowa resident rate charged by the out-of-state community college located nearest to the participant's home.

- Allow a standard allowance for basic school supplies of $10 per term or actual costs, whichever is higher, for participants who request it. Require a claim for actual costs higher than $10 to be verified by receipts.
- Require participants to furnish receipts for other expenditures that they pay with PROMISE JOBS allowances, except for transportation allowances. Remind participants that failure to provide the receipts will preclude additional payments.

POSTSECONDARY TRAINING

Legal reference: 441 IAC 93.109(2), 93.114(239B), 93.114(1), 93.114(2), and 93.114(10)"b"

Consider enrollment in the PROMISE JOBS postsecondary training component for participants who demonstrate capability and who express a desire to participate in postsecondary classroom training. Under PROMISE JOBS, "postsecondary training" means any academic or vocational training course of study that enables a participant to prepare for a specific professional or vocational area of employment.

All postsecondary training is considered to be vocational training, because a postsecondary training plan must be occupation-specific to be approvable under PROMISE JOBS. See **Training Goals** and **Nonapprovable Training** for more information.

Students who are enrolled in an educational program leading to a degree beyond a bachelor's degree, and their families, are not eligible for FIP. This includes students who:

- Already possess a bachelor's degree and are now enrolled in a program for a master's degree, PhD, M.D., chiropractic, veterinary medicine, dentistry, or other advanced degree.
- Have not yet attained a bachelor's degree but who have been enrolled in an advanced educational degree program.

Inform the client's IM worker if you become aware that a FIP/PROMISE JOBS recipient has been enrolled in a program leading to a higher degree than a bachelor's degree. The educational institution can verify program enrollment.

All family members who meet postsecondary training eligibility criteria are eligible for all program benefits. This is true even if two or more family members participate at the same training facility or in the same program.

See **Transportation** when two members of the same household are attending the same activity with identical schedules.

Base a postsecondary training plan on occupational evaluation and assessment as obtained in accordance with the process described at **ASSESSMENT**. Before training plan approval, you may require participants to include the following as family investment agreement steps when appropriate:

- Take nationally recognized vocational tests, including the general aptitude test battery.
- Provide grade transcripts from previous training.

When renegotiating or amending a family investment agreement to include a training plan, participants must provide all information required to approve a *Family Investment Agreement* (family investment agreement), form 470-3095, and *FIA Steps to Achieve Self-Sufficiency*, form 470-3096, which includes a plan for postsecondary training.

When requesting additional information needed to complete the postsecondary training portion of a family investment agreement, follow the policies at **Written Notification to Client**.

The following sections explain:

- Types of approvable training
- Time limits required for plan approval
- Nonapprovable training
- Training expense allowances
- Standards for satisfactory participation
- Participation issues specific to classroom training

Types of Approvable Training

Legal reference: 441 IAC 93.114(11)"a" and "b"(1)-(5) and (7)-(11)

Postsecondary training may be approved up to and including a baccalaureate degree program under limitations as described below. The following training may be approved:

- Brush up for previously completed courses or training. "Completed" means the earning of all required credits or the completion of all required course work with the receipt of a diploma, degree, certificate, etc., which certifies that the person is employable in the field for which the person was trained.
- Correspondence courses, only when the courses are required to complete a training plan but the courses are not offered by a training facility attended by that participant. **Note:** ICN classes or other instructor-led distance learning opportunities offered by Iowa schools are not considered correspondence courses.
- Out-of-state training only when at least one of the following is true:
  - Similar training is not available in Iowa.
  - Attending a facility outside of Iowa means a client can avoid moving in order to attend an Iowa facility.
  - The only Iowa facilities within commuting distance are private schools where tuition charges are higher than an out-of-state facility which is within commuting distance.
- College programs which lead to an associate of arts degree.
- Baccalaureate degree programs when one of the following is true:
  - The client first pursues an associate of arts degree. Participants pursuing a baccalaureate degree who first pursue an associate of arts degree have an approvable training goal. They are eligible for allowable expenses for the entire duration of their plan, subject to the funding limits described at **Time Limit on PROMISE JOBS Funding**.
  - The client has already earned all freshman credits and can enter the program as a sophomore.

- The client has applied for postsecondary training before starting the freshman year of a four-year baccalaureate degree program. Because the client applied before initiating training, a PROMISE JOBS plan may be approved, showing that allowable expenses will be covered for up to 24 months beginning with the sophomore year. See **Time Limit on PROMISE JOBS Funding**.

♦ Continuing advanced training in the same vocational area, provided this training combined with previously completed training under this program does not exceed the maximum participation limits under **Time Limits Required for Plan Approval**.

♦ Prerequisite courses, when required by a specific training program. **Note:** When clients fail to earn required credits for admission to the chosen program for academic reasons, do not approve them to repeat prerequisite courses.

A participant who requests withdrawal from a prerequisite course because of inability to complete the required course work satisfactorily may not repeat the course later.

If a participant is simultaneously taking two prerequisite courses, drops one due to inability to complete course work satisfactorily, and is therefore unable to gain admission to the training for which the courses were being taken, continuation in the second prerequisite course becomes valueless. Cancel the postsecondary training plan.

♦ Remedial course work for one term, when need is determined by testing conducted by the training facility.

♦ Summer school, only when it does not result in additional PROMISE JOBS expenditures over those of a normal academic year. Consider that summer school attendance does not result in additional expenditures when:

- The participant is enrolled full-time according to the institution's definition of full-time attendance for summer sessions, and
- The summer session attendance is part of the training program in the family investment agreement.

♦ College course work for clients already possessing a baccalaureate degree in order to obtain a teaching certificate. **Note:** Allowable course work relates only to meeting state teacher certification requirements. Work toward a degree above bachelor level is not allowable, even if an advanced teaching certificate would be received.

♦ Continuing education units only when clients need to be recertified or retrained to reenter a field in which they were previously trained or employed.

The following sections give more information on:

- Training in a different vocational area
- Entrepreneurial training
- Approvable training providers

Training in a Different Vocational Area

Legal reference: 441 IAC 93.114(11)"b"(6)

Consider a person for PROMISE JOBS-funded training in a new vocational area only when the person:

- Completed training for the original vocational goal at least five years ago, or
- Reached the end of a maximum participation training period, as described in **Time Limits Required for Plan Approval**.

This limit applies to clients who complete a PROMISE JOBS-funded training program or who participate in PROMISE JOBS-funded training up to the maximum participation limit without completing the training program. Funding limits described at **Time Limit on PROMISE JOBS Funding** apply as well.

You can waive this five-year period only when one of the following is true:

- Labor market statistics show that employment is not available in the field of the original training.
- Despite a good faith effort, the client has not been able to find employment in that field within two years of completing the training program or within two years of the end of the maximum participation period.

In effect, this limit prohibits additional training services only to those clients who did not make a valid effort to find employment in their original vocational area.

Entrepreneurial Training

Legal reference: 441 IAC 93.109(2), 93.111(239B)

The goal of entrepreneurial training is to provide technical advice and business training to FIP clients who pursue self-employment as a route to self-sufficiency. Entrepreneurial training is unique in the type of training it offers to FIP participants who wish to invest in self-employment. The training typically has two parts:

- Assessment and classroom training, lasting from three to six months. Formal assessment occurs and classroom training is available to the participant. The participant's activities may include:
  - Researching and writing a business plan.
  - Completing a market survey.
  - Doing cash-flow projections.
  - Learning basic accounting and money management skills.
- Technical assistance, which may last up to 18 additional months.

Business operation generally begins or expands after the assessment and training phase has been completed and the technical assistance phase of ET begins.

Participation in entrepreneurial training, beginning with the first training or technical assistance activity offered by the service provider, constitutes approved classroom training for the purpose of the PROMISE JOBS program.

Consider entrepreneurial training participants who have attended the first training or technical assistance activity offered by an entrepreneurial training service provider before attending PROMISE JOBS orientation to be in self-initiated training.

To ensure that entrepreneurial training participation is appropriate for a particular client, you may use an assessment done by the entrepreneurial training service provider during the assessment process used to develop the family investment agreement or during any assessment included in the family investment agreement.

Report the hours of participation in entrepreneurial training assessment on the PROMISE JOBS system under the assessment component. All PROMISE JOBS expense allowance policies apply.

Cooperatively with entrepreneurial training staff, establish procedures for the documentation of hours and of satisfactory participation. Use existing PROMISE JOBS forms whenever possible.

If a FIP participant chooses to participate in entrepreneurial training, it becomes part of the person's family investment agreement. When entrepreneurial training is included in the family investment agreement and the participant does not follow through with entrepreneurial training, then the participant is considered to have chosen the limited benefit plan.

Approvable Training Providers

Legal reference: 441 IAC 48.3(4), 93.114(1)"a," "b," and "c"

The diversity of PROMISE JOBS participants and training goals requires that a variety of training sources be available.

Institutional training can be provided by both public and private agencies that meet one of the following criteria:

- The facility is approved or registered with the state.
- The facility is accredited by an appropriate accrediting agency.

PROMISE JOBS can also take advantage of nontraditional training opportunities from community action program (CAP) agencies, churches, or other entities providing training, if, in your judgment, the training is adequate and leads to the completion of the goal outlined in the family investment agreement.

You can approve training from a particular training facility, CAP agency, church, or other entity when you determine that the training provider:

- Possesses appropriate and up-to-date equipment; and
- Has qualified instructors, adequate facilities, and a complete curriculum; and
- Has acceptable grade point requirements and a good job-placement history; and
- Demonstrates expenses of training that are reasonable and comparable to the costs of similar programs.

Some examples of approvable training providers are as follows:

- Trade schools.
- Entrepreneurial (self-employment) training.
- Job Corps and Job Corps Solo Parent Program.
- Church-sponsored ESL courses, parenting skills training, or others.
- Short-courses designed for CAP agencies to meet a community need for trained workers for an industry with job openings.

Determine whether a particular training facility, community action program, church, or other entity offers a valid, appropriate training program that can be expected to result in the achievement of the participant's employment goal.

Use all available information regarding equipment, instructors, facilities, curriculum, grade point requirements, job placement history, and expenses. **Note:** These criteria do not supersede the policies found in **Types of Approvable Training** and **Nonapprovable Training**.

Clearly document the basis for the decision to approve or disapprove a specific training provider in the PROMISE JOBS case file. When disapproving training with a specific provider, issue form 470-0602, *Notice of Decision: Services*, to the participant to inform the participant of the disapproval. Use **Approvable Training Providers** as the manual reference.

Time Limits Required for Plan Approval

Legal reference: 441 IAC 93.114(3) and (4); 93.114(9)"a"; 93.114(11)"a" and "b"(6)

Participants are expected to maintain a full-time academic workload and to complete training within the minimum time specified for a given training program, as established by the training facility, with the exceptions noted below.

The training facility shall also define a half-time workload when this is needed in circumstances such as those described below. Months of participation that are counted for the minimum time do not need to be consecutive.

The time limits given below are maximum participation limits. Months required to complete the training cannot exceed these limits, whether full-time or part-time or PROMISE JOBS-funded or otherwise-funded. The maximum participation limit applies to months a student actually participates in a specific PROMISE JOBS training program. They are not necessarily consecutive.

For the purposes of the following participation limits, a "month of participation" is defined as a fiscal month or part thereof, starting with the month PROMISE JOBS classroom training services begin. A fiscal month generally has starting and ending dates falling within two calendar months but only counts as one month of participation.

Example: Two semesters that are scheduled from August 28 through December 15 and from January 15 through May 10 total eight fiscal months. If the participant does not attend summer school, count no additional fiscal months until the next fall semester begins.

Months spent in an ABE, GED, or ESL program do not count toward the time limits described below:

- Allow participants who are not in subsidized employment to maintain less than a full-time training workload, provided that the months required to complete the training plan would not exceed:
  - 30 fiscal months for two-year degree programs and other vocational programs or
  - 40 fiscal months for three-year or four-year degree programs.
- Allow participants who are in unsubsidized employment and in a classroom training component simultaneously for a total of 24 hours per week or more to maintain less than a full-time, but at least a half-time training workload, provided that the months required to complete the training plan would not exceed:
  - 40 fiscal months for two-year degree programs and other vocational programs.
  - 50 fiscal months for three-year or four-year degree programs.

These limits allow clients to meet the participation standard under **Family Investment Agreement Requirements** while enrolled in classes part-time. PROMISE JOBS clients and workers can develop family investment agreement steps that combine unsubsidized employment and less-than-full-time classroom training.

This option is particularly valuable when part-time attendance:

- Is all that is needed for the client's training program;
- Is all that is available in the particular training program; or
- Is all that is possible due to family circumstances.

Do not require clients to attend classes on a part-time basis in order to require them to be employed at the same time when it is possible for them to be enrolled full-time.

Participants who drop out of a training program within the maximum participation limit described above and later reapply for classroom training are entitled only to any remaining months of the original maximum participation period.

A potential participant may be attending classes in postsecondary training before attending PROMISE JOBS orientation. This may be a plan which can reasonably be expected to result in self-sufficiency, but:

- Is not approvable under PROMISE JOBS, or which
- Will exceed the time limits required under the program.

Clients may include such training as an option in the family investment agreement even though PROMISE JOBS cannot provide funding.

The following sections give more information on:

- Training goals
- Time limits for PROMISE JOBS funding

Training Goals

Legal reference: 441 IAC 93.114(11)"a" and 93.114(3)"b" and "c"

Base every postsecondary training plan on the goal of development of specific academic or vocational skills. Write the training plan so that it does not exceed the maximum participation limits for postsecondary training as described under **Time Limits Required for Plan Approval**.

Exception: A potential participant may be attending classes in postsecondary training before attending PROMISE JOBS orientation. This may be a plan which can reasonably be expected to result in self-sufficiency, but which will exceed the required time limits or is not approvable under PROMISE JOBS for other reasons.

Such clients may include training that extends beyond the maximum participation limit as an option in the family investment agreement. PROMISE JOBS, of course, does not provide any funding for nonapprovable training.

Develop postsecondary training goals using Assessment II and Assessment III as described at **ASSESSMENT**. See **Time Limits Required for Plan Approval** for a definition of "month of participation."

Time Limit on PROMISE JOBS Funding

Legal reference: 441 IAC 93.114(15)

Clients whose family investment agreements contain approvable postsecondary training are eligible for consideration for PROMISE JOBS expense allowances for no more than 24 months. The 24 months' allowance shall be available only for a period of 48 consecutive months.

The period of 48 consecutive months begins with the first month that the client is eligible for consideration for PROMISE JOBS expense allowances. It is **not** altered by breaks in FIP assistance or breaks from the postsecondary training activity.

The period of 24 months of eligibility for PROMISE JOBS expense allowances under these rules also begins with the first month that the participant is eligible for consideration for PROMISE JOBS expense allowances.

A month counts toward these limits whenever the client was eligible for allowances, even though none were issued because the participant enrolled in classes had no expenses.

Except for this funding limit, all other policies under **POSTSECONDARY TRAINING** apply, including the established time limits for including postsecondary training in the family investment agreement without requiring other family investment agreement activities.

There is no direct relationship between this funding limit of 24 months within a 48-consecutive-month period and the months in the maximum participation limits as described above.

Participants may continue to include postsecondary training in the family investment agreement after their period of funding limits has ended, so long as their training plan falls within the appropriate maximum participation limits. They must demonstrate ability to cover the expenses of the plan through other resources.

When a participant with postsecondary training in the family investment agreement is placed on a waiting list for PROMISE JOBS funding but attends classes while on the waiting list, the period of self-funded education is not included in the 24 or 48 months. The time of self-funded education is included in the maximum participation limits described at **Time Limits Required for Plan Approval**.

Nonapprovable Training

Legal reference: 441 IAC 93.114(11)"c" and "d"

The fact that a client requests a specific training program does not mean that you must approve the program. Cooperate with other PROMISE JOBS staff to arrive at a decision to deny a request for classroom training, based on the results of the assessment process. Use the *Notice of Decision: Services* to inform the client that the request for training is denied. The client has the right to appeal this decision.

Do not approve a training plan in any of the following situations:

- You determine through assessment that the client will be unlikely to complete the requested program successfully.
- The goal of the plan is a job paying less than minimum wage.
- The course or training is one that the client has previously completed.
- The client was previously unable to maintain the cumulative grade point average required by the training facility in the same training for which application is now being made. **Note:** This policy does not apply to parents under age 18 who are completing high school.

- The duration of the plan exceeds the known length of time during which the client will remain eligible for FIP.

- A client states no intent of pursuing employment after training is completed. The expectation is that clients will become employed immediately after training is completed. Deny a training plan when it is clear the client does not intend to seek employment and become employed after training is completed.

  Example: Deny a request for postsecondary education for a participant who declares a fixed intention of pursuing a graduate degree rather than taking a job immediately after completing a baccalaureate degree program.

- PROMISE JOBS classroom training statistics or statistics for the 24-month period before the date of application document that the training completion rate or the entry to employment rate is less than 25 percent.

- The training is in an occupational area where available labor market statistics indicate that prospects are low for job availability and employment paying enough to lead to self-sufficiency for the family.

  You may make exceptions when the client has a job offer before entering the training or if a client is willing to relocate after training to an area where there is employment potential.

  Clients willing to relocate must provide documentation from an Iowa Workforce Development Center, private employment agencies, or employers, that jobs paying at least minimum wage for which training is being requested are available in the locale specified by the client.

  When you do not allow a client to use a particular training plan for this reason, document the source of your labor market statistics and the basis for your decision. Documentation can be, but is not limited to, one or more of the following items:

  - A computer printout.
  - A photocopy of source documents.
  - A clear written statement in the case file narrative of **both** the sources you consulted and your rationale for the decision that the training was nonapprovable under PROMISE JOBS policies.

Include copies of this documentation with an appeal summary when:

- A client appeals the contents of the family investment agreement.
- A client appeals the *Notice of Decision: Services* you issue to deny the vocational training plan.

♦ Students who are enrolled in an educational program leading to a degree beyond a bachelor's degree. This includes students who:

- Already possess a bachelor's degree and are now enrolled in a program for a master's degree, PhD, M.D., chiropractic, veterinary, dentistry, or other advanced degree.
- Have not yet attained a bachelor's degree but who have been enrolled in an advanced educational degree program.

Inform the client's IM worker if you become aware that a FIP/PROMISE JOBS applicant or recipient is enrolled in a program leading to a higher degree than a bachelor's degree, as the student and the family are not eligible for FIP. The educational institution can verify program enrollment.

♦ A client who already possesses a BS, BA, or similar degree wants additional college course work, unless the course work is to obtain a teaching certificate or to complete continuing education units and will not lead to a masters or other advanced degree. See **Types of Approvable Training**.

"College course work" is defined as courses that are academic in nature and generally are completed as part of a degree program. Participants who possess such degrees may be approved for services to attend vocational training courses.

"Vocational training" is defined as a program of study generally offered at a community college or a similar training institution that prepares persons to perform specific skills, such as auto repair or clerical skills.

Not all courses offered at a community college are considered vocational training. Most community colleges offer AA degree programs that prepare a person to transfer to a four-year institution for completion of a baccalaureate degree. Do not approve such programs for clients who already possess a baccalaureate degree.

- The plan contains requests for rings, pins, pictures, rental of graduation gowns; elective courses which require expenditures for special equipment in addition to books, for example, photography or art supplies, or field trips; or other items that are not required to complete training for a vocational goal.

Although clients may enroll in elective courses at their own cost, do not approve a plan that contains a request for elective courses or related expenditures that are not required for admission to a vocational program or to complete training for a vocational goal.

Training Expense Allowances for All Postsecondary Training

Legal reference: 441 IAC 93.114(12)

Authorize the PROMISE JOBS expense allowances listed below for clients who need help with these expenses in order to participate and who are enrolled in any approvable PROMISE JOBS postsecondary training plan.

- Child care. See **Child Care**.
- Transportation, limited to the amount determined by policies described at **Transportation**.
- Fees for school enrollment, school testing or school application, provided the fees are related to the training plan and a the PROMISE JOBS worker approves them before they are incurred.
- Fees for educational grant or scholarship application. Since receipt of grants or scholarships will be needed to meet the client's educational costs, these are allowable costs provided the PROMISE JOBS worker approves them before they are incurred.
- Fees for certification and testing, provided the PROMISE JOBS worker approves them before they are incurred.
- Travel costs required for certification or testing, limited to the amount determined by policies described at **Transportation**.
- Practicum expenses. When the curriculum of a course of study requires a practicum that is not available within driving distance of the client's home, a $10 per diem allowance is available to help with living costs. See **Practicum Living Costs** for additional information.

See Issuing PROMISE JOBS Expense Allowances, for instructions on issuing all education allowances.

The following sections give more information on:

- Direct education costs for short-term training
- Expenses for persons already in school
- Disposal of supplies upon plan termination

Direct Education Allowances for Short-Term Postsecondary Training

Legal reference: 441 IAC 93.114(12)

For clients who are enrolled in a short-term training program of less than 30 weeks, authorize payment for any required direct education costs. Following is an explanation of direct education costs and the limits to be applied:

- Tuition. Do not allow tuition allowances for short-term training of less than 30 weeks that exceeds the rate charged by the state of Iowa community college nearest to the client's home which offers a program comparable to the one in which the client plans to enroll.

  If a community college in Iowa does not offer a comparable program, do not allow a maximum tuition payment that exceeds the Iowa resident rate charged by the out-of-state community college located nearest to the client's home.

- Fees, including graduation.

- Books required for participation.

- Basic school supplies. Allow a standard allowance of $10 per term or actual cost, whichever is higher, for basic school supplies. Require verification by receipt before authorizing a claim for actual costs higher than $10. For more details, see Fees, Books, and Supplies.

- Specific supplies, including tools, and required uniforms, related to obtaining credit for a course and required of all students in a course.

Effective Date of Expenses for Persons Already in School

Legal reference: 441 IAC 93.111(2) and 93.114(11)"d" 93.108(2)

Restrictions on the beginning date for expense allowances apply to the following:

- Clients who are attending classes before orientation.
- Clients who start school after orientation but before assessment.
- Clients who are waived from Assessment II and Assessment III.

Even if the training is otherwise approvable, do not authorize allowances for clients described above until one of the following occurs:

- The client has completed assessment; or
- The client has successfully completed the first quarter or semester of the training program in accordance with the requirements of the educational institution. (If the program doesn't use quarters or semesters, the client must successfully complete four months of the training program before assistance can begin.)

Approve expense allowances effective with the second semester, or with the fifth month of participation in the training program, as applicable to the client's situation.

When a client's training began before orientation, always apply first the policies described above. Consider that eligibility for transportation and child care allowances begins on the later of the following:

- The month in which the training plan is approved.
- The month the client is removed from a waiting list.

Disposal of Supplies Upon Plan Termination

Legal reference: 441 IAC 93.114(14)"a" and "b"

Participants who successfully complete their training plan may keep any books or supplies that were purchased with PROMISE JOBS funds.

Participants who do not complete their training program and do not obtain training-related employment within 60 days of leaving training must return all reusable supplies purchased by the program, including tools and books but not clothing. You may donate to nonprofit organizations any returned items that you determine are unusable by the program.

When tools are not returned, consider the amount of the PROMISE JOBS payment to be an overpayment unless the participant verifies theft of the tools through documentation of timely report to a law enforcement agency.

Standards for Satisfactory Participation

Legal reference: 441 IAC 93.114(8) and (9)

Require participants to maintain the minimum cumulative grade point average required by the training facility that the participant attends.

If participant grade reports show grades below a 2.0 or 'C' average, consult with the staff of the training facility to determine whether the facility will place the student on academic probation. If the student will be on academic probation, you may place the participant on PROMISE JOBS probation for the next term.

Do this only when the counselor or the lead instructor in the educational program verifies in writing that the following are true:

- The student's capability to complete the program has been demonstrated through regular class participation, practical application of course content, or successful work in other courses.
- There is an excellent likelihood that the student can achieve the following:
  - Raise the grade point to the acceptable level in the next semester.
  - Raise the grade point average to the acceptable level through successful completion of the remaining course work and tests.
  - Complete the program satisfactorily within the maximum participation period, as described under **Time Limits Required for Plan Approval**.

Expect participants to maintain a full-time workload, as defined by the training facility, unless you have given approval to carry fewer hours in accordance with **Time Limits Required for Plan Approval**. Also ask the training facility to define a half-time workload when it is needed.

Require participants to supply any necessary documentation to verify satisfactory participation or eligibility for a term of probation, when necessary. Confer with the counselor or lead instructor, using form 470-0429, *Consent to Obtain and Release Information*, if written information from the training facility needs to be clarified.

The following sections give more information on:

- Termination of a training plan
- Continuing a training plan beyond the time limit

Termination of a Training Plan

Legal reference: 441 IAC 93.114(14)"d" and "e"

Monitor academic progress for each participant. Apply policies at **Standards for Satisfactory Participation** and allow a school term of probation when appropriate. Terminate the training plan when you have documented that a participant is unable to achieve the cumulative grade point average required by the training facility after the period of probation.

Consider terminating a training plan when you have documented that a participant's continuation in a training plan is detrimental to family functioning. You and the participant make that decision.

In either circumstance, take the following actions:

- Terminate the training plan, using 470-0602, *Notice of Decision: Services*.
- At the same time, offer the participant, in writing, the opportunity to renegotiate and amend the family investment agreement.

Note: These policies do not apply to parents under age 18 who are participating in high school completion or GED.

Continuing a Training Plan Beyond the Time Limit

Legal reference: 441 IAC 93.114(14)"g"

When it becomes apparent that the participant cannot complete the training plan within the maximum participation period as described in **Time Limits Required for Plan Approval**, determine whether termination of the training plan is appropriate.

When the participant cannot complete the training plan within the maximum participation period, continue the plan, and pay expenses if appropriate, up to the limit of the maximum participation period when the following are true:

- The counselor or lead instructor in the education program verifies in writing that:
  - The student's progress or achievement meets the grade-point requirement, and
  - The student's interest and participation indicate there is likelihood of successful completion of the program, and
  - The remaining course work could be completed within an additional six-month period of time, and
- The student is able to demonstrate access to financial resources that will enable completion of the program during the additional six months.

In addition, when the participant can complete the plan within six months after the expiration of the time limit, waive participation in other components after the end of the maximum participation period as long as the participant is attending training.

Terminate the training plan when it becomes obvious that the participant cannot complete it within six months after expiration of the maximum participation period.

The PROMISE JOBS program cannot pay a participant's expenses beyond:

- The maximum participation limit or
- The point where it becomes obvious that the participant will not be able to complete the training plan within six months after the end of the appropriate limit.

However, a participant who demonstrates the ability to complete a training plan within the six months after the expiration of the maximum participation period may receive any allowable expenses during the time up to the limit of the participation period. Waive participation in other PROMISE JOBS components, as long as attendance at the training facility continues.

The determination on eligibility for continuation of a training plan in these circumstances requires close communication and cooperation between the PROMISE JOBS worker and the training facility. This may require form 470-0429, *Consent to Obtain and Release Information*, from the participant.

When training will not be completed until more than six months after the end of the appropriate maximum participation limit, terminate the training plan immediately.

If the participant continues to pursue the training independently and the participant's activities can reasonably be expected to result in self-sufficiency, the participant may continue to use the training as a family investment agreement option.

Participation Issues Specific to Classroom Training

Legal reference: 441 IAC 93.114(14)"f," 93.138(2), and 93.138(3)

The following participation issues are specific to those areas that are important to sustaining and managing a classroom training plan. Consider a participant who does not resolve these issues to have chosen the limited benefit plan.

When these issues occur, attempt to resolve the participation issue with written reminders and letters. See **Identifying Participation Issues**, **Problems With Participation**, and **Barriers to Participation**.

Potential issues specific to classroom training include:

- The participant fails to appear for two consecutive scheduled appointments with the worker without good cause. Attempt to resolve the issue at the first occurrence by sending a written reminder letter, stating that the failure to appear seems to indicate choice of the limited benefit plan. Follow all policies under **Written Notification to Client**.

Communication example:

> You did not attend your appointment on xx/xx/xx to talk about your attendance in classes. It appears that you are choosing the limited benefit plan by not following the training plan in your family investment agreement.
>
> I have set up another appointment for you so you can continue with the steps in your family investment agreement. If you do not attend the appointment, we will begin your limited benefit plan. The attached appointment letter explains the limited benefit plan.
>
> If you have changes or problems in your life that make it hard for you to follow your training plan and family investment agreement, you need to tell me. We can talk about them at your appointment and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

- The participant states that there is no intent to become employed after completing training.

  Use this policy only if the participant has indicated no plans to look for work after finishing training that is in the family investment agreement. Use policies under **Nonapprovable Training** if the participant indicates this during the family investment agreement development process.

  When this situation occurs, the participant is considered to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention.

  You may either schedule an appointment or allow the person at least five working days to respond to the letter. You also may request that the participant provide you with a written statement of their intent.

  Communication example:

> You signed your family investment agreement with your self-sufficiency steps laid out so that you would look for work as an auto mechanic when you finish your training next year. Now you have told me you plan to enroll in a different training program as soon as you finish the auto mechanic training.
>
> I need to remind you that you seem to be choosing the limited benefit plan because you have stated you do not plan to become employed after you complete your training. I hope you will change your mind.
>
> Please give me a written statement of what you plan to do when you finish the auto mechanic training next year. I need to have this by xx/xx/xx. If I don't get it, we will know you are choosing the limited benefit plan.
>
> If your written statement tells us that you do not plan to look for work when your current training is done, we will begin the limited benefit plan right away. We will not wait until your auto mechanic training is done.
>
> If you have changes or problems in your life that make it hard for you to work in the auto mechanic field, you need to tell me. We can decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

- The participant fails to cooperate in providing information concerning grades, academic progress, financial resources, change of address, change of telephone number, or change of family composition.

  Attempt to resolve the issue at the first occurrence by sending a written reminder letter, stating that the failure to provide information seems to indicate choice of the limited benefit plan. See **Written Notification to Client**.

  When you have an ongoing arrangement with the participant to provide recurring records, you do not need to send a written reminder each time that the participant fails to provide the information in the agreed-upon manner.

  Always provide one clear written warning that you will not do so, even if you have given an oral explanation during a face-to-face meeting. Examples of recurring records are grade records, documentation of school enrollment, and financial aid information.

Communication example:

> You did not provide the mid-term grade report that we need to tell whether you will be able to continue in your training plan. We should have had it by xx/xx/xx because you agreed to provide it within ten days after the school issues it. Please provide it by xx/xx/xx. If we do not receive it, we will know you are choosing the limited benefit plan.
>
> Please understand that I will not send a written reminder about your grade every semester. If you have a reason why you can't get grade records here on time, be sure to contact me at once. We will help you with any problems you are having. If we don't receive the grade records and we don't hear from you, we will know that you are choosing the limited benefit plan.
>
> If you have changes or problems in your life that make it hard for you to follow your training plan and family investment agreement, you need to tell me. We can talk about them and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

- The participant fails to cooperate in providing verification of hours of attendance in an educational program. See **Time and Attendance**.

  Attempt to resolve the issue at first occurrence by sending a written reminder letter, stating that the failure to provide verification of hours of attendance seems to indicate choice of the limited benefit plan.

  See **Written Notification to Client**. You do not need to send a written reminder to participants each time that they fail to provide the agreed-upon verification of time and attendance. Always provide one clear written warning that you will not do so, even if you have given an oral explanation during a face-to-face meeting.

  Communication example:

> You did not provide the verification of your school time and attendance that you are required to provide each month, ten days after the end of the calendar month. We should have had it by xx/xx/xx. Please provide it by xx/xx/xx. If we do not receive it, we will know you are choosing the limited benefit plan.
>
> Please understand that I will not send a written reminder every month. If you have a reason why you can't get the time and attendance here on time, be sure to contact me at once. We will help you with any problems you are having. If we don't receive the time and attendance records and we don't hear from you, we will know that you are choosing the limited benefit plan.
>
> If you have changes or problems in your life that make it hard for you to follow your training plan and family investment agreement, you need to tell me. We can talk about them and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

- The participant misuses expense allowances to the extent that the training plan is no longer achievable.

  When this occurs, consider the participant to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention. You may either schedule an appointment to discuss the issue or allow the person at least five working days to respond to the letter.

- The participant knowingly provides receipts or any other written statements that have been altered**,** forged, or, in any way, are not authentic.

  When this occurs, consider the participant to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention. You may either schedule an appointment to discuss the issue or allow the person at least five working days to respond to the letter.

  Communication example:

> We have received information that leads us to believe that the receipt for educational supplies from the Good Office Supplies Store on xx/xx/xx has been altered to an amount larger than you actually paid for the school supplies. People who provide altered, forged, or other inauthentic receipts or statements to PROMISE JOBS are choosing the limited benefit plan.
>
> If you can verify that our information is incorrect, please do so by xx/xx/xx.
>
> If our information is correct and if you can provide an authentic receipt, personally verified by employees of the Good Office Supplies Store, by xx/xx/xx, we will be able to authorize your expense allowance at the correct amount. If we do not get it, we will know that you are choosing the limited benefit plan.
>
> If we again receive altered, forged, or other inauthentic receipts or statements from you, we will consider that you have chosen the limited benefit plan without further warning.
>
> If you have changes or problems in your life that make it hard for you to follow your training plan and family investment agreement, you need to tell me. We can talk about them and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

- The participant withdraws from courses or from the training program without prior approval from PROMISE JOBS.

  When this occurs, consider the participant to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention. You may either schedule an appointment to discuss the issue or allow the person at least five working days to respond to the letter.

  Do not use this policy if the participant is able to reinstate the course or the training program. Follow policies at **Problems With Participation** and **Barriers to Participation**. Offer to renegotiate and amend the family investment agreement if the participant provides acceptable evidence of a problem with participation or a barrier to participation.

  Communication example:

> The community college told us that you dropped out of your nursing training program three weeks ago. It is too late to reinstate your nursing program. It appears you are choosing the limited benefit plan because you dropped out of the training without PROMISE JOBS approval.
>
> If you have a problem with participation or a barrier to participation that caused you to drop out without telling us, you can tell me about it at the appointment shown on the attached notice. If we are not able to resolve this issue, we will know that you are choosing the limited benefit plan.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

PARENTING SKILLS TRAINING

Legal reference: 441 IAC 93.116(239B) and 93.116(1)

Parenting skills training is the PROMISE JOBS component for activities which strengthen a participant's ability to be a better parent. Parenting skills is approvable training under PROMISE JOBS and is a family investment agreement option.

For all clients who use parenting skills training, other PROMISE JOBS components and family investment agreement activities are included in the family investment agreement according to policies found under **FAMILY INVESTMENT AGREEMENT** and **ASSIGNMENT TO COMPONENTS**.

Help clients to select a parenting skills training provider and to schedule the hours of training to avoid conflict with hours of employment, high school or GED, or other training.

The following sections address:

- Specific approvable providers
- Other approvable providers
- Duration for parenting skills training
- Expense allowances for parenting skills training
- Training for parents aged 20 or older
- Training for parents aged 19 or younger

Specific Approvable Providers

Legal reference: 441 IAC 93.116(4)

The following sources are approvable providers for parenting skills training:

- High school departments of family and consumer sciences that offer child development, family relationships, or parenting classes.
- Alternative high school programs for pregnant and parenting teens.
- Community colleges, other associate degree institutions, and baccalaureate degree institutions that offer child development, family relationships, or parenting classes.
- Area education agencies.
- Child abuse prevention programs.
- Child and adult food program sponsors.
- Child care resource and referral agencies.
- Family resource centers.
- Maternal and child health centers.
- FaDSS program grantees.
- PROMISE JOBS family development providers.
- Head Start, Head Start Parent and Child Centers, and Early Head Start programs.
- Iowa State University Extension services (such as but not limited to the "Best Beginnings" program).
- Rehabilitative treatment services such as family centered services, and family preservation as described in DHS Employees' Manual Title 18, Chapters A, B, and C.
- Private nonprofit social service agencies.
- Young parent support and information organizations.

You do not need to inquire into the parenting skills curriculum or course content for any of the providers above.

Because funding for the cost of parenting skills training is very limited, help clients to select providers who can provide training on a nonreimbursable basis whenever possible. Remember that expense allowances are not available for parenting skills training when a nonreimbursable source is available.

Exception: If the client can include parenting skills training with other courses in a postsecondary classroom training plan, you may authorize payment for education costs, child care, and transportation that are related to parenting skills training and are not covered by student financial aid. You do not need to require the client to select a nonreimbursable provider.

Review the list of approvable providers with clients. If clients are already working with any of these providers, help them to continue their association and use it to meet the parenting skills requirement.

Use your local coordination process to establish working relationships with any of the above entities in your SDR. Use your local coordination process to establish procedures for working with DHS regarding families who are using rehabilitative treatment services, such as family-centered services and family preservation.

It is very important that the mandatory PROMISE JOBS requirement for parenting skills training should not disrupt relationships between teen-age clients and other entities that are serving them.

Other Approvable Providers

Legal reference: 441 IAC 93.116(5)

Other providers of parenting skills training are approvable so long as they offer training within the time frames described under **Duration for Parenting Skills Training**, and have five of these six elements:

- Child growth and development.
- Child health and nutrition.
- Child safety.
- Positive discipline.
- Relationships.
- Life skills.

When providers from the approved list are not available in an SDR or in an area accessible to a client, or a client prefers a provider that does not appear on the approved list, ask a potential provider to give you a copy of the curriculum in use.

If five of the above elements are present, you may approve the provider. Include a copy of the approved curriculum in the client case file.

Duration for Parenting Skills Training

Legal reference: 441 IAC 93.116(6)

In the family investment agreement, use a specific duration for parenting skills training.

- Ask the client and the training provider to decide between them how long the training will be required in the family investment agreement. This time must fit within the limits described below.
- Consult with the client and the provider to help them design a written agreement that designates the period during which the mandatory parenting skills training requirement will be fulfilled. Be sure the client, the provider, and you each receive a copy of the agreement.
- Use form 470-0602, *Notice of Decision: Services*, from DHS or *Rehabilitative Services Decision*, from the Iowa Foundation for Medical Care, regarding services such as family-centered services and family preservation (described in DHS Employees' Manual Title 18, Chapters A, B, and C) that contain a specific period of service in place of a written agreement between the client and the provider.
- Include the duration in the agreement or notice of decision in the family investment agreement.

Participants who fail to carry out this step in the family investment agreement shall be choosing the limited benefit plan. Require clients and parenting skills training providers to use the following limits when developing the agreement to determine how long parenting skills training must be included in the family investment agreement and the maximum time that expense allowances may be available.

Provider	**Time Limits**
High schools Alternative high schools	A minimum of one semester and a maximum of two semesters
Postsecondary institutions	One semester or two quarters
DHS family-centered services DHS family preservation	The specific period of service indicated in the notice of decision
All other providers	A minimum of six contact hours or six weeks, whichever comes first, and a maximum of 26 contact hours or six calendar months, whichever comes first

These limits do not mean that you should ask parents which they would prefer, six weeks or six months of training. Help the client to choose a provider, considering resources available in the SDR, availability of nonreimbursable providers, hours and time of day the client has available for parenting skills training, etc.

The length of the mandatory period included in the family investment agreement will be determined by the usual program services of the parenting skills provider. Example:

- Some programs are planned for six contact hours or six weeks, whichever comes first. If this is the only program available, it can be used to meet the mandatory parenting skills requirement.
- Programs that have long-term relationships with young parents will probably use the six-month maximum, unless they and their clients feel that the mandatory requirement can be completed in less time.

After the mandatory requirement is completed, providers and their clients are free to continue their relationship as long as they wish. However, expense allowances will not be available and PROMISE JOBS will not monitor the participation after the designated period.

Expense Allowances for Parenting Skills Training

Legal reference: 441 IAC 93.116(3)

For all participants in parenting skills training, you can authorize PROMISE JOBS expense allowances as follows:

- A child care allowance if child care is not provided by any other entity and it is required for participation.
- A transportation allowance for each month of participation or part thereof if transportation is not provided by any other entity and is required for participation.
- Payment for tuition, fees, books, and supplies only when parenting skills training is not available from a nonreimbursable source in the SDR.
- Allowances for participants using postsecondary educational institutions only when tuition, fees, books, and supplies, cannot be covered by student financial aid. Apply policies under **POSTSECONDARY TRAINING**.

Do not authorize expense allowances for any period that extends beyond the designated period included in the family investment agreement.

Exception: If completion is delayed by acceptable problems with participation or barriers to participation, renegotiate and amend the family investment agreement, based on a new written agreement between the participant and the provider to establish a new mandatory duration to be used in the family investment agreement.

If the parent chooses to continue a relationship with the provider of parenting skills training after reaching the end of the designated period in the family investment agreement, PROMISE JOBS has no responsibility for payment of expense allowances.

Parents Aged 20 or Older

Legal reference: 441 IAC 93.116(1)

Parents who are aged 20 or older when the family investment agreement is signed may include parenting skills training in the family investment agreement as long as the parent **is** active in at least one other PROMISE JOBS component.

Parents aged 20 or older who do not carry out the parenting skills training described in the family investment agreement have chosen the limited benefit plan, unless family circumstances warrant renegotiation and amendment of the family investment agreement. Follow all policies at **Problems With Participation** and **Barriers to Participation**.

Parents Aged 19 or Younger

Legal reference: 441 IAC 93.116(2) and 93.116(7)

Parents who are aged 19 or younger when the family investment agreement is signed are required to include parenting skills training in the family investment agreement.

Teen parents are not required to be active in another PROMISE JOBS component in order to be eligible for parenting skills training. This makes it possible for teen parents to participate in parenting skills training at times when, temporarily, they may not be active in another PROMISE JOBS component.

While meeting the parenting skills training requirement, teen parents must also meet all other PROMISE JOBS and family investment agreement requirements that apply to them. This includes high school completion or GED and family investment agreement options that are equivalent to the level of commitment required for full-time employment or significant so as to move toward that level.

Help clients develop the parenting skills training so that it will not interfere with education, job search, employment, or other family investment agreement activities appropriate to them.

Whenever possible, help them combine parenting skills training with their high school completion or postsecondary classroom training. If they are working with a young parent support group, participation may take place during the evening hours with child care provided on site.

Consider that parents aged 19 or younger have chosen the limited benefit plan in the following circumstances:

- They do not include parenting skills training in the family investment agreement.
- They do not carry out the parenting skills training described in the family investment agreement.

Ask the parenting skills training provider to notify you in writing when participation is not satisfactory or when the client has abandoned the training.

When the client refuses to include parenting skills training in the family investment agreement or when you receive a written notice from the provider, follow all policies at **Identifying Participation Issues**, **Problems With Participation**, and **Barriers to Participation**.

Help the client to write the family investment agreement to include specific plans for parenting skills training, with provider name and beginning and ending date.

The scheduled training may be in the future to accommodate availability of provider resources. Help the client to schedule the training as soon as is compatible with the circumstances of the family, the other activities in the family investment agreement, and the availability of provider resources, unless waiting list restrictions apply. See Waiting Lists.

Require parents who sign the family investment agreement while aged 19 and younger and who become age 20 before the training is completed to honor the duration of the parenting skills training in the family investment agreement, as long as their family investment agreement responsibility continues.

If a break in FIP assistance of more than one month occurs so that a new family investment agreement is needed, the parent who has turned age 20 may choose whether or not to complete the parenting skills training.

Excuse teen parents from the parenting skills requirement if they have satisfactorily completed parenting skills training before signing the family investment agreement. Require such parents to provide documentation of the successful completion before the family investment agreement is signed. You may accept documentation in any form that is credible. Use narrative entry when no written form of documentation is available.

Allow teen parents who are participating in a parenting skills training program at the time the family investment agreement is signed to continue in that program, if they choose. Require documentation of enrollment in the program.

Be sure the provider appears under **Specific Approvable Providers** or meets the requirements under **Other Approvable Providers**. Determine the remaining training time to be included in the family investment agreement as described under **Duration for Parenting Skills Training**.

In any month, give priority for orientation or assessment services to parents who are already age 19 in order to establish their responsibility for parenting classes before they are age 20. This applies to those who are scheduled for orientation, still in assessment, and to those who have a family investment agreement that must be renegotiated and amended.

EXPENSE ALLOWANCES

Legal reference: 441 IAC 93.110(239B) and 93.114(12)

You are responsible for providing or helping the participant to arrange for employment-oriented services, as required to facilitate the registrants' successful participation. This includes participant assessment or case management, employment, education, transportation, child care, referral for medical examination, and supportive services under the FaDSS program or other family development programs.

The following sections address:

- The procedure for issuing expense allowances
- Issuing allowances during a month of FIP suspension
- Allowances for birth certificates
- Allowances for child care
- The *Child Care Assistance Provider Agreement*
- Allowances for education expenses
- Procedures when an allowance warrant is lost, stolen, or missing
- Recovery of expense allowance overpayments

Issuing PROMISE JOBS Expense Allowances

Legal reference: 441 IAC 93.110(239B) and 93.114(12)

An essential part of arranging for PROMISE JOBS services is the payment of allowable expenses that are required to make participation possible. However, system constraints and federal reporting requirements prohibit the establishment of ongoing expense allowance authorizations.

Authorize required expense allowances to the participant on a monthly basis, except as follows:

- Make payment directly to the child care provider.
- Make payment for tuition, fees, books, and supplies directly to the training facility. See **Child Care** and **Education Expenses** for more information on payment to providers of these supportive services.

Authorize expense allowances on a monthly basis and document each authorization in the case narrative report.

Complete appropriate system entries to allow payments to go directly to the participant (except for service provider and childcare payments), even when the participant is not the payee on the FIP case on which the participant receives assistance.

IWD submits a daily data file of authorized expenses to DHS central office. These data files are processed to issue an expense check to the participant or provider, along with form 470-0602, *Notice of Decision: Services*, to notify the participant of the issuance.

A copy of the notice is also sent to the DHS local office to be filed in the participant's FIP case record. A data file is sent back to the IWD central office either to confirm the issuance of the allowance or to provide an error message regarding failure to issue the allowance.

Expense Allowances During a Month of FIP Suspension

Legal reference: 441 IAC 93.110(7)

Pay for expenses for a month of FIP suspension if the participant chooses to participate during that month in a PROMISE JOBS component or other family investment agreement activity for which expense allowance payment is allowable under these rules and to which the participant has been previously assigned.

"Suspension" means that the participant is temporarily ineligible for FIP for just one month. A participant who chooses to continue in a previously assigned PROMISE JOBS component during a month of FIP suspension is entitled to receive expense allowances for expenses incurred or required to allow participation during that month.

Participants cannot be required to participate in PROMISE JOBS activities during a month of FIP suspension and shall not be enrolled to begin a new component during a month of suspension.

Birth Certificates

Legal reference: 441 IAC 93.110(239B)

Use PROMISE JOBS funds to pay the costs of obtaining a birth certificate (including the costs of translation), when the participant needs the birth certificate to complete the Job Service registration process.

Transportation

Legal reference: 441 IAC 93.110(6)

You may authorize a participant transportation allowance for each day of participation, if transportation is required for participation in a PROMISE JOBS activity. **Exception:** Do not authorize a participant transportation allowance:

- For orientation.
- For assessment activities that occur on the same day as orientation.
- For hours of unsubsidized employment. Employed participants are entitled to the FIP work expense deduction.

Pay the transportation allowance monthly at the start of each month of participation or when participation begins, whichever is earlier.

Base transportation allowances on the individual circumstances of each PROMISE JOBS participant. Include transportation to a child care site as well as the PROMISE JOBS activity, when this is necessary. No maximum or minimum payment is established. A participant who lives very close to the PROMISE JOBS activity and has no need for transportation for child care purposes may not need a transportation allowance.

Apply the principle of "required for participation in a PROMISE JOBS activity," as well as all other PROMISE JOBS policies, when looking at unusual circumstances of participation. In addition, apply the principle of assisting PROMISE JOBS participants to move as quickly as possible toward self-sufficiency.

For example, it may be the best use of PROMISE JOBS funds to pay a transportation allowance for night classes if it will shorten participation by a semester. On the other hand, it would not be necessary to attend a night class if the same class could be taken during daytime hours of a later semester that the participant must have to complete other requirements.

Two members of the same household attending the same activity with identical schedules do not need two transportation allowances. However, an academic need for different schedules or child care transportation problems might warrant an allowance for each participant. If parents are able to avoid the need for child care payments by using different schedules, two transportation allowances would be appropriate.

As another example, consider a participant who has chosen training as a licensed practical nurse. If the program is available near the participant's home, but an earlier opportunity to enroll exists at a facility farther away, the transportation allowance to cover the greater distance is a good investment.

On the other hand, it is appropriate to deny a request for training at a distant site if the same program is available at a location closer to the participant's home.

Procedures for Issuing Transportation Allowances

Legal reference: 441 IAC 93.110(6)

Issue necessary transportation allowances before the initial date of participation in any given component. Issue subsequent monthly transportation allowances so that the participant receives the allowance before the first day of that month.

Issue the transportation allowance through data entry on a computer screen. Document each authorization in the case narrative report for case file documentation of the issuance.

Document the circumstances that support your decisions on the amount of the transportation allowance. This documentation should appear in the narrative reports, unless there are other documents or forms that clearly illustrate the reason for the decisions.

Allowances for Public Transportation

Legal reference: 441 IAC 93.110(6)"a"

For those who use public transportation, base the allowance on the normally scheduled days of participation in the PROMISE JOBS activity for the period covered by the payment. Use the rate schedules of the local transit authority to the greatest advantage, including use of weekly and monthly passes or other rate reduction opportunities.

Use weekly and monthly passes to the participant's advantage. If such passes are time-limited, they may not be compatible with the policies of adjustment described at **Monthly Transportation Allowances**.

The participant may authorize payment of the transportation allowance directly to the public transportation provider. This applies to urban transit or rural transit authorities or other public entities that provide group transportation.

Ask the participant to provide a signed request. Following is a sample text for such a request: *Please pay my transportation allowance to the Local Government Trolley while I am attending GED classes at My Area Community College. This will be in effect from __/__/__ until I finish my GED, around __/__/__.*

Take steps to ensure that the participant understands the periods to be covered by these arrangements and how to terminate the arrangements.

Allowances for Private Transportation

Legal reference: 441 IAC 93.110(6)"b"

Authorize a transportation allowance for participants who use private motor vehicles to attend PROMISE JOBS activities. This includes those who use a motor vehicle they operate themselves and those who hire private transportation.

Determine the allowance by multiplying the following elements:

- Normally scheduled days of PROMISE JOBS activity in the participation period.
- Anticipated daily round trip miles in the participation period.
- $0.30 per mile.

Example: Days × miles × $0.30 = monthly allowance or allowance for a short-term activity.

Allowances will usually vary from activity to activity or from month to month depending on things like class schedules, location of the activity, etc.

Document the calculation of the transportation allowance for each month or for each period of participation. Make a notation in the narrative for each calculation for an allowance. This will provide consistency among PROMISE JOBS offices.

Base anticipated daily round trip miles on participant's report and knowledge or your research about local circumstances. Accept participant declaration of the distance to be driven, unless you have personal knowledge that indicates a discrepancy.

You and the participant may select the method of establishing the anticipated miles to be used for the allowance calculation. You can document a participant's verbal statement or you can accept a written statement.

If you use a response letter to participants, you may not require the participants to use that particular form in order to receive transportation allowances. You must accept an alternate method of reporting the mileage.

If you allow fewer miles than the participant claims, the participant may appeal the amount of the transportation that you authorize.

PROMISE JOBS participants who do not have a dependable vehicle of their own may be able to find help with transportation through the DHS volunteer program. In some counties, volunteer drivers are available.

Contact the county DHS office to ask about the volunteer program. Reimbursement of the volunteer would be an individual arrangement between the volunteer driver and the PROMISE JOBS participant, since the PROMISE JOBS program does not have the capability to reimburse volunteer drivers directly.

Work out details of volunteer assignments, reimbursement of volunteers, and other issues with the DHS local office if you help participants make arrangements for volunteer transportation.

When a participant wants to refuse a transportation allowance warrant because the amount is too small to be worthwhile, ask the participant to provide a written statement. The language should state that the person declines the allowance and it is not required for participation in PROMISE JOBS. Provide a copy of the statement to the participant and keep a copy in the case file.

Transportation Allowances for the Assessment Component

Legal reference: 441 IAC 93.110(6)"c"

For the assessment component, issue transportation allowances in advance in weekly increments as described above. Issue payments for a second or third week of assessment as soon as you know that the participant will be required to participate in a second or third week of the component.

See **Expense Allowances for Assessment** for policies on transportation allowances for days of assessment that must be made up or repeated due to absence.

Monthly Transportation Allowances

Legal reference: 441 IAC 93.110(6)"d"

Issue monthly transportation allowances in advance for each full calendar month of participation. Determine the amount using the policies described above.

Issue transportation allowances for the first two months of an ongoing PROMISE JOBS activity such as classroom training in the amounts determined by the policies and formulas described above.

For the third and following months, do not authorize the transportation allowance for a particular month until form 470-2617, *PROMISE JOBS Time and Attendance*, is received for the month before the month in which you are authorizing the allowance. Follow policies at **Time and Attendance**. Example:

> A transportation allowance for May is normally issued after April 15 to be available to the participant by May 1. Do not authorize it until time and attendance verification for the month of March has been received in the PROMISE JOBS office.

Adjust the amounts of allowances for the third and subsequent months of an ongoing activity by subtracting from the normally scheduled days the difference between the number of scheduled days in the month before the issuance month and the number of actual days attended in that month. Example:

> A transportation allowance based on 16 normally scheduled days of participation is authorized for October, issued in September. The participant does not attend two days of the PROMISE JOBS activity in October.
>
> If ten days of participation are normally scheduled in December, calculate the transportation allowance issued in November for December using eight days.

Remember to adjust allowances for the next month of participation according to the mileage rate that is in effect for that month and year.

This adjustment is not possible in the last two months of an ongoing activity. Apply transportation overpayment provisions to transportation allowances in the last two months of an ongoing activity. (See **Transportation Overpayments**.)

Below are examples for adjusting the amount of the allowance for the third and following months. Examples:

PRIVATE TRANSPORTATION FOR CLASSROOM TRAINING

Ms. A is enrolled in classroom training and must drive 20 miles round trip each day. Classes are scheduled for four days per week, Monday through Thursday. She has only the fall and spring semester to complete.

A transportation allowance of $24 is authorized for the first month, which is January. It is issued before classes begin and covers four days to include registration activities and two days of classes.

An allowance of $108 is authorized for the second month, February, to be received before February 1. It covers 18 days of scheduled classes.

An allowance for March is authorized on February 16, after the worker checked the *PROMISE JOBS Time and Attendance* form. It indicates that Ms. A attended all four of the scheduled days in January. The allowance for March is $96 for 16 days of scheduled classes.

An allowance for April is authorized on March 18, after the worker checks the *PROMISE JOBS Time and Attendance* form. It indicates that Ms. A missed two days of classes in February. The two days of absence are subtracted from the 16 scheduled days in April. The allowance for April is $84 for (16 - 2 =) 14 countable days.

An allowance for May is authorized on April 19, after the worker checks the *PROMISE JOBS Time and Attendance* form. It indicates that Ms. A attended all 16 scheduled days in March. The allowance for May is $48 for six days of scheduled classes and two days of tests. May is the last month of the semester.

Ms. A continues in classroom training for the summer semester that begins in June. The process continues. Ms. A is scheduled to attend 17 days of classes in April but misses one day due to illness. The worker reduces countable days for June by the one day of absence in April.

If April were in Ms. A's final semester, this absence would not be taken into account by adjusting a monthly transportation allowance. Instead, the worker would review the transportation overpayment policies to determine if an overpayment exists. Because Ms. A attended more than 75 percent of the scheduled days for April, no overpayment exists.

PRIVATE TRANSPORTATION FOR WEP COMPONENT

Mr. R travels 10 miles each day for three days per week to participate in the WEP. On his day of job search, his mileage will vary.

For January, he will travel 14 days at 10 miles per day or 140 miles for WEP. For job search, he anticipates he will travel four days at 15 miles per day or 60 miles. He will travel 200 miles total for January. On December 16, his worker authorizes a transportation allowance of $60 for January.

In February, Mr. R will travel 13 days at 10 miles per day or 130 miles for WEP. He anticipates that he will average five miles per day for his five days of job search or 25 miles. He will travel 155 miles total for February. On January 16, his worker authorizes a transportation allowance of $46.50 for February.

Because Mr. R was ill, his *PROMISE JOBS Time and Attendance* form shows he missed three days of work experience and one day of job search in January. He is scheduled for 12 days of WEP and four days of job search in March. He anticipates he will travel 5 miles per day for his four days of job search.

For March, he is eligible for an allowance for nine days of WEP at ten miles per day and for three days of job search at five miles per day. The worker authorizes $31.50 for March transportation.

Mr. R's February *PROMISE JOBS Time and Attendance* form indicates perfect attendance. For April, he will travel 14 days at 10 miles per day or 140 miles for WEP. He anticipates three days of job search at 60 miles per day or 180 miles, as he will be driving from LeMars to Sioux City to look for work. On March 18, the worker authorizes $96 for April transportation.

Mr. R is offered a job starting April 1, and does not attend WEP that month. Because he entered employment, there is no overpayment for April transportation.

PUBLIC TRANSPORTATION FOR GED COMPONENT

Ms. J attends GED classes at the learning center four days per week. Weekly and monthly passes are time-limited. The bus fares are as follows:

$1.50 per round trip
$5.50 weekly pass
$22.00 monthly pass

Since the cost of the monthly bus pass is four times greater than the weekly pass, there is only a small savings in purchasing the monthly bus pass. Because her children are frequently ill, it is to her greatest advantage to purchase the daily bus pass.

Ms. J is scheduled to attend classes 18 days in September. On August 18, her worker authorizes $27 for September transportation.

She is scheduled to attend 16 days in October. On September 17, her worker authorizes $24 for October transportation.

Ms. J is scheduled for 17 days of classes in November. Her September *PROMISE JOBS Time and Attendance* shows perfect attendance. On October 17, her worker authorizes $25.50 for November transportation.

In October Ms. J's children get chicken pox. She misses two weeks of classes, as shown on her October *PROMISE JOBS Time and Attendance* report.

Ms. J is scheduled for ten days in December. Because she missed eight days in October, she is eligible for two days' bus fare. On November 15, her worker authorizes $3 transportation allowance for December participation in PROMISE JOBS.

Transportation Costs for Disabled People

Legal reference: 441 IAC 93.110(6)"e" and 41.21(5)0"c"(1)

Authorize a supplemental monthly transportation for people who, due to a mental or physical disability, require a mode of transportation other than a vehicle they operate themselves. Disabled participants are eligible for payment of the supplemental monthly transportation allowance when the following are true:

- Documented actual transportation costs are greater than transportation allowances provided under these policies.
- Transportation is not available from a nonreimbursable source.

Authorize supplemental allowances to include the following:

- The actual costs of transportation by a public or private agency.
- The costs of transportation provided by private automobile for the actual charge up to a maximum of the rate per mile as described at **Allowances for Private Transportation**.

When a participant asks for the supplemental allowance because of a need for a mode of transportation other than a vehicle operated by the participant, ask the participant to verify the need through an independent physician or psychologist or the state rehabilitation agency.

Help the participant to present medical evidence of disability or incapacity by a letter from the physician or on *Report on Incapacity*, form 470-0447.

When a disabled or incapacitated participant is eligible for payment of transportation costs greater than a standard transportation allowance, first issue the portion that represents the standard allowance within normal time frames, using the 'A' code for the transportation allowance.

Then issue the supplemental allowance, i.e., that portion of actual cost which is greater then the standard allowance, using allowance type code 'L,' designated "transportation, disabled."

If verification of need and actual costs has been provided in time to meet normal time of issuance, make the entries for both the standard allowance and the supplemental allowance at the same time. If not, delay the entry for the supplemental allowance until verification of need and actual costs is received.

Never delay or withhold the standard transportation allowance due to the client's failure to document actual cost, to verify need, or to verify the amount of actual costs that exceeds the standard allowance.

Transportation Allowances for High School Students

Legal reference: 441 IAC 93.110(6)"f"

When a PROMISE JOBS client is enrolled in high school, do not allow a transportation allowance if transportation is available from a nonreimbursable source. This occurs when the school district provides transportation or deems transportation unnecessary due to the proximity of the participant's home to the school.

If child care needs make it impossible for the participant to use transportation provided by the school district, authorize a transportation allowance.

Transportation Overpayments

Legal reference: 441 IAC 93.110(8)

Consider payment for transportation to be an overpayment subject to recovery, as described in **Recovery of PROMISE JOBS Expense Allowance Overpayments**, when the following are true:

- The client attends none of the scheduled days of participation in a PROMISE JOBS activity. Consider the entire transportation allowance as an overpayment.

  If a client can be rescheduled for the activity within 90 days from the date the transportation expense allowance was issued, recovery is not necessary, since the allowance will be used. Initiate recovery of the overpayment when it becomes clear that subsequent participation in the activity is not possible.

  Some examples for reasons that may apply are as follows:

  - The client is ineligible for FIP.
  - The client begins a limited benefit plan.

- The client is issued a transportation allowance and begins a PROMISE JOBS activity, but attends less than 75% of the normally scheduled days of participation in one of the following situations:

  - The failure occurred in either of the last two months of an ongoing PROMISE JOBS activity.
  - The failure occurred in any transportation allowance period of an activity that has not been used for allowance adjustment, as described at **Monthly Transportation Allowances**.

  Recover the amount represented by the difference between the amount for the actual number of days attended and the amount for 75% of scheduled days.

Exception: A transportation allowance overpayment does not occur for any month in which the client leaves the PROMISE JOBS activity to enter employment.

When a client takes a job, the participant often fails to attend some of the days of a PROMISE JOBS scheduled activity as a result. To assist in the transition to employment, no overpayment is considered to occur for any month in which the participant leaves a PROMISE JOBS activity to enter employment. This is true even if the client attends none of the scheduled days for that month.

To determine whether a partial transportation overpayment has occurred for any period of any activity that cannot be used for allowance adjustment, use the days of attendance for an activity as verified under the policies for **Time and Attendance**.

Use the following chart to determine the number of days that represent 75% of the scheduled days for the allowance period:

Scheduled Days for Allowance Period:	25	24	23	22	21	20	19	18	17	16	15	14	13
75% Participation:	19	18	17	17	16	15	14	14	13	12	11	11	10
Scheduled Days for Allowance Period:	12	11	10	9	8	7	6	5	4	3	2	1	
75% Participation:	9	8	8	7	6	5	5	4	3	2	2	1	

Example:

A participant in the final semester of a classroom training activity must drive 20 miles round trip each day and is scheduled to attend 17 days of classes in April. An April allowance of $102 is authorized.

1. The *PROMISE JOBS Time and Attendance* form for April reports two days of absence. The actual days of attendance for April are 15. This is more than the 13 days shown in the chart above. No overpayment has occurred.

2. The *PROMISE JOBS Time and Attendance* form for April reports five days of absence. The actual days of attendance for April are 12. This is one day less than the 13 shown in the chart above. An overpayment has occurred. The amount of allowance for 13 days would be $78; the amount for 12 would be $72. The amount of the overpayment is $6.

3. The *PROMISE JOBS Time and Attendance* form for April reports ten days of absence. The actual days of attendance for April are seven, six days less than the 13 shown in the chart preceding. An overpayment has occurred. The amount of allowance for 13 days would be $78; the amount for seven would be $42. The amount of the overpayment is $36.

Child Care

Legal reference: 441 IAC 93.110(1)

Provide payment for child care after service has been received when:

- Child care is required for participation in any PROMISE JOBS component other than orientation.
- Payment is not specifically prohibited by other policies.
- Payment is not available from any other source.

PROMISE JOBS workers authorize Child Care Assistance for authorized PROMISE JOBS components, other than orientation and employment. Authorize payment monthly, directly to the child care provider. Do not issue child care payments to the participant.

Note: DHS workers authorize Child Care Assistance for child care needed due to employment or needs not associated with the PROMISE JOBS program. Refer participants to the local DHS office for the Child Care Assistance program.

The following sections address:

- Eligibility for child care payment
- Approvable child care providers
- Licensed or registered providers
- Nonregistered providers
- *Child Care Assistance Provider Agreement*
- *Notice of Decision: Child Care Assistance*
- Unit of service
- Rate of payment
- Other payment policies

Eligibility for Child Care Payment

Legal reference: 441 IAC 170.2(237A,239B)

You may approve child care arrangements or authorize payment for child care when:

- The child is in the FIP eligible group of the PROMISE JOBS participant.
- The child would be in the FIP eligible group except for the receipt of Supplemental Security Income (SSI).
- The child whose needs are met by IV-E foster care is living in home of the PROMISE JOBS participant.

Contact the IM worker if questions arise concerning members of the FIP eligible group or children whose needs are not met by FIP, SSI, or IV-E foster care.

Approve child care arrangements and authorize payment for child care only for children who are under age 13. **Exception:** Children with special needs are eligible for Child Care Assistance benefits up to the age of 19 years. Refer to Eligibility for Special Needs Rate for the definition of a "child with special needs."

Do not authorize child care payments for the portion of child care necessary due to employment. Refer employed participants to their county DHS office for the Child Care Assistance program if child care is needed during hours of employment.

In two-parent households, authorize payment for child care only when:

- The family can document that the other parent is unable to provide care, or
- The other parent is employed, in school, or participating in an employment and training program during the hours that care is needed.

The child care provider must be approvable according to policies found under Approvable Child Care Providers. If the parent needs assistance in choosing a provider, refer the parent to the child care resource and referral agency serving the county, or provide the parent with your list of approvable providers.

Parents who choose a child care provider who is not approved by DHS risk the safety of their children as well as the possibility that their child care provider is not eligible to receive state payment for child care. Inform parents that their choice of a nonregistered provider could be jeopardizing child safety and may prevent state payment for the child's care.

Try to avoid instances where participants choose a nonregistered provider, begin component activity, and then find out that the provider they chose is not eligible to receive payment because the provider could not pass criminal or child abuse record checks.

As standard procedure, include the following statement in any written materials that reference child care and when discussing child care with a client, especially during orientation and the development of a family investment agreement.

> "The state of Iowa has to balance parents' right to choose a child care provider for their children with the duty to ensure the safety of these children.
>
> "Parents who choose a child care provider that is not approved by the Department of Human Services risk the safety of their children, as well as the possibility that their child care provider will not be paid by the state. If a provider cannot pass the child abuse or criminal record checks, the client has chosen an ineligible child care provider and will be responsible for payment.
>
> "For assistance in choosing a provider that has been approved to receive payment from the state, please contact Child Care Resource and Referral at (000) 000-0000."

Approvable Child Care Providers

Legal reference: 441 IAC 93.110(239B), 170.4(3)

Child Care Assistance payments can be made only to providers that:

- Are at least 18 years old.
- Are not the parent, stepparent, or adoptive parent of the child who needs care.
- Reside in Iowa.
- Meet minimum standards for health and safety set by DHS.
- Do not allow access by a person with a record of crime or abuse that creates a risk.
- Are not under sanction by the Child Care Assistance program.
- Enter into form 470-3871, *Child Care Assistance Provider Agreement*, with DHS specifying the conditions for payment.

A parent can choose care from:

- A licensed child care center.
- A registered child development home.
- A nonregistered child care home.
- A person who comes to the child's own home.
- A child care program that is exempt from licensing or registration.

Note: The only type of child care program exempt from licensing or registration that is eligible for Child Care Assistance payment is a program operated by or under contract to a public or nonpublic school accredited by the Department of Education.

The requirements for approval vary according to the type of provider. Verify the type of provider to know what forms are required.

Type of Providers	Requirements
Child care center	♦ *Certificate of License*, 470-0618 ♦ *Child Care Assistance Provider Agreement*, 470-3871
Registered child development home	♦ *Certificate of Registration*, 470-3498 ♦ *Child Care Assistance Provider Agreement*, 470-3871
Nonregistered child care home or In-home care provider	♦ *Payment Application for Nonregistered Providers*, 470-2890 ♦ *Minimum Health and Safety Requirements for Nonregistered Child Care Home Providers*, Comm. 95 or Comm. 95(S) ♦ *Non-Law Enforcement Record Check Request Form A*, 595-1489 or 595-1489(S) ♦ *Non-Law Enforcement Record Check Billing Form*, 595-1494 ♦ *Request for Child Abuse Information*, 470-0643 ♦ *Child Care Assistance Provider Agreement*, 470-3871
Exempt facility	♦ *Child Care Assistance Provider Agreement*, 470-3871

Note: A relative who is a registered provider must follow the requirements set forth for registered child development home providers. A relative who is a nonregistered provider must follow the requirements set forth for nonregistered child care providers.

Provide information and make referrals when needed to help clients choose providers who are eligible to receive public funds for providing the care. Approve child care arrangements and authorize payment only to:

- Providers that are licensed by or registered with the state, or
- Child care home and in-home providers that are not registered with the state and:
  - Do not have a founded child abuse or criminal record, or
  - Have a founded child abuse or criminal record, but a DHS evaluation has determined that the person is eligible to provide child care despite the record.

Do not approve child care arrangements or authorize payment to any provider that:

- Has a child abuse or criminal record, unless DHS has approved the person as an eligible provider through an evaluation.
- Gives the care in the provider's home when a person who lives in the home or who has access to a child when the child is alone has a child abuse record or criminal conviction, unless evaluated and approved by DHS.

- Charges a rate that is greater than allowed. (See **Rate of Payment**.)
- Charges the participant more than the provider would charge a private individual.
- Chooses not to accept the Child Care Assistance rate as full payment for service.
- Has been sanctioned by the Child Care Assistance program. See 13-G, **Sanctions for Provider Fraud**, for further information about provider sanctions.
- Is not eligible by other policies.

Access the Child Care Provider Display (DCPD) system to verify if a provider is licensed or registered or has a signed *Child Care Assistance Provider Agreement* on file. Access DCPD through ISDCICSP. (See 14-H, ***CHILD CARE PROVIDER DISPLAY (DCPD) SYSTEM.***

Follow the procedures under **Licensed or Registered Providers** and **Nonregistered Providers** before approving an arrangement and making payment.

Licensed or Registered Providers

PROMISE JOBS staff follow three steps to obtain approval to make payment to licensed or registered providers.

1. Check to see if the family's choice of a child care provider is a registered or licensed child care provider by accessing the Child Care Provider Display (DCPD) screens.

   The DCPD screens provide information about what type of provider the family has chosen, and whether the provider has signed a *Child Care Assistance Provider Agreement*. See 14-H, ***CHILD CARE PROVIDER DISPLAY (DCPD) SYSTEM***.

2. If the provider is registered or licensed, but has not signed a *Child Care Assistance Provider Agreement*, issue the following to the provider, with instructions to return the form to your office:

   - Form 470-3871, *Child Care Assistance Provider Agreement*.
   - A self-addressed-stamped-envelope.

3. Once this form is returned to the PROMISE JOBS office, the form should be forwarded to the appropriate DHS staff person responsible for completing *Child Care Assistance Provider Agreements* in your area. DHS staff finish the provider approval process by:

   - Approving or denying the *Child Care Assistance Provider Agreement*, and
   - Providing PROMISE JOBS workers with information and a copy of the *Child Care Assistance Provider Agreement* form as necessary.

   Note: If the DCPD system indicates that the provider already has a *Provider Agreement* on file with DHS, request a copy of the agreement.

Nonregistered Providers

Legal reference: 441 IAC 170.4(3)"f" and "h"

People who have a founded child abuse record or criminal conviction cannot legally provide child care or get Child Care Assistance payments, unless DHS finds through an evaluation of the records that the person is eligible to provide child care. This requirement also applies to people age 14 or over living in the home of the provider or with access to a child when the child is alone.

DHS checks these records before licensing or certifying registration of a child care provider. However, providers who provide care for five children or less are not required to register with the state.

Any person who provides child care services to a Child Care Assistance recipient, and anyone age 14 or over living in that home or who has access to a child when the child is alone, must have successfully completed a criminal, sex offender, and child abuse record check.

DHS staff follow four steps to obtain approval to make payment to nonregistered providers. (PROMISE JOBS staff complete only steps 1, 2, and 3.)

1. Check to see if the family's choice of a child care provider is already an approved nonregistered provider, by accessing Day Care Provider Display (DCPD) screens.

The DCPD screens provide information about what type of provider the family has chosen, and whether they have signed a *Child Care Assistance Provider Agreement*. See 14-H, ***CHILD CARE PROVIDER DISPLAY (DCPD) SYSTEM***.

2. If the provider has not yet been approved as a nonregistered provider for the Child Care Assistance program, issue the following to the provider, with instructions to return the forms to your office:

   - Pamphlet Comm. 95 or Comm. 95(S), *Minimum Health and Safety Requirements for Nonregistered Child Care Home Providers*.
   - Form 470-2890, *Payment Application for Nonregistered Providers*.
   - Form 595-1489 or 595-1489(S), *Non-Law Enforcement Record Check Request Form A* (one form for each person over age 13 living in the household or who has access to the children in care).
   - Form 470-3871, *Child Care Assistance Provider Agreement*.
   - A self-addressed-stamped-envelope.

3. Within 24 hours of return of these completed forms, complete forms 470-0643, *Request for Child Abuse Information*, for the same people listed on form 595-1489 or 595-1489(S) and form 595-1494, *Non-Law Enforcement Record Check Billing Form*. Forward the completed forms along with the forms listed in step 2 above, to DHS.

4. DHS staff finish the provider approval process within five working days by:

   - Obtaining the results of the background, sex offender, and abuse checks,
   - Approving or denying the *Child Care Assistance Provider Agreement*, and
   - Providing PROMISE JOBS workers with information as necessary.

   Note: If the DCPD system indicates that the provider already has a *Provider Agreement* on file, it is not necessary to fill out new forms or to complete new background and abuse checks.

Nonregistered in-home care and child care home providers must sign and return forms 470-2890, 470-3871, and 595-1489 or 595-1489(S) to the local DHS office and pass the criminal, sex offender, and child abuse record checks before payment will be made.

Make sure the provider understands that payment will be held until the criminal records check and the child abuse registry checks are returned as all clear, or until the evaluation is completed and gives permission for the person to provide child care.

If the client chooses to place the children with a provider who has not been approved, it is the client's responsibility to pay the provider for the child care. PROMISE JOBS activities listed in the family investment agreement cannot begin until approvable child care is located.

Approve the child care arrangement when DHS has determined the provider is eligible to provide child care services and has signed the *Child Care Assistance Provider Agreement*.

When a record check reveals founded child abuse or a criminal conviction, a DHS evaluation team must determine whether the record should prohibit the person from being involved in child care. DHS will first send form 470-2310, *Record Check Evaluation*, to the person with the record to gather more information about the circumstances.

If the DHS evaluation team cannot complete an evaluation because the provider did not return form 470-2310, send form 470-3915, *Notice of Decision: Child Care Assistance*, to the provider. Use the following text, which is also available by accessing the template for form 470-3915:

> "You are not eligible to provide child care or to receive public funds for providing child care as you did not return a completed Record Check Evaluation form to the Department of Human Services."
> Employees' Manual 4-AP, Approving Nonregistered Providers; Iowa Code Section 237A.5, 441 Iowa Administrative Code 170.4(3)"h."

If the DHS evaluation team notifies you that the person is not permitted to provide child care, send form 470-3915, *Notice of Decision: Child Care Assistance*, to the person. Use the following text:

> "You are not eligible to provide child care or to receive public funds for providing child care as a result of the Department of Human Services' evaluation of a child abuse or criminal record."
> Employees' Manual 4-AP, Approving Nonregistered Providers; Iowa Code Section 237A.5, 441 Iowa Administrative Code 170.4(3)"h."

Notify the participant that the child care provider is not approved due to not meeting health and safety requirements. Tell the participant to choose another provider.

People have the right to an appeal hearing regarding an evaluation decision that prohibits the person from providing child care and receiving child care assistance funds for doing so. See **PROMISE JOBS Appeal Procedures** for information on how to proceed when you receive an appeal of a DHS evaluation decision.

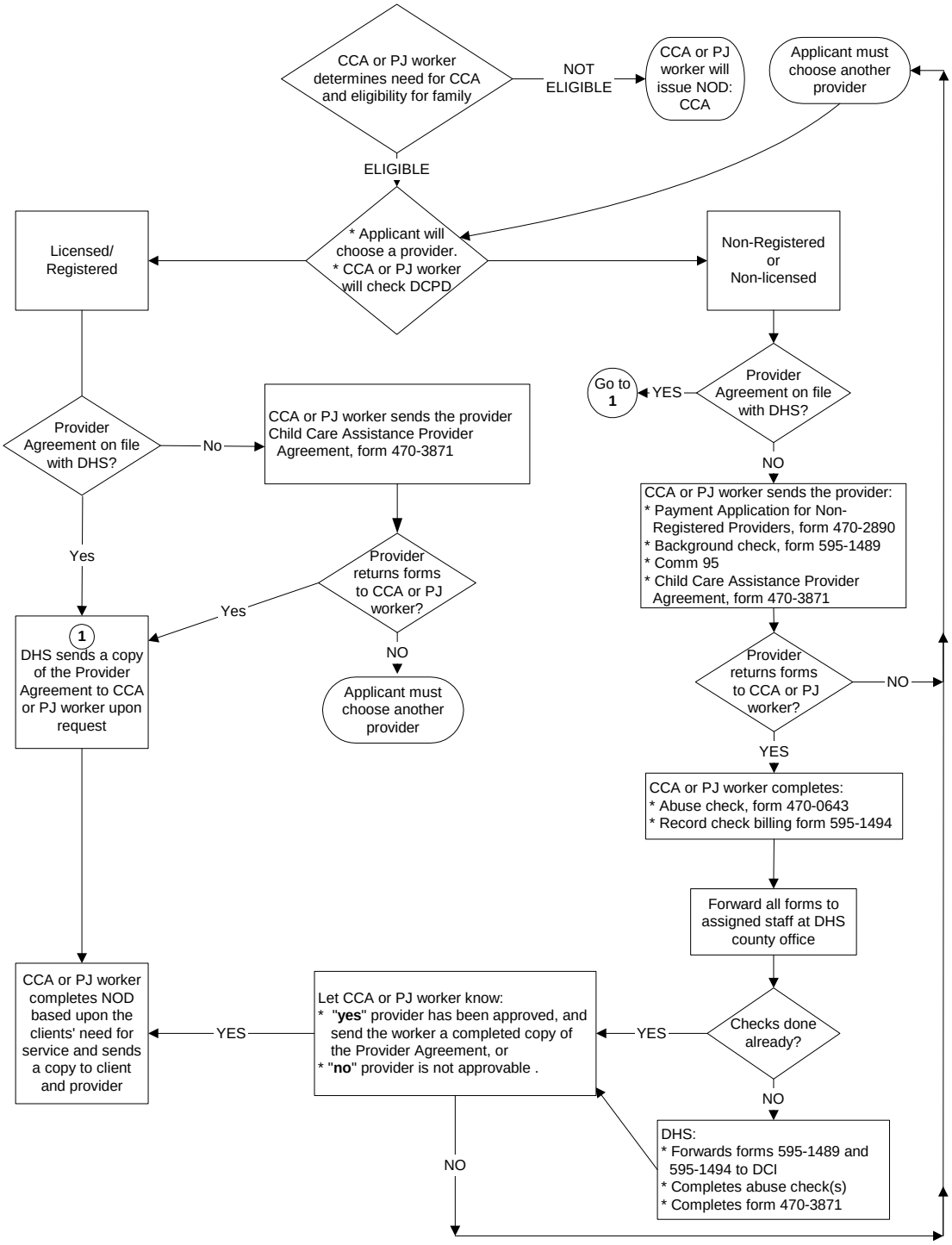
A person who provides child care in violation of Iowa law is subject to penalty and injunction under Iowa Code Chapter 237A. Local DHS evaluation teams have procedures in place to ensure that notification is sent to the county attorney when a DHS evaluation finds a person is not eligible to provide child care or to receive public funds for doing so.

DHS will repeat record checks every two years or when there is reason to believe there is a founded child abuse record or criminal conviction.

No record checks or other documentation showing a criminal conviction or a founded child abuse should be kept in the PROMISE JOBS office. Establish procedures to ensure that all IWD staff who have access to any information reported on these forms follow the rules of confidentiality.

The following flowchart outlines the process to use in communication with DHS.

CCA Provider Eligibility Determination Process & Form Flow



Child Care Assistance Provider Agreement

Legal reference: 441 IAC 170.4(237A)

The *Child Care Assistance Provider Agreement*, form 470-3871, is an agreement between the child care provider and DHS. The same agreement is used for all Child Care Assistance payments authorized through DHS or through IWD/PROMISE JOBS. One agreement covers all Child Care Assistance recipients served by the provider.

Access the Child Care Provider Display (DCPD) system to verify if a provider has a signed *Child Care Assistance Provider Agreement* on file and continue by following the procedures as described under **Licensed or Registered Providers** or **Nonregistered Providers**. Refer to the flowchart that outlines the process to use in communication with clients, the providers and DHS.

In the agreement, the provider agrees not to request additional payment from the parent, except for the fees as noted on form 470-3915, *Notice of Decision: Child Care Assistance*.

However, the parent is responsible for the cost of care provided beyond the hours covered by the number of approved units of service as listed in the *Notice of Decision*. This includes late charges when care exceeds the hours approved or the facility has to remain open beyond the normal hours of operation.

The agreement provides that payment may be made for a child not in attendance for a maximum of four days per calendar month. Allow this payment when the child is regularly scheduled on those days and the provider charges a private customer for days of absence.

A provider is not authorized to bill for services on days that no service is provided when the provider has been notified that a child no longer needs care from this provider.

Issue more than one agreement to a parent when more than one provider is needed to meet the family's child care needs.

DHS may refuse to enter into or may cancel a *Child Care Assistance Provider Agreement* if:

- There is a hazard to the safety and well-being of a child and the provider cannot or refuses to correct the hazard, or
- The provider has submitted claims for payment for which the provider is not entitled.

Inform the DHS Child Care Assistance worker immediately if you receive information that the provider, or a person in the provider's home, has a child abuse record or criminal conviction. **Note:** A criminal charge does not become a conviction until guilt is found by a court of law.

Notice of Decision: Child Care Assistance

Legal reference: 441 IAC 170.4(237A)

Use form 470-3915, *Notice of Decision: Child Care Assistance*, to notify clients and providers of your decision when:

- You approve a request for Child Care Assistance.
- You deny a request for Child Care Assistance.
- A provider is not eligible to provide child care.
- A provider is not eligible to receive public funds for providing child care.
- The number of units authorized for Child Care Assistance increases or decreases.
- There is a change in providers.
- Child Care Assistance is terminated.
- PROMISE JOBS services are terminated because FIP is canceled.

Each client has the right to be given information regarding eligibility and benefit determination. Providers need to know when Child Care Assistance is approved, denied, or changed, and the number of units authorized in order to submit approvable claims. Fees are not applicable for child care needed to participate in PROMISE JOBS activities.

When multiple agreements are issued, pay close attention to the hours that care is needed and the total units of service approved on each *Notice of Decision: Child Care Assistance*.

Send one copy of the *Notice of Decision: Child Care Assistance* to the client and file a copy in the case record. If necessary, provide a copy to the IM worker. If the *Notice of Decision: Child Care Assistance* affects a child care provider, also mail a copy of the notice to the provider.

No change is needed to the *Notice of Decision: Child Care Assistance* for minor fluctuations in work or training schedules. Make entries to case narratives to explain these fluctuations.

However, if there are large or long term changes to a person's schedule, such as adding or dropping a class, or working overtime on a regular basis, issue a new *Notice of Decision*.

These changes need to be reported within 10 days of the change to have the extra child care covered by Child Care Assistance. If the changes are not reported timely, the units used beyond those authorized will be the responsibility of the parent.

When a background or abuse check comes back with a criminal conviction or founded child abuse, and the evaluation team does not approve the provider, send a *Notice of Decision: Child Care Assistance* to notify the provider. See **Nonregistered Providers**.

Unit of Service

Legal reference: 441 IAC 93.110(239B)

The **unit** of child care service is **a half day**. A half-day unit is defined as up to and including five hours of service.

The hours of PROMISE JOBS participation in a day are converted to cumulative half-day units.

Note: For all examples in this **Child Care** section, assume a month of April that begins on a Saturday and ends on Sunday, so that it includes four normal work weeks of Monday through Friday.

As the first step in calculating child care payments to each provider, determine the hours of allowable care. Use the PROMISE JOBS component participation schedule of the parent or caretaker to determine the total number of hours of child care service per provider for PROMISE JOBS participation in a day.

This includes the hours of the PROMISE JOBS component plus reasonable commuting time from the child care site to the PROMISE JOBS activity. When before- and after-school care is required for a school-age child, count the number of hours of service provided during the day.

Divide the total hours for each day by five to determine the number of units per day. Count any balance of hours or minutes remaining when dividing by five as an additional half-day unit.

1. Determining Allowable Hours of Care

Ms. S is a full-time student with an 18-month-old daughter. She attends classes on Monday, Wednesday, and Friday from 11 a.m. to 2 p.m. and Tuesday and Thursday from 9 a.m. to 11 a.m. Including actual travel time of one hour round trip from the child care site to the training site, she has four hours of participation on three days and three hours of participation on two days.

The total hours of child care are calculated for a 24-hour period of time.
Ms. S attends class five days a week but always less than five hours, including travel time, from the child care site to the training site. 1 unit a day x 20 days in this assumed month = 20 units. Ms. S's child care provider is paid for one allowable unit per day or 20 units of child care for this month.

2. Day and Evening Care by Same Provider

Ms. W is a full-time student with a three-year-old daughter. She attends classes Monday, Wednesday, and Friday from 11 a.m. to 2 p.m. and Tuesday and Thursday from 9 a.m. to 11 a.m. She also attends a required lab on Tuesday and Thursday evenings from 7:30 to 9:30. The same provider does both day and evening care.

Including actual round-trip travel time of 20 minutes from the family child care home to the campus, Ms. W has 3 hours and 20 minutes of participation on three days and 4 hours and 40 minutes of participation on two days. Since the hours total 5 hours or less, Ms. W's provider is paid for 1 half-day unit a day or 20 half-day units for the month.

3. Day and Evening Care by Different Providers

Ms. M has the same schedule as Ms. W, and her son is also three years old. Her son attends a child care center during the class hours and round-trip travel time is 20 minutes. This means 3 hours and 20 minutes for three days and 2 hours and 20 minutes for two days of child care during class hours in April.

For the evening lab, her son is cared for in the home of a relative (therefore, a nonregistered family child-care home) who lives close to the campus, so no travel time is needed.

In the example month of April, Ms. M uses the services of the child care center for 1 unit of service daily. This calculates to 20 half-day units for the month for the child care center.

The relative's nonregistered family child-care home hours total 1 unit of service every Tuesday and Thursday evening or 8 half day units for the month.

4. Before and After School Care

Ms. L is a single parent with a two-year-old who requires a full day of child care and two school-age children who require before- and after-school care. Her hours of PROMISE JOBS participation are 8:00 to 4:30 for Monday through Thursday.

She drops her children off at the child care site on her way to her PROMISE JOBS activity. Travel time is 50 minutes round trip from the child care site to the PROMISE JOBS site. The two-year-old remains in the provider's care for the entire day.

The two school-age children are in care in the morning from 7:35 until 9:00, when the provider takes them to school. The provider picks up the school-age children after school, along with her own child, and provides after-school care from 3:15 until 4:55 p.m.

In the April example month, the units of child care for the L family are as follows:

- For the two-year-old, 9 hours and 20 minutes for each day of participation. This totals 2 units each day or 32 half-day units.
- For each school-age child, 3 hours and 15 minutes for each day of participation. This totals 1 unit per day or 16 half-day units.

5. Care by Two Providers

Mr. J is participating in WEP and requires child care for his two children, a four-year-old and a 16-month-old. His WEP placement is from 8:30 to 3:00 three days per week. He has one day of job search that he schedules for the same hours.

He has arranged for child care for both children with a group child care home provider. He also wants to enroll his four-year-old in preschool three mornings a week from 9 a.m. until 11:30 a.m.

Including actual travel time of one-half hour round trip from the child care site to the WEP site and Mr. J's WEP schedule and job search schedule, child care services total seven hours for each child for each of the four days. To calculate half-day units for each of the children: 7 divided by 5 is 1.4 units of care, or 2 units a day, or 32 units a month for each child.

Mr. J and the child care home provider arrange for the four-year-old to attend preschool. Preschool hours total 2 1/2 hours a day, or one half-day unit for every day of preschool. Those hours are deducted from the hours used for calculating the half-day units for the child care home provider.

The remaining hours total 4.5. The child care provider is eligible for only one unit on the days the child goes to preschool. The monthly total for this child for this provider goes down to 24 units.

Rate of Payment

Legal reference: 441 IAC 93.110(239B), 170.1(237A), 170.4(7)"a"

The rate of payment for Child Care Assistance is limited by statewide maximum rate ceilings derived from a market rate survey of child care providers. Also no rate can be approved that exceeds the rate the provider charges a private pay individual.

The following definitions apply in the use of the rate tables:

- Care settings:
  - "Child care center" means a state-licensed child care center or a child care facility exempt from licensing (a child care program operated by or under contract to a public or nonpublic school accredited by the Department of Education).

- "Registered child development home" means a person or program has received a *Certificate of Registration* from the state to provide child care to six or more children at any one time.
- "Nonregistered child care home" means a family home caring for five or fewer children that does not hold a *Certificate of Registration* from the state.
- "In-home care" refers only to care provided in the home of the child. If an otherwise approvable provider lives in the same home as the child, consider the care to be a nonregistered child care home.

♦ Age groups:

- "Infant/toddler" means age two weeks to two years.
- "Preschool" means two years to kindergarten.
- "School age" means a child in attendance in full-day classes or half-day classes, beginning with kindergarten.

For all providers (other than those providing care in the home of a child), DHS uses the rates given on form 470-3871, *Child Care Assistance Provider Agreement*, to establish a basic care half-day rate to be compared to Table I.

Exception: For special needs care, do not authorize payment that exceeds the rate applicable to the provider and the age group in Table II below. (See also **Payment for In-Home Care**.)

Table I. Half-Day Rate Ceilings for Basic Care

Age Group	Child Care Center	Child Development Homes:		Nonregistered Family Home
		Category C	Category A or B	
Infant and Toddler	$12.45	$9.00	$10.00	$8.19
Preschool	$10.50	$8.55	$9.00	$7.19
School-Aged	$9.00	$8.33	$9.00	$7.36

Table II. Half-Day Rate Ceilings for Special Needs Care				
Age Group	Child Care Center	Child Development Homes: Category C	Child Development Homes: Category A or B	Nonregistered Family Home
Infant and Toddler	$48.00	$12.38	$15.75	$10.24
Preschool	$28.13	$12.38	$14.63	$ 8.99
School-Aged	$28.04	$11.25	$13.50	$ 9.20

DHS will return a completed *Child Care Assistance Provider Agreement* to PROMISE JOBS upon approval of a provider.

If the provider chooses not to accept the Child Care Assistance Allowable Rate as full payment for service, the provider cannot be an approvable child care assistance child care provider. Help the client to find an approvable provider, using child care resource and referral agencies as appropriate.

Note: It is never acceptable for PROMISE JOBS to pay a portion of child care costs with the expectation that the participant will pay an additional amount for the period of service. This is true even if the request for this arrangement comes from the client.

1. Mr. J from Example 5 under **Unit of Service** selects a group child care home provider who has hourly rates of $1.60 for infants and $1.50 for preschool children. The half-day rates for this provider are $7.20 for infants and $6.75 for preschoolers. These are less than the maximums for basic care.

2. Ms. W from Example 2 under **Unit of Service** first selects a nonregistered family home provider who has an hourly rate of $1.85. The half-day rate for this provider is $8.33, which exceeds the maximum for basic care for the preschooler. This provider is not willing to accept less, and is not approved as a Child Care Assistance provider.

Ms. W then selects a nonregistered family home provider who has an hourly rate of $1.60. The half-day rate for this provider is $7.20, which also exceeds the maximum for basic care for a preschooler. The provider agrees to accept Ms. W's daughter at the half-day rate of $7.19. The provider will be paid $7.19 for each of the 20 half-day units in the example month of April.

3. Ms. M from Example 3 under **Unit of Service** selects a child care center that has a full-day rate of $24. The half-day rate for this provider is $12.00, which exceeds the maximum for basic care for the three-year-old.

   The provider agrees to accept Ms. M's son for the payment of $10.50 per half-day unit. For the 20 half-day units in the example month of April, the child care center will receive $210.00.

   The relative who provides evening care, a nonregistered family home provider, usually charges $1.65 for her services. Her calculated half-day rate of $7.43 exceeds the maximum for basic care for a preschool child. She agrees to accept the maximum rate of $7.19 per half-day unit. For the example month of April, she will be paid a total of $57.52 for 8 half-day rates.

Payment for In-Home Care

Legal reference: 441 IAC 170.4(7)"d", 93.110(239B)

"In-home care" refers only to care provided in the home of the child. However, if an otherwise approvable provider lives in the same home as the child, consider the care to be nonregistered family home care or registered child development home care as applicable.

In-home care is paid at the minimum wage amount. Minimum wage x 5 hours = a half day rate or unit of service.

The in-home half-day rate is not a per-child amount. It is the maximum amount paid for all of the children in a family receiving in-home care.

Note: Approve in-home care only when the family has three or more children who require and are eligible for child care services.

All of the children in the family requiring child care must receive their care from the in-home provider. However, the children need not all receive the same number of units of service in a 24-hour period. For example, the care may include both before- and after-school care to the school age children in the family and full-day care to the preschool children in the family.

The child care provider has the status of an independent contractor. If parents wish to discuss any obligations they may have regarding taxes on payment to the in-home care provider, refer them to the appropriate agencies, including the Social Security Administration and the Internal Revenue Service.

1. Ms. F participates in eight hours of PROMISE JOBS WEP for three days per week. She does eight hours of job search on another day. She has twin sons, age 3, and another son who is 16 months old. She has a child care provider in her home. Ms. F has travel time of one hour round trip to the WEP site.

   Ms. F is eligible for payment for nine hours of in-home child care for her three children, or 2 units of child care (5 hours x minimum wage = 1 unit), for each of the three days of the WEP assignment and eight hours, or two units, for the day of job search.

   If a second in-home provider provided two hours of incidental care for an evening of PROMISE JOBS participation, Ms. F would be eligible for payment for another two hours, or 1 unit of child care, for each evening.

2. Mr. W is a full-time student. He normally does not need assistance with child care during class hours because his three children are in school when he is. This week he is required to attend a cultural event in a neighboring city to fulfill the requirements of a class. He will be away from home from 6 p.m. until 10:30 p.m.

   Mr. W is eligible for payment for in-home care for his three children for four and one-half hours, or one unit of child care for the evening. The child care provider has to meet all eligibility requirements, including being at least 18 years of age. (Mr. W would not be eligible for in-home care if he had less than three children.)

Eligibility for Special Needs Rate

Legal reference: 441 IAC 170.1(237A) and 170.4(7)"a" and "e," 93.110(239B)

A "child with special needs" has one or more of the following conditions:

- The child:
  - Has been diagnosed by a physician or by a person endorsed for service as a school psychologist by the Iowa Department of Education to have a developmental disability which substantially limits one or more major life activities, and
  - Requires professional treatment, assistance in self-care, or the purchase of special adaptive equipment.
- The child has been determined by a qualified mental retardation professional to have a condition that impairs the child's intellectual and social functioning.
- The child has been diagnosed by a mental health professional to have a behavioral or emotional disorder characterized by situationally inappropriate behavior that:
  - Deviates substantially from behavior appropriate to the child's age, or
  - Significantly interferes with the child's intellectual, social, or personal adjustment.

To be considered eligible for the special needs rate, the family must provide documentation showing that:

- The child meets the definition of a child with special needs, and
- The provider is responding to those special needs with, but not limited to, adaptive equipment, more careful supervision, or special staff training.

Documentation may include a copy of an Individual Education Plan, a psychological evaluation, or a statement that the child meets the diagnosis from a qualified professional as described above.

Child care allowances are to be used to pay for child care services and not for specialized services provided during the program day of the facility. Do **not** authorize payment for therapeutic services that are provided in the child care setting. These include, but are not limited to, services such as:

- Speech, hearing, physical, and other therapies.
- Individual or group counseling.
- Therapeutic recreation.
- Crisis intervention.
- Parent skill development.

Other Payment Policies

Legal reference: 441 IAC 93.110(239B), 170.4(7)"b," "c," and "e"

Do not allow a payment for fees, such as registration fees, etc.

When a provider reduces the charges for the second and following children in a family with multiple children whose care is unsubsidized, reduce the rate of payment for PROMISE JOBS similarly.

Do not approve a separate payment for transportation. Any charge for transportation included as part of the child care service is payable only when it is included as part of the provider's established rate.

Payment may be made to a provider for a child not in attendance at the child care facility not to exceed four days per calendar month, providing that the child is regularly scheduled on those days and the provider also charges a private customer for days of absence.

Do not approve payment to two providers for the same period of time.

Education Expenses

Legal reference: 441 IAC 93.114(12)

For detail on approvable expense allowances for those who are enrolled in any approvable PROMISE JOBS postsecondary training plan, high school completion, ABE, GED, or ESL, see:

- **Training Expense Allowances**, and
- **Training Expense Allowances for All Postsecondary Training**, and **Direct Education Allowances for Short-Term Postsecondary Training**

Do not issue an allowance for:

- Any item that is being paid for through earnings that are diverted for that purpose.
- Purchase of supplies to enable a participant to begin a private business.

To initiate allowances or change the amount of payment, require participants to submit:

- Form 470-0510, *Estimate of Cost*, for expenses other than child care.
- Form 470-3896, *PROMISE JOBS Child Care Attendance and Invoice*, for child care.
- Forms 470-2890, *Payment Application for Nonregistered Providers*, and 595-1489 or 595-1489(S), *Non-Law Enforcement Record Check Request Form A*, if applicable.

Issue expense allowances through computer data entry. Document each authorization in the case narrative report for permanent case file documentation of the issuance.

The following sections explain:

- Direct education cost
- Payments to education providers
- Tuition
- Fees, books, and supplies
- Certification and testing costs
- Practicum living costs
- Timing of payments
- Participant responsibilities

Direct Education Costs

Legal reference: 441 IAC 93.114(12)

Authorize the PROMISE JOBS direct education costs below as expense allowances only for participants in a postsecondary short-term training program of less than 30 weeks, or in high school completion, ABE, GED, or ESL:

- Tuition.
- Fees, including graduation.
- Books.
- Basic school supplies.
- Specific supplies, including tools, and required uniforms, related to obtaining credit for a course and required of all students in a course.

Do not authorize PROMISE JOBS allowances for direct education costs for any participants in postsecondary training, except those in short-term training of less than 30 weeks. All other participants in postsecondary training must be able to demonstrate ability to cover direct education costs from other funding sources.

Payments to Education Providers

Legal reference: 441 IAC 93.114(12) and 93.114(12)"b"

Authorize payment for expenses allowable under these policies to the training facility for the educational expenses of tuition, fees, books, and supplies that are provided by the facility and billed to the PROMISE JOBS participant. Require participants to submit form 470-0510, *Estimate of Cost*, to initiate allowances or change the amount of payment.

Make payment directly to the training facility, unless circumstances indicate that payment should be issued to the participant. These include reimbursement for the participant who documents payment with personal funds and other circumstances as approved by the central office of the PROMISE JOBS provider agency.

For example, the participant is entitled to reimbursement when the provider required payment before the provision of services or required payment within time limits that forced the participant to pay for education expenses out of the participant's own resources or income.

Charges for tuition and fees, books, and supplies that are provided by the facility and billed to the participant shall be submitted on form 470-0510, *Estimate of Cost*, signed by an official of the training facility.

If a standardized list of tuition, fees, and supplies is attached to the *Estimate of Cost* in lieu of completing the form, an official of the training facility should sign both the standardized list and the *Estimate of Cost.*

Tuition

Legal reference: 441 IAC 93.114(12)"a"(2)

The PROMISE JOBS allowance for all eligible programs (high school completion, GED, ABE, ESL, or short-term training of less than 30 weeks), shall not exceed the rate charged by the Iowa community college closest to the participant's residence that offers a program comparable to the one in which the participant plans to enroll.

If a community college in Iowa does not offer a comparable program, the maximum tuition rate payment shall not exceed the Iowa resident rate charged by an out-of-state community college closest to the participant's home.

Fees, Books, and Supplies

Legal reference: 441 IAC 93.114(12) and 93.114(12)"a"(3)

For participants in high school completion, GED, ABE, ESL, and short-term training of less than 30 weeks, authorize allowances for enrollment fees, school testing or school application fees, and educational grant or scholarship application fees when needed.

There are three general policies on supplies to keep in mind.

- The participant should not be required to use the FIP grant to pay for items needed to allow that person to participate in the education programs above.
- The requested item must be an item required for the course and must be specifically related to obtaining credit for the course.

Allow a standard allowance of $10 per term or actual cost, whichever is higher, for basic school supplies for those participants who request it. Remember that the $10 standard allowance is not an automatic issuance, but must be requested by the participant.

Allowances can be authorized for actual costs of basic school supplies greater than the $10 standard allowance per term when these costs are for supplies such as notebooks, pens, pencils, and paper, since these items are required of all students. Any claim for actual costs higher than $10 must be verified by receipts.

PROMISE JOBS funding is limited. Participants are expected to shop conservatively. Expenditures must be minimized to allow service to the largest number of participants possible. Do not allow optional items, such as book bags, that are not required or necessary for course completion.

Unusual items, such as tutors and paper typing fees, are not required of all students in the curriculum and cannot be paid for by PROMISE JOBS money. The fact that the participant's work will look nicer if it is typed is immaterial.

Some valid needs are not required of all students in the curriculum. For example, a secretarial student may have a need to practice typing skills. Although the school offers an open typing lab for practice, this would require the participant to attend at night and incur child care costs not payable by PROMISE JOBS.

First, look and see what is available through the school. Second, check into the costs of rental. Do not buy an item if the need for it is short-term. Consider also whether the costs of child care or rental exceed the cost of the needed item.

When a lower cost alternative is not available, forward the situation to the IWD central office for discussion with DHS central office, before authorizing any expenditure.

Remember that authorizing payment for an unusual item for one participant will result in similar requests by other participants. Also, hearing that FIP has purchased some expensive item for a participant can lead to a bad public impression of the program, regardless of the worker's motives in authorizing the payment.

The final restriction is that if permission is granted to buy an unusual item of equipment, such as a typewriter, make it clear to the participant that this item has been purchased for the program, and not for the participant.

Once the participant has completed the course or courses for which the item is needed, the item must be returned to the PROMISE JOBS office. It will then be available for the next participant with a similar need.

Certification and Testing Costs

Legal reference: 441 IAC 93.114(12) and 93.114(12)"a"(5)

Authorize allowances when participants travel or stay away from home due to certification requirements or other testing needed for vocational purposes. Authorize the allowances up to the following limits:

- Authorize transportation allowances as described at **Transportation**.
- Allow the current state employee reimbursement rate for meals and lodging.

Practicum Living Costs

Legal reference: 441 IAC 93.14(12)"a"(4)

Allow a per diem allowance of $10 for living costs during a practicum when the practicum meets the following criteria:

- It is required by the curriculum of the training facility.
- It will require a round trip commuting time of three hours or more per day.
- It is not available closer to the participant's home.

If practicum earnings or any nonreimbursable assistance is available to meet practicum living costs, no allowance shall be made.

Timing of Payments

Legal reference: 441 IAC 93.108(2) and 93.114(13)

PROMISE JOBS responsibility for financial assistance begins with the later of:

- The month when the client begins training under an approved plan; or
- The month when the client is removed from a waiting list.

Participant eligibility for payment of transportation and child care allowances shall commence for the month when the participant begins training under an approved plan or is removed from a waiting list, whichever is later. Eligibility shall terminate when training is terminated.

Allow retroactive payments only under the following conditions:

- If the plan approval or removal from a waiting list occurs after the start of the term due to administrative error or worker delay, approve payments retroactive to the start of the delay for which the plan is approved.

  If the participant already paid the costs with private resources, reimburse the participant. Approve payments for tuition, fees, books, supplies, and transportation. Retroactive payments for child care can be paid only to a provider.

- If plan approval or removal from a waiting list is delayed due to the suspension of FIP benefits, make retroactive payment for the month of suspension. "Suspension" means that the participant is ineligible for FIP for just one month. Participants are not required to continue to participate in PROMISE JOBS activities during a month of FIP suspension but may choose to do so.

  Allow expense allowances for a month that FIP assistance is suspended if the participant chooses to continue to participate in PROMISE JOBS during that month. If the participant already paid the costs with private resources, reimburse the participant.

- If plan approval is delayed due to the fault of the participant, payment eligibility begins with the first day of the month that the plan is approved or the month that the participant is removed from a waiting list, whichever is later. Do not reimburse training costs already paid for by the participant.

Do not make reimbursement if costs were paid with educational awards that are not subject to repayment.

Do not authorize transportation allowances under PROMISE JOBS when a participant:

- Receives transportation payments from another program or agency that equal or exceed those paid by this program, or
- Receives transportation assistance in kind that meets transportation needs.

When the amount received from another program is less than that paid by PROMISE JOBS, a supplemental payment may be made, as long as the combined payment does not exceed that normally paid by PROMISE JOBS. Do not authorize payments that exceed the rate that the provider would charge a private individual.

When a client is already involved in self-initiated training before call-up by PROMISE JOBS, eligibility for transportation and child care allowances begins for the month when the training plan is approved or the participant is removed from the waiting list, whichever is later. Clients enrolled in self-initiated training are not eligible for allowances to pay for tuition, fees, books, or supplies.

Participant Responsibilities

Legal reference: 441 IAC 93.114(12)"b," "c," and "d"

Participants must submit form 470-0510, *Estimate of Cost*, to initiate allowances or change the amount of payment for all allowances except for child care. Participants shall use PROMISE JOBS allowances that they receive to pay authorized expenses.

Participants must furnish receipts for expenditures. **Exception:** Receipts are not required for transportation allowances and items purchased with the $10 standard allowance for basic school supplies.

Failure to provide receipts will preclude payment of additional payments. Receipts may be requested for allowances paid directly to a provider if the PROMISE JOBS worker determines it is appropriate.

Participants are required to provide receipts for tuition, fees, and books and supplies furnished by the training facility only when the payment was issued to the participant instead of to the supportive services provider.

If circumstances seem to indicate that verification or clarification of payment is needed, ask for receipts for allowances paid directly to a supportive services provider.

Procedure for Lost, Stolen, or Missing PROMISE JOBS Warrants

Legal reference: 441 IAC 93.110(249C) and 93.114(12)

Since expense allowance checks are issued by DHS, refer lost, stolen, or missing PROMISE JOBS warrants to the local DHS office for resolution in the same manner as a lost, missing, or stolen FIP check. When a participant or service provider complains that a check has not been received, proceed as follows:

- Check ISSV or JOBS screens on ABC or ask the DHS IM worker for that participant to check the ISSV or JOBS screens to see if the warrant was issued and when.
- If no warrant has been issued, follow your chain of command to see if the expense entry was received and processed by IWD.
  - If IWD received no expense entry, reenter the authorization exactly the same as the first entry. Making the second authorization exactly like the first allows the DHS system to edit out duplicate checks.
  - If the expense entry was included in a data file to DHS, your central office staff will contact DHS central office to investigate. DHS staff will specify the corrective action to take in each individual case.
- If the warrant has been issued, note the issuance date and take no further action until six working days after the mailing date. If the check still has not been received after the six days, the IM worker or your central office will contact DHS Quality Assurance to determine whether the check has been returned or is still outstanding.
  - When the check was returned because the participant or provider recently moved, Quality Assurance will remail the check. Quality Assurance may already have remailed the check once the new address became known.
  - If the check has not been returned, Quality Assurance will see if it has been cashed.

- If the check has **not** been cashed, direct the participant or provider to the local DHS office to complete the paper work needed so that DHS Quality Assurance can issue a duplicate warrant. (If the participant or provider later receives the first check, the participant or provider must return the duplicate to the PROMISE JOBS office or DHS local office.)
- If the check **has** been cashed, and the participant or provider continues to maintain that someone else cashed it, instruct the participant or provider to report the theft to the local law enforcement agency and obtain a copy of the police report.

  The participant or provider then must go to the local DHS office and complete the paper work needed to investigate the situation and issue a replacement check. Advise the participant or provider that this will involve the Department of Inspections and Appeals. It will take some time to issue a replacement check.

Recovery of PROMISE JOBS Expense Allowance Overpayments

Legal reference: 441 IAC 93.151(239B)

All PROMISE JOBS expense allowances are subject to recovery. (For policy and procedural instructions regarding claims for Child Care Assistance, see 13-G, **OVERPAYMENT RECOVERY**.)

Note: The Child Care Assistance program began July 1, 1999, but did not contain provisions for recovery of overpayments until May 1, 2001. Therefore, only child care allowance overpayments made before July 1, 1999, or after April 30, 2001, are subject to recovery.

When you discover an overpayment, report it to the Department of Inspections and Appeals (DIA), even if the overpayment occurred while the case was in another PROMISE JOBS office or the case is about to be transferred to another PROMISE JOBS office.

When you transfer a case to another PROMISE JOBS office, the receiving worker shall continue to take appropriate action with regard to repayments. When an appeal request is filed between the time the case is transferred and the end of the 30-day appeal period, the receiving worker shall complete the updated report to DIA.

Notification of PROMISE JOBS Overpayment

Legal reference: 441 IAC 93.151(239B)

Notify the Iowa Department of Inspections and Appeals (DIA) of the amount and the type of error that caused the overpayment. Record the overpayment claim with DIA by completing form 470-0464, *Overpayment Recovery Information Input*.

Follow form instructions in the ***PJPM APPENDIX***, using the codes as shown on form RC-0008, *Overpayment Input Codes*, in ***PJPM APPENDIX***. Mail the completed form to the DIA Overpayment Recovery Unit, 3rd Floor, 321 E. 12th Street, Des Moines IA 50319-0083.

Complete only one *Overpayment Recovery Information Input* entry for each overpayment period for any category of overpayment. An overpayment period consists of consecutive months of overpayment. Use the total amount for that period rather than completing an entry for each month of the overpayment period. Example:

> The PROMISE JOBS worker discovers on May 26 that a participant was ineligible for FIP for the months of April, May, and June 2000. Monthly transportation allowances of $34 were issued for all three months. Child care expense allowances were issued for $108 for April and $96 for May. An allowance for $10 for basic school supplies was issued for May.
>
> The worker completes one 470-0464 with claim dates for transportation from April 1 to June 30, with total owed of $102. The worker makes another entry for basic supplies of $10 with claim dates from May 1 to May 31. The child care expense allowances are not subject to recovery, as the overpayment for child care occurred between July 1, 1999 and April 30, 2001. The date established for each claim is May 26.

When the months in which overpayments in a category were received are not consecutive, two overpayment periods exist and two separate claim information sections need to be completed on the *Overpayment Recovery Information Input* forms.

Because some PROMISE JOBS expense allowances are paid to education providers, it is important to establish the correct debtor on the Overpayment Recovery System.

- The provider is the debtor when the provider caused the overpayment, e.g., by providing false or otherwise incorrect information about hours, rates, fees, etc., intentionally or otherwise, or when the provider, for whatever reason, received payment for services not rendered.
- The participant is the debtor in all other instances. This includes when the provider rendered services in good faith but received an overpayment because the participant:
  - Was ineligible for part or all of the allowance due to agency error, or
  - Provided false or incorrect information, intentionally or otherwise.

The "Date Established," field of the *Overpayment Recovery Information Input* must be different for each claim in the same category. If overpayments in two overpayment periods are actually discovered on the same date, it is necessary to alter that date slightly when it is entered on the form. Example:

> It is discovered on May 1 that a participant attended less than 75% of scheduled days of a PROMISE JOBS activity in the months of January and April. The overpayments are $32 for January and $20 for April.
>
> The worker makes one 470-0464 with claim dates for transportation from January 1 to January 31, with $32 owed. The date established is 05-01-00. The worker makes a second entry with claim dates for transportation from 04-01 to 04-30, with total owed of $20. The date established is 05-02-00.

Because the amount to be withheld from the FIP grant is determined by the cause of the overpayment, it is extremely important to enter the correct code in the "Cause" field of the *Overpayment Recovery Information Input*. Use the following definitions in choosing the correct code:

Client errors that apply to PROMISE JOBS are:

- False or misleading statements (either oral or written) about the client's income, resources, or other circumstances that affect eligibility or the amount of assistance received.
- Failure to timely report changes in income, resources, or other circumstances that affect eligibility or the amount of assistance.
- Failure to timely report the receipt of a duplicate warrant.

Agency errors that apply to PROMISE JOBS are:

- Misfiling or loss of forms or documents.
- Errors in typing or copying.
- Computer input errors.
- Mathematical errors.
- Failure to certify allowances correctly when essential information was available.
- Any error that is not a participant error.

DIA notifies clients of overpayments upon receipt of a properly completed form 470-0464 from the PROMISE JOBS worker. Within 30 days of receiving form 470-0464, DIA sends a *Demand Letter for PROMISE JOBS Overissuance* to the client or the provider. The letter lists the dates of the overpayment, the cause of the overpayment and the total amount of the overpayment.

Complete form 470-0465, *Overpayment Recovery Supplemental Information*, when

- The total expense allowance overpayments exceed $1,000.
- The PROMISE JOBS expense allowance overpayment combined with a FIP program claim for the same time period exceeds $1,000.
- DIA requests the information to pursue recovery action.

Send the completed *Overpayment Recovery Supplemental Informatio*n to DIA along with form 470-0464. See the ***PJPM APPENDIX*** for instructions.

The participant or provider has 30 days to appeal the notice. If the participant or provider appeals within the 30-day appeal period, note this fact with applicable codes on form 470-0464, *Overpayment Recovery Information Input*.

Send the updated 470-0464 to the DIA Overpayment Recovery Unit within three working days of the date you receive the appeal request. This is notifies DIA that an appeal is pending, so it can suspend collection activities until the appeal decision is final.

Take action regarding continuation of benefits according to the policies in DHS Employees' Manual 1-E, **Continuation of Assistance Pending Final Appeal Decision** (available at the web site **www.dhs.state.ia.us/policyanalysis**).

If a participant or provider wishes to make repayment, in part or in full, before the end of the appeal period, accept the payment, following the procedures under **Collection of Overpayments**.

Collection of Overpayments

Legal reference: 441 IAC 93.151(239B) and 93.151(1)

When a participant or provider seeks to repay a PROMISE JOBS overpayment, accept the payment and issue a receipt. Make checks or money orders payable to the "Iowa Department of Human Services." If a participant makes a cash payment, convert the cash to check or money order. Transmit repayments received and information about recoveries made through offsetting to the DHS Cashier's Office.

Record refunds or repayments received in the PROMISE JOBS office on form 470-0010, *Adjustment to Overpayment Balance*, following the instructions in the ***PJPM APPENDIX***. Mail the completed form with a copy of the receipt and the funds to the DHS Bureau of Payments and Receipts, Cashier's Office, Room 14, 1305 E. Walnut Street, Des Moines, IA 50319-0114.

Exception: When a participant or provider returns a state warrant for the current month because the warrant represents an overpayment, accept the warrant and issue a receipt. No *Overpayment Recovery Information Input* or *Adjustment to Overpayment Balance* is needed, because no overpayment has actually occurred.

Send the warrant along with the appropriate copy of the receipt to the DHS Cashier's Office at the address given above. The cashier forwards the warrant to DHS Quality Assurance so that it can be canceled.

DIA Recovery Procedures

Legal reference: 441 IAC 93.151(5)

DIA recovery actions include FIP grant reduction, agreements to repay, civil action (small claims court and Attorney General's actions), debt setoff (repayment by setoff of debtor's state income tax refund), income setoff (repayment by garnishment or attachment of a state warrant), and criminal prosecutions.

When a participant or provider has been referred to DIA to initiate recovery, DIA will use the same methods of recovery as are used for the FIP program, except that the FIP grant shall not be reduced without the participant's written permission.

When the participant asks DIA for grant reduction on form 470-0495, *Repayment Contract*, the reduction will be made according to FIP overpayment recovery policies. A brief explanation of the FIP grant reduction procedure is included for reference.

Recovery is based on a percentage of the basic needs (the amount of a full FIP grant that the eligible group would be entitled to) taken from the FIP Schedule of Basic Needs. The amount of the monthly reduction is based on the cause of the overpayment. Recovery from basic needs is made at a rate of:

- 1% of basic needs for overpayments resulting solely from an agency error.
- 10% of basic needs for overpayments resulting from participant error or a combination of participant and agency error.
- 10% of basic needs for overpayments resulting from continuation of benefits pending a decision on an appeal or a combination of continued benefits and agency or participant errors.

Participants who choose FIP grant reduction cannot choose the amount of the reduction. The applicable percentage applies regardless of any circumstances that might cause the group to receive a partial FIP grant, such as receipt of other income. Example:

If the Schedule of Basic Needs for a FIP eligible group was $426, the amount withheld from the FIP grant is $42.60 or $4.26, depending upon the cause of the overpayment. This is true even if the eligible group is determined, for example, to be eligible for only $401 a month because of $25 countable income.

However, through the agreement to repay, the participant may volunteer to make monthly payments in an amount greater than the standard amount by which the FIP grant would be reduced. When recovery is made by withholding from the FIP grant, the payment issued cannot be less than $10.

If there is already an FIP overpayment claim, FIP grant reduction will be used to recover the FIP overpayment and will not be available for recovery of PROMISE JOBS overpayments.

If a PROMISE JOBS participant requests FIP grant reduction from you, explain that this can be arranged only through the *Agreement to Repay* which is sent to the participant from DIA.

With regard to provider overpayments, DIA is authorized to take any reasonable action to effect recovery, such as but not limited to, informal agreements, civil action, or criminal prosecution. However, DIA shall not take any action that would jeopardize the participant's continued participation in the PROMISE JOBS program.

A provider may threaten to withhold services from a PROMISE JOBS participant if DIA initiates recovery procedures. If this threat jeopardizes the participant's progress toward the employment goal (for example, if no other provider is available) do not notify DIA to initiate recovery until the participant no longer needs those services.

ADMINISTRATION

This section contains policies on:

- Confidentiality
- Required client documentation
- Written notification to clients
- Earnings from work
- Maintaining PROMISE JOBS records
- State and federal reporting requirements

Confidentiality

Legal reference: Iowa Code Section 217.30; 441 IAC 9.7(17A, 22, 228); 441 IAC 9.10(7); 441 IAC 93.143(239B)

The Departments of Education and Iowa Workforce Development, Workforce Investment Act agencies, and local education agencies shall safeguard DHS client information in conformance with Iowa Code Section 217.30.

Because of the contracts, financial agreements, and nonfinancial agreements that have been negotiated between DHS, IWD, the Department of Education, and the Department of Human Rights for the FaDSS program, workers in PROMISE JOBS provider agencies and FaDSS agencies are subject to the same laws, rules and policies with regard to confidentiality that apply to DHS staff.

The following information relative to PROMISE JOBS clients shall be held confidential:

- Names and addresses and the types of services or amounts of assistance provided.
- Information concerning the social or economic circumstances of clients.
- Agency evaluations of information about a client.
- Medical or psychiatric data, including diagnosis and past history of disease or disability, concerning a client.

This information shall not be disclosed to or used by any person or agency except for purposes of administration of the PROMISE JOBS program.

This information shall not be disclosed to or used by people or agencies other than PROMISE JOBS agencies unless:

- They are subject to standards of confidentiality comparable to these; or
- They are providing services to PROMISE JOBS clients that are necessary for successful participation in PROMISE JOBS.

These are the general confidentiality provisions in the DHS authorizing legislation. Some programs may have more specific or limiting provisions, but all programs of service or assistance have this basic protection.

On a practical level, this means that information can be shared within an agency and between the agencies on a need-to-know basis. A worker can share information about a client to the extent that the other worker needs to know this information in order to do that job. It is the responsibility of each agency to determine what information is needed in order to provide services.

"Release of information" means one of the following:

- Granting access to or allowing the copying of a record.
- Providing information either in writing or orally.
- Acknowledging information to be true or false.

The DHS Employees' Manual Title 1, Chapter C (available at the web site **www.dhs.state.ia.us/policyanalysis**) contains an overview of confidentiality policies for all DHS programs. Each PROMISE JOBS worker shall receive training on confidentiality policies.

The following sections address:

- Release of information for administrative purposes
- Release of information with the client's authorization
- Releasing information over the telephone

Release for Administrative Purposes

You, DHS staff, and FaDSS grantees can share client information in response to requests for information needed in order to provide necessary services without requiring a signed release from the client. Examples of necessary services include, but are not limited to FIP eligibility, Quality Control review, PROMISE JOBS services, Child Care Assistance or FaDSS services.

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.

Under family investment agreement policies, you will be assisting clients to find and use community resources to solve participation problems. These other entities or people may not be under contract to DHS or be covered by the Iowa Code governing client confidentiality.

For example, clients might need to take part in family development services as part of the family investment agreement. This would be a service determined to be necessary for successful participation in PROMISE JOBS.

However, if medical information must be exchanged, it is still necessary to use form 470-0429, *Consent to Obtain and Release Information*, between PROMISE JOBS and other service agencies.

IM workers may refer inquiries to PROMISE JOBS or may contact PROMISE JOBS to determine whether a client has been referred to a particular agency or entity for such services before releasing client information.

If you or the IM worker receives an apparent inappropriate request for information from a PROMISE JOBS partner agency, resolve the concern through the local coordination procedures that have been approved in the local service plans.

Except for the situations described above, it is true that no confidential information about clients shall be released without the client's consent.

Release with Client's Authorization

Legal reference: 441 IAC 9.7(17, 22, 228)

To the extent permitted by any applicable provision of law, a person who is the subject of a confidential record may have a portion of that record concerning the subject disclosed to a third party.

Generally, you will release confidential information only with the written authorization of the client, or the person responsible for the client, when the client is not a competent adult.

"Authorization to release information" means a written statement, signed and dated by the person empowered to authorize release of confidential information. The statement shall specify:

- To whom information is to be released,
- What information is to be released,
- The period of time for which the authorization to release information is to be effective.

To meet these requirements, complete form 470-0429, *Consent to Obtain and Release Information*, and have it signed by the client before sharing any information, whether in writing or verbally.

Complete all information on form 470-0429 and give any verbal explanation necessary to the client's understanding of it before the client signs the form. Never ask the client to sign a blank form. (See ***PJPM APPENDIX***.)

All dates used on the release form must be specific. (This means month/day/year.) The beginning date is the date the client signs the authorization. You must also give a specific end date. This may be the end of a classroom training plan lasting three years.

However, if the client's graduation date is extended for any reason, the client must sign a new timely release covering the additional time.

Releasing Information Over the Telephone

Legal reference: 441 IAC 9.7(17A, 22, 228)

Providing information over the telephone removes obstacles to speedy and efficient communication with the client, Social Security offices, other staff, etc. However, you must take extreme caution before disclosing information over the phone. Do not disclose or discuss confidential information unless the person requesting the information is authorized to receive it under other provisions in this chapter.

Do not disclose any information, even the fact that a person is a client, unless you are certain you are speaking to an authorized person, even if the caller claims to have information that would be beneficial to the client. To ascertain that the person calling is, in fact, an authorized person before providing the requested information you can use methods such as the following:

- Use positive voice recognition.
- Have a record of the telephone number of the authorized person already on file or check it in the telephone book or other source, and call back to that number before disclosing the information.

If it is impossible to be certain that the caller is an authorized person, suggest other methods of getting the information, such as coming to the office with the client or submitting a written request. Document occasions of releasing information by a note in the case record, stating the name of the caller and the circumstances.

Required Client Documentation

Legal reference: 441 IAC 93.135(239B)

Require the PROMISE JOBS client to provide any documentation necessary to verify that the client is carrying out the terms of the family investment agreement. Specific policies are explained on:

- General written verification
- Documentation of time and attendance
- Job search documentation
- Verification of employment

Written Verification

Legal reference: 441 IAC 93.135(1)

You can require the client to provide written verification of family emergency, lack of transportation, or job search activities. It is the responsibility of the client to notify program staff or work site supervisors as soon as possible that one of these events has occurred and the expected duration. See **Written Notification to Client** for additional information.

Time and Attendance

Legal reference: 441 IAC 93.135(2)

Require participants to verify hours of attendance in long-term work and training activities on a monthly basis. Record the weekly hours of attendance for each participant each month on the PROMISE JOBS Component Reporting File. In addition, document the entered hours of participation in participant case files. Follow all policies under **Written Notification to Client**.

Use verification policies as follows:

- When the participant is in WEP, ask the work site to verify the hours of participation within ten calendar days following the end of each month. See **Monitoring WEP Participants**. You can ask them to use form 470-2617, *PROMISE JOBS Time and Attendance Report*, or make other arrangements that are acceptable to the work site sponsor.

- When organizations or persons outside of the PROMISE JOBS program provide work and training services, ask the training provider to verify participant hours of attendance on the *PROMISE JOBS Time and Attendance Report*, unless you and the provider can agree on other arrangements.

  This applies to high school completion, GED, ABE, ESL, or any type of vocational or educational postsecondary classroom training. You may make other arrangements that are acceptable to the provider.

Use your local coordination procedures to establish such arrangements. For example, a training provider serving a large or continual number of participants may choose to provide a mass listing of hours of participation for all participants at the institution.

To be acceptable for PROMISE JOBS, such alternate verification must meet the following criteria:

- It must be signed and dated by an appropriate person with the educational institution.
- It must be filed in each participant's case file (be sure all other names are rendered unreadable).
- It must be entered on the PROMISE JOBS Component Reporting File for each participant.

If you and the training provider are unable to agree on an alternate verification method, use the *PROMISE JOBS Time and Attendance Report*. Ask the training provider to sign and date this form for each participant and return it within ten calendar days following the end of each month.

If the provider refuses to verify the hours of attendance:

- Require the participant to provide a signed and dated statement from the participant on *PROMISE JOBS Time and Attendance Report* on a monthly basis instead.
- Require the participant to return the form within ten calendar days following the end of each month.
- Record the provider's refusal in participant case files.

If the provider fails to return a completed form to verify the hours of attendance:

- Ask the participant to provide a signed and dated statement from the participant on *PROMISE JOBS Time and Attendance Report* instead.
- Allow the participant five working days to provide the form, even if the fifth working day falls on or after the tenth calendar day after the end of the month.
- Record the provider's failure in the participant case file.

- Require the participant to record and report the hours of participation on the *PROMISE JOBS Time and Attendance Report* when the participant is involved in an activity that you or an outside training provider do not directly monitor. (Job search verification is an exception to this requirement. See **Job Search Documentation**.)

  Require the participant to return the signed and dated form within ten calendar days following the end of each month. Review the form.

  - Accept the reported hours as true unless there is justifiable cause to doubt the accuracy of the hours.
  - If the hours are acceptable, sign and date the form.
  - If the claimed hours do not appear reasonable or otherwise accurate, meet with the participant to resolve the discrepancy.
  - Require third-party verification if you cannot otherwise resolve the discrepancy.

When a participant involved in <u>any</u> PROMISE JOBS component <u>fails to verify</u> the hours of attendance, as described above, the participant shall enter the limited benefit plan. See **FIA PARTICIPATION ISSUES**.

<u>Job Search Documentation</u>

Legal reference: 441 IAC 93.135(3)

For any job search activities that you are not able to document yourself, require participants to document the activities with form 470-3099, *Job Search Record*. The *Job Search Record* contains the following elements that must be completed by the participant:

- The name and address of the employer.
- The name and telephone number of the contact person.
- The date on which contact was made.
- The outcome of the contact.

It also contains authorization for PROMISE JOBS staff to telephone any listed employer to verify the contact. You may use this authorization at your discretion. You may want to do spot-checks of compliance with job search requirements. You may also use it regularly for participants who appear to be failing to make honest job search efforts.

Require participants to provide the *Job Search Record* within five working days after the last working day of any week during which the participant has chosen to make the employer contacts. This allows time for mail delivery. You and the participant may arrange a shorter period that fits the job search plan.

Be sure participants understand their three responsibilities regarding job search:

- They must actually carry out the job contacts included in any job search plan.
- They must clearly report those contacts on the *Job Search Record*, completing all sections of the form.
- They must provide the information to PROMISE JOBS in a timely fashion. For example, if the job-search week ends on a Friday, the *Job Search Record* should reach you on or before Friday of the following week.

Participants who fail to provide all information described above on the *Job Search Record* or do not provide the documentation timely have chosen the LBP. Apply policies at **Identifying Participation Issues**, **Problems With Participation** and **Barriers to Participation**.

Employment Verification

Legal reference: 441 IAC 93.135(4)

Ask the participant to provide verification of hours of employment and income only when such information is not available to you from any other source. You can use information provided by IM on the *Notice of Employment* or the *Employer's Statement of Earnings*.

You may also use telephone or e-mail communication with IM to get employment and earnings information. If you are familiar with the BCW screens of ABC, you may find them helpful.

When the information is not available from any other source, require participants to verify scheduled and actual hours of employment when that employment begins and on a monthly basis thereafter. Help participants to use any of the following to provide the information regarding hours of employment.

- Employer statements.
- Copies of pay stubs.
- *Consent to Obtain and Release Information*, form 470-0429, so that the employer may provide information directly to the PROMISE JOBS worker.

If you must ask participants to provide employment verification, require them to provide it no later than ten calendar days following the receipt of the first pay check or within ten calendar days following the end of each month. Follow policies found at **Written Notification to Client**.

Written Notification to Client

Legal reference: 441 IAC 93.137(249C)

Notify the client in writing of all scheduled meetings, component assignments, work site assignments, and participation issues as described at **Identifying Participation Issues**.

When it is necessary to ask the client to provide verification such as physical examination, doctor's statement, employment verification:

- Put the request in writing and specifically list the items needed.
- Include a due date for return of the information (a minimum of five working days).
- Include the penalty to be imposed for failure to comply with requirement. (You may use an attachment that describes the limited benefit plan.)

(See **Identifying Participation Issues** for a discussion of the difference between the need for a physical examination and the need to provide documentation of illness or inability to participate.)

Compliance time limits vary according to the type of notice or request:

- Allow clients 45 calendar days from the mail date of the notice to provide a physical examination report.
- Allow clients five working days from mail date of the notice to appear for scheduled meetings, component or work site assignments, or to request verifications required by policy or that you deem necessary unless the client agrees to an appointment that is scheduled to take place in less than five working days. You may allow more time if circumstances indicate more time is needed.
- Allow additional time when you have verified that the client is making every effort to comply but is unable to fulfill requirements within the time established.

You may give the written notice or request for verification to the client during an office visit. Document this action on the notice or request or in the case file narrative.

If the client volunteers for an appointment in less than five working days, verify this with a written notice or request. Document the client's request for an earlier appointment on the notice or in the case file narrative.

To count the days of the compliance period, always use the day after the mail date as day one. Watch for holidays when the United States mail is not delivered, even though your agency may not be on holiday. Do not include such a holiday in the five working days. Examples:

1. A *Notice of Appointment or Participation* is mailed to Ms. A on Friday, December 22. Because the Christmas holiday is on Monday, December 25, the first working day after the mail date is Tuesday, December 26. Because the New Year's Day holiday is on Monday, January 1, the fifth working day is Tuesday, January 2. This is the earliest acceptable appointment date for Ms. A.

2. When Ms. A from Example 1 receives the *Notice of Appointment or Participation* in the mail on Tuesday, December 26, she calls you to reschedule her appointment, as she does not have transportation on January 2. She does have access to transportation the next day, on Wednesday, December 27.

   You and Ms. A agree over the phone to an appointment to be held the next day on Wednesday, December 27 at 1:30 p.m. Document the discussion on your copy of the *Notice of Appointment or Participation* or in the case file narrative.

3. A request for a doctor's statement about her daughter's illness is mailed to Ms. B on Thursday, February 15. The first working day after the mailing date is Friday, February 16. President's Day on Monday, February 19, is a federal holiday, but not a state holiday. Since no mail can be delivered on February 19, the fifth working day is Friday, February 23. Ms. B cannot be required to provide the doctor's statement before February 23.

Use the following forms in the following circumstances:

FORM	PURPOSE
470-0103 *Your PROMISE JOBS Reminder*	To remind the client whose referral status changes from exempt to mandatory of the responsibility to make and keep an appointment for PROMISE JOBS orientation.
470-0813 *Notice of Appointment or Participation*	To notify the client that an activity is scheduled or that an appointment is needed to resolve issues of participation to avoid choice of the limited benefit plan. If there is not enough space to describe the reason for the appointment, you may attach a letter or speed memo.
470-0810 *Referral for Work Experience (WEP) Placement*	To inform the client of a scheduled interview with a work experience sponsoring employer.
470-0429 *Consent to Obtain and Release Information*	To authorize PROMISE JOBS to release or obtain academic, medical, or other information on behalf of clients, if other documentation is not available. Limit medical information requested to that which applies specifically to ability to participate: i.e., capabilities, limitations on tasks or hours, etc.
470-0447 *Report on Incapacity*	To provide a physician's verification, if other documentation is not available, of medical reasons for either: ♦ Establishing a problem with participation or a barrier to participation. ♦ Establishing that certain activities are not appropriate for the client.

FORM	PURPOSE
470-3915 *Notice of Decision: Child Care Assistance*	To authorize child care arrangements and costs for PROMISE JOBS activities.
470-0510 *Estimate of Cost*	To obtain verification of expenses for classroom training or other PROMISE JOBS activities.
470-2604 *Transfer Between PROMISE JOBS Agencies*	To inform the client when the case is transferred from one PROMISE JOBS office to another.

Forms can be located in on-line manual at **http://www.dhs.state.ia.us/policyanalysis**. Form templates can be located by accessing the PROMISE JOBS MS Library. Forms used must contain every element of the form as issued by DHS, including:

- The PROMISE JOBS logo or other DHS heading.
- The form number and revision date on each page of the form.

Do not add a local logo or letterhead. You are responsible for updating any local versions of a PROMISE JOBS form immediately upon revision by DHS.

Letters to PROMISE JOBS clients on letterhead of your agency must contain two or more elements that show that the letter is from PROMISE JOBS staff and is about PROMISE JOBS issues. These elements may include:

- Language in the text of the letter.
- A PROMISE JOBS subheading.
- Signature identifiers for PROMISE JOBS workers and supervisors.

Notice of Decision

Legal reference: 441 IAC 93.139(239B)

Clients are entitled to a notice that informs them of the decisions that have been made in relation to their PROMISE JOBS and family investment agreement participation. Notices provide warning of the action being taken, inform clients of appeal rights, and specify the length of time to file appeals in a timely manner to ensure hearings will be held.

The system generates a notice of decision when a FIP case is canceled, informing the family that eligibility for PROMISE JOBS services has ended. A written notice is required when an individual is canceled from a FIP case and PROMISE JOBS services are also canceled.

Send written notice using form 470-0602, *Notice of Decision: Services*, or form 470-3915, *Notice of Decision: Child Care Assistance*, in accordance with DHS policies when:

- A client is approved for PROMISE JOBS services by assignment to an assessment component or to another PROMISE JOBS component or activity when assessment has been waived. (This notice establishes client eligibility for PROMISE JOBS expense allowances.)
- A client's request for training is denied.
- An expense allowance has changed.
- An person is canceled from the FIP case and PROMISE JOBS services are also canceled. **Exception:** Do not send form 470-0602 when a participant is canceled from FIP due to:
  - Entering a limited benefit plan or
  - Reaching the FIP 60-month limit.

  In these situations, the notice of decision the system generates to cancel FIP informs the participant that eligibility for PROMISE JOBS has ended.

Issue a notice in accordance with DHS requirements for adequacy and timeliness of notice. See **Adequate Notice** and **Timely Notice**, immediately following, and the DHS Employees' Manual 1-E, **NOTICE OF DECISION**, available at **http://www.dhs.state.ia.us/policyanalysis**, for additional information.

If the client continues with the family investment agreement process, the family investment agreement itself will be the only notice needed to establish PROMISE JOBS and family investment agreement participation.

A client has the right to appeal the contents of the *Family Investment Agreement*, form 470-3095, and *FIA Steps to Achieve Self-Sufficiency*, form 470-3096. The family investment agreement forms notify clients of the appeal rights.

Because the client can appeal the contents of the family investment agreement when they disagree with PROMISE JOBS about components or activities to be included in the family investment agreement, the client may sign the family investment agreement and appeal the contents without choosing the limited benefit plan. Do not issue a *Notice of Decision: Services* on this issue.

See **PROMISE JOBS Appeal Procedures** for additional information on appeals.

Adequate Notice

Legal reference: 441 IAC 7.7(1)"b"

"Adequate notice" means a written notice that includes the following elements:

- A statement of what action is being taken.
- The reasons for the intended action.
- The manual reference supporting the action. You may use the ***PJPM*** section title where the policy appears to fulfill this element.
- An explanation of the client's right to appeal.
- The circumstances under which assistance is continued when an appeal is filed.

The explanation of the right to a hearing and the continuance of assistance, when applicable, are printed on the *Notice of Decision: Services*, form 470-0602.

Timely Notice

Legal reference: 441 IAC 7.7(1)"a"

"Timely" means that the notice is mailed at least ten calendar days before the date an adverse action would become effective. The timely notice period begins on the day after the notice is mailed.

The "timely notice period" is the time from the date a notice is mailed to the effective date of action. That period shall be at least ten calendar days, except in the case of probable fraud of the recipient.

To be timely, the notice must be mailed no later than the twentieth if there are 30 days in the month, or the twenty-first if there are 31 days in the month. (The notice must be mailed earlier in February.)

For cancellation or termination of ongoing service, the effective date is the first day of the immediately following month, unless timely notice requirements cause the action to be delayed until the first day of the second following month.

For approval or denial of assistance that is not currently being provided, the effective date is the date the action is taken. There is no timely notice period for these actions.

Earnings From Work

Legal reference: 441 IAC 41.27(239B) and 41.27(2)

All income earned from work under this program shall be applied to reduce the cost of public assistance paid to the person or the person's family, except that income exemptions allowed in the public assistance program shall be allowed for these earnings.

When the participant begins working, complete and forward the *Notice of Employment*, form 470-0820, to the local DHS office. The DHS office will determine the month of FIP payment reduction and case status and notify PROMISE JOBS of this via the *Notice of Employment*. See the ***PJPM APPENDIX*** for additional information.

Records Maintenance

Legal reference: 441 IAC 93.148(239B)

PROMISE JOBS provider agencies must maintain all records related to the program for three years. Do not destroy any case files for people involved in a lawsuit against the Department of Human Services or a PROMISE JOBS provider agency. Do not destroy any case files that contain an unpaid claim or recoupment.

Allow federal or state officials access to all records upon request.

Since PROMISE JOBS client case files are passed back and forth between various provider agencies, all PROMISE JOBS provider agencies are required to use the same format in setting up and maintaining client case files. Use of this common format by all agencies makes it easier to transfer cases and to locate specific documentation of prior actions on the case. Use of this format also facilitates monitoring and audits.

To ensure uniformity and consistency, the PROMISE JOBS providers have agreed to the following procedures:

- Use standard non-legal manila folders for case records.
- Initiate a folder for each referral at the PROMISE JOBS office that receives the referral.
- When you provide initial services, insert the dividers necessary for services and components provided in your office.
- When you receive a file from another agency, add the dividers for any additional services and components as necessary.
- Tabbed dividers are the preferred method of preparing the file. Use local coordination to reach agreement on this, so that the files will be uniform within each area.
- Label each divider tab with one of the section headings that follow, for example: NOTICES, ASSESS/EVAL, WEP, etc.
- When a case folder becomes completely filled, use one of the following procedures according to local office preference:
  - Begin using a second folder, marking them Volume 1, Volume 2, etc. Insert dividers exactly like the original folder and on a certain date, simply file as before but in the next volume folder.
  - Transfer to a larger folder and continue on.

These procedures can be modified locally if an agreement is reached between the local PROMISE JOBS provider offices.

PROMISE JOBS Provider Case File Contents

File documentation and verification, using the right and left side of the file as indicated. Within each section, file the listed forms chronologically, with the oldest documents on the bottom and the newest on the top. The forms filed in a section may be interspersed with one another, provided the chronological flow is maintained.

Left Side of File Folder

I. Notices

	Referral and change printouts
470-3103	*PROMISE JOBS Reminder*
470-0813	*Notice of Appointment or Participation*
470-2604	*Transfer Between PROMISE JOBS Agencies*
470-0820	*Notice of Employment*
470-2844	*Employer Statement of Earnings*
470-0602	*Notice of Decision: Services*
470-2666	*Notice of Overpayment: PROMISE JOBS Expense Allowances* (issued before 10/1/03)

Any letter used in an attempt to resolve participation issues, including supervisory letters issued under former policy

File documentation or correspondence supporting the *Notice of Decision* or the *Notice of Overpayment* immediately behind each notice.

II. Expense Allowances and Other Authorizations

470-0510	*Estimate of Cost*
470-2959	*Child Care Certificate* (historical only)
470-3915	*Notice of Decision: Child Care Assistance*
470-0464	*Overpayment Recovery Information Input*
470-0465	*Overpayment Recovery Supplemental Information*
470-0010	*Adjustment to Overpayment Balance*
	LBP Authorization
595-1489 or	Control copy only of *Non-Law Enforcement Record Check*
595-1489(S)	*Request Form A*
470-0643	Control copy only of *Request for Child Abuse Information*

File receipts related to expense allowances. Also file receipts showing refunds of overpayment in this section.

III. Hardship Exemption

File all hardship exemption documentation in this section. This includes the six-month Family Investment Agreement, all correspondence, notices, expense allowance authorizations, etc.

Right Side of File Folder

I. Face Sheet and Narrative Reports

	Face sheet
470-2673	*Participation in PROMISE JOBS* (historical only)
	Narrative report

At a minimum, the face sheet must contain the following information:

- Client's name
- Social security number
- Address
- Telephone number
- Referral code

You may use a copy of the "A" screen from the IWD PJOB system as a face sheet.

Narrative reports must contain sufficient information to explain any circumstance that is not clearly documented by forms or letters contained elsewhere in the file. Documentation of office visits, pertinent telephone conversations, failure to appear for scheduled appointments, and failure to contact the office regarding a valid reason for failure to appear is very important.

II. Family Investment Agreement

470-3095	*Family Investment Agreement*
470-3096	*FIA Steps to Self-Sufficiency*
470-3104	*Your FIA Rights and Responsibilities*
470-3282	*FIP-UP Work Program Designated Parent Declaration* (signed before January 1, 2001)

Employability Plan (historical only)

470-2926	*Employability Plan Guidebook* signature page
WI-3304	*Employability Plan* and updates
WI-3305	*Your Rights and Responsibilities*

III. Assessments and Evaluations

	Family assessment narrative
470-0806	*Self-Assessment*
	Self-Assessment Addendum
	Literacy testing tool (Selectable Literacy Level Test 08-68945-7 or similar)

File tests and other documentation used to evaluate a client's potential in this section.

IV. Job Search Options

	Job search plans
470-2617	*Time and Attendance* (when used or required)
470-3099	*Job Search Record* (when used or required)

File documentation relating to job contacts made during Job Club participation this section.

V. Classroom Training

470-2617	*Time and Attendance* (when used or required)

File grade reports and financial aid information in this section. Most other information about the application date for classroom training, financial arrangements, etc., will be in the *Family Investment Agreement*.

VI. Work Experience

470-0810	*Referral for Work Experience (WEP) Placement*
470-0805	*Work Experience Participant Evaluation*
470-2617	*Time and Attendance* (when used or required)
470-3099	*Job Search Record* (when used or required)

File documentation of weekly job contacts in this section.

VII. Community Work Experience Program (historical only)

470-2374	*UP-CWEP Referral*
WI-2101	*Addendum for the UP-CWEP (Self-Assessment)*
PA-2237-5	*UP-CWEP Your Rights and Responsibilities*
470-2614	*CWEP Required Hours of Participation*
PA-6105-5	*CWEP Worksite Agreement*
PA-4107-5	*CWEP Participation Status Report*
470-2613	*Request to Determine Hours of CWEP Participation*
470-2617	*Time and Attendance* (when used or required)

VIII. PROMISE JOBS On-the-Job Training

	PROMISE JOBS OJT contracts
470-2617	*Time and Attendance* (when used or required)

IX. JTPA-Funded/Joint Plans

Use this section to document participation in JTPA on-the-job training, try-out employment, or other JTPA-funded activities before July 1, 2000.

X. Correspondence/Other

470-0429	*Consent to Obtain and Release Information*
470-0447	*Report on Incapacity*
	All pertinent information not previously covered

File any remaining correspondence to and from clients, employers, schools, etc. pertinent to this client in this section. Also file medical statements used to establish a client's ability or inability to participate in a particular assignment in this section.

State and Federal Reporting Requirements

Legal reference: 441 IAC 93.150(239B), 175.23(2)

The following sections explain reporting requirements relating to:

- Child abuse
- PROMISE JOBS participation
- Beginning employment

Reporting Child Abuse

Legal reference: 441 IAC 175.23(2)

PROMISE JOBS staff in the course of employment who believe a child has been abused must make an oral report of the abuse allegations to the Department of Human Services within 24 hours of suspecting abuse.

PROMISE JOBS staff are not required to make a written report, although they may do so if they wish. PROMISE JOBS staff should call the local DHS office and make their report to the child protective assessment intake worker.

After filing a report, PROMISE JOBS staff are not entitled to written notification that the assessment has been completed or to a copy of information placed on the Registry.

Reporting Participation

Legal reference: 441 IAC 93.150(239B)

The federal government requires the states to record all pertinent information on each individual participant's activities in PROMISE JOBS and make this information available to the federal government on a data file on a monthly basis. Follow the procedures as specified by your agency and approved by DHS to meet federal reporting requirements.

The computer support system for the PROMISE JOBS program is set up in the form of interrelated but separate modules. The Referral Module is activated by the IM worker's entry of referral codes on the DHS Automated Benefit Calculation (ABC) system and results in the automated referral of the client to the PROMISE JOBS program.

Use PJCase to issue expense allowances to program participants. It is also used to authorize the limited benefit plan.

Access the PJOB system monthly to report the program activities of each PROMISE JOBS participant including the signing date and ending date of the family investment agreement. This module now includes reporting of component activity by participants and is cross-matched with PJCase to create individual reports on each participant for federal reporting purposes.

It is particularly important to enter scheduled and actual monthly hours of participation. See ***PJPM APPENDIX*** for the code sheet to be used in recording participant information.

The PROMISE JOBS Employment Reporting file records data on participants who become employed due to their participation in PROMISE JOBS. The success and employment data of individual participants provides information that DHS needs to monitor the success of the program.

DHS, IWD, the Governor's office, and the Iowa Legislature require calculation of both short-term and long-term welfare savings of the PROMISE JOBS program.

Reporting Employment

Each time a participant starts work, complete the *Notice of Employment*, form 470-0820, and send it to the DHS IM worker. Do this for both full-time and part-time employment and for multiple instances of employment by the same participant.

At the same time, make entries on the reporting system screen in conformance with the "Initial Employment" section of data file specifications.

The IM worker verifies the information on the *Notice of Employment* and changes the participant's grant, if appropriate. The IM worker then attaches a copy of the *Employer Statement of Earnings*, form 470-2844, and returns it to the PROMISE JOBS worker to confirm that the change has been acted upon.

When an IM worker becomes aware of employment or change in employment for a participant referred to PROMISE JOBS, IM will send a copy of the employer's statement or equivalent verification to the PROMISE JOBS office designated by each SDR to receive the forms. Enter this information also.

FIA PARTICIPATION ISSUES

Legal reference: 441 IAC 93.129(239B), 93.132(239B), 93.138(2), and 93.138(3)

PROMISE JOBS participants who do not carry out the responsibilities of the family investment agreement are considered to have chosen the limited benefit plan.

When participant issues and other circumstances seem to indicate that a person is choosing a limited benefit plan as described in any of the family investment agreement participation policies, attempt to resolve the participation issue. Make every effort to:

- Negotiate for a solution.
- Clarify expectations.
- Identify barriers to participation that should be addressed in the family investment agreement.

A client's signature on a family investment agreement is a written commitment to the activities outlined in the agreement, and an acceptance of the PROMISE JOBS services available for those activities.

FIP participants who choose a limited benefit plan after signing a family investment agreement incur a greater consequence than those who choose a limited benefit plan before signing a family investment agreement. They become ineligible for the PROMISE JOBS services outlined in the family investment agreement as well as for FIP benefits.

For this reason, make strong efforts to ensure that clients:

- Understand the expectations.
- Have not mistakenly or lightly chosen the limited benefit plan.
- Understand the seriousness of the choice of the limited benefit plan.
- Understand that they may involve the PROMISE JOBS supervisor at any time to discuss problems or questions.

Follow the policies under **Identifying Participation Issues** regarding written reminders, requests, and letters. Use communication as personal as possible and as detailed as needed to ensure that the client understands which action or inaction is indicating choice of the limited benefit plan.

These steps will ensure that the case file contains clear documentation of the participant's choice of the limited benefit plan, including your efforts to contact the participant by telephone or to set up face-to-face interviews. These steps will either bring the participant back into the family investment agreement process or clearly establish the choice of the limited benefit plan.

Remember that clients may take advantage of the opportunity to discuss participation problems or questions with a PROMISE JOBS supervisor at any time. This applies to all aspects of developing and following through with the family investment agreement.

Use the process described at **Informal Dispute Resolution Process** when a client is not satisfied with the contents of the family investment agreement. If the client meets with the supervisor and is still not satisfied with the family investment agreement contents, appeal is the next step. See a discussion of this under **PROMISE JOBS Appeal Procedures**.

Participant actions that are considered to provide evidence that a participant is not carrying out family investment agreement responsibilities are described under **Identifying Participation Issues** and **Participation Issues Specific to Classroom Training**.

Other actions that are considered to indicate choice of the limited benefit plan are described specifically in PROMISE JOBS policies found under the following headings:

- **Medical Examinations**
- **FAMILY INVESTMENT AGREEMENT**, including **FIA Options for Clients Aged 19 or Younger** and **Renegotiation and Amendment of the FIA**
- **Full-Time Employment** and **Refusing, Ending or Reducing Employment**
- **Time and Attendance**

Temporary problems that can excuse these actions are listed under **Problems With Participation**. Problems of a more serious or long-term nature are described under **Barriers to Participation**. These may indicate a need to renegotiate the family investment agreement, rather than choice of the limited benefit plan.

The client needs to resolve the participation issue by either resuming the steps of the family investment agreement or by revealing a problem or barrier that excuses the participation issue. If the issue is not resolved after you have followed the policies under **Identifying Participation Issues**, consider that the client has chosen the limited benefit plan. Refer the case for review as described at **Review of Limited Benefit Plan Recommendation**.

A description of the limited benefit plan and of the process for initiating the limited benefit plan is found under **LIMITED BENEFIT PLAN**. See **Reconsidering an Active Limited Benefit Plan** for information on reconsideration opportunities available to the client after imposition of a limited benefit plan.

The following sections address:

- Identifying participation issues
- Problems with participation
- Barriers to participation

Identifying Participation Issues

Legal reference: 441 IAC 93.132(239B), 93.138(2), and 93.138(3)

The participation issues listed below are important to the process of developing and signing the family investment agreement. They reflect the reality of the world of work and training. These issues are part of effective functioning in the workplace or training facility and, therefore, important to carrying out the steps of the family investment agreement.

Problems described under **Problems With Participation** may provide an acceptable reason to excuse clients from the consequences of these actions. Barriers to participation may be revealed that need to be addressed by renegotiating and amending the family investment agreement. If neither of these apply, clients who do not resolve these issues are considered to have chosen the limited benefit plan.

When participation has become an issue, attempt to resolve the issue. Send a written reminder, request, or letter that:

- Identifies the participation issue,
- Clarifies expectations,
- Attempts to identify barriers to participation, and
- Offers supervisory intervention.

When sending an appointment notice to give the client another opportunity to participate in an activity or to discuss a participation problem, include the written reminder, request, or letter with the appointment notice. Include an explanation of the limited benefit plan with the written reminder, request, or letter, either by:

- Describing the limited benefit plan in the text of the reminder, request, or letter, or
- Attaching Comm. 170, "Understanding the Limited Benefit Plan," or
- Sending form 470-0813, *Notice of Appointment or Participation*, which includes an explanation of the limited benefit plan, when an appointment is appropriate.

The following list gives the specific issues that demonstrate that a person has chosen a limited benefit plan by not carrying out the family investment agreement responsibilities. It includes a brief discussion of the issues and gives some examples of an occurrence and how it can be handled. The examples do not address all situations under which an issue might occur. Use them as illustration for attempting to resolve a participation issue.

1. Clients who are more than 15 minutes late for a third time within three months of the first lateness, after receiving a written reminder when the second lateness occurred.

This issue applies to all PROMISE JOBS activities, but most activities that occur in a PROMISE JOBS SDR office do not last three months. If monitored employment is the activity, the employer will probably deal with the issue without assistance from PROMISE JOBS.

This could occur in WEP if the work site sponsor notifies the SDR that the participant is in danger of losing the WEP assignment due to lateness. Expect that the WEP work site supervisor will apply the reasonable standards of an employer to the reasons for lateness before referring the problem to you.

When a client has been more than 15 minutes late a second time and it is within three months of the first occurrence, attempt to resolve the issue by sending a written reminder letter to the client. Specify that they seem to be choosing the limited benefit plan due to their lateness. Communication example:

> Your WEP supervisor at the Department of XX told me that you were more than 15 minutes late for your WEP assignment on Monday, xx/xx/xx. She said this is the second time since you started your WEP on xx/xx/xx that you have been more than 15 minutes late. She told me she talked with you about this problem the first time. She would not like to see you lose your WEP position and choose the limited benefit plan due to this problem.
>
> I need to remind you that if this happens again, you will be choosing the limited benefit plan. Being at work on time is one of the first responsibilities of an employee. Remember, we talked about following the rules of the place where you work as one of the most important parts of your family investment agreement, and that you would be choosing the limited benefit plan if you didn't follow those rules.
>
> Please see the attached explanation of the limited benefit plan. If you have problems with this assignment or you think you have problems that should be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you would like to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

If the WEP sponsor notifies you of a subsequent lateness within the three-month period, consider that the participant has chosen the limited benefit plan. Refer the case for a review as described at **Review of Limited Benefit Plan Recommendation**.

2. Participants who do not appear for scheduled appointments for a second time after receiving a written reminder at the first occurrence.

Attempt to resolve the issue at the first occurrence by sending a written reminder letter to the participant, stating that the failure to appear seems to indicate choice of the limited benefit plan. Communication example:

> You did not attend your appointment on xx/xx/xx to _____. It looks like you are abandoning your family investment agreement and choosing the limited benefit plan.
>
> I have set up another appointment for you so you can continue to work on the activities in your family investment agreement. If you do not attend the appointment, we will begin your limited benefit plan. The limited benefit plan is explained on the attached appointment letter.
>
> If you have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

When the purpose of the appointment is so clear that checking the applicable box on the *Notice of Appointment or Participation* tells a complete story of what is needed (e.g., group assessment), then a participant has demonstrated choice of the limited benefit plan by failing to attend the second appointment.

Do not use failure to attend a second appointment to indicate the choice of the limited benefit plan when there is another more concrete issue that should be addressed. This applies especially to participants who seem to have abandoned the family investment agreement. See some of the following discussions for illustration.

3. Participants who do not participate in appraisal activities, complete required forms, or take required vocational or aptitude tests for a second time after receiving a written reminder at the first occurrence.

Attempt to resolve the issue at the first occurrence by sending a written reminder letter to the participant, specifying the issue that seems to indicate choice of the limited benefit plan. Communication example:

> It looks like you are choosing the limited benefit plan because you have not returned the *Self-Assessment* form you asked to take home to fill out. We had agreed you would return it and meet with me on xx/xx/xx (as shown on your appointment notice) to finish your family investment agreement.
>
> Information about the limited benefit plan is attached. If we don't have the form by xx/xx/xx and return to work on getting your family investment agreement signed, we will begin your limited benefit plan.
>
> If you have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

If you need to create an appointment for the participant at the same time you are stating the issues above, you may attach your letter to the appointment form.

4. Participants who are absent from activities designated in the family investment agreement or other self-sufficiency plan for a second time after receiving a written reminder at the first occurrence.

Attempt to resolve the issue at the first occurrence by sending a written reminder letter to the participant, specifying the issue that seems to indicate choice of the limited benefit plan.

Again, if you are setting up an appointment at the same time, attach the letter to the appointment form, so there is no doubt that the participant understands the issue that indicates choice of the limited benefit plan. In that way, the appointment form describes the limited benefit plan and you would not have to describe it in your letter. Communication example:

> You did not attend your job-seeking skills classes beginning xx/xx/xx. It looks like you are abandoning your family investment agreement of xx/xx/xx and choosing the limited benefit plan.
>
> We have scheduled another session of job-seeking skills classes for you so you can continue to work on the activities in your family investment agreement. If you do not attend the classes, we will begin your limited benefit plan. The limited benefit plan is explained in the attached appointment letter.
>
> If you have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

The following communication example includes both Issue 3 and Issue 4 above. It can also be applied to Issue 8:

> You have not returned your time and attendance forms for your GED classes for the month of October. The GED staff at XXCC told me that you have not attended classes for two weeks. This means that you are choosing the limited benefit plan in two ways:
>
> - Not returning the required forms.
> - Not attending your GED activity as shown in your family investment agreement.
>
> I have scheduled an appointment for you so we can talk about ways for you to continue to work on the activities in your family investment agreement.
>
> If you have problems that need to be included in your family investment agreement, please tell me so that I can help you. We can talk about them at your appointment and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

Note: For Issues 2, 3, and 4, if the participant fails a second time, consider that the participant has chosen the limited benefit plan. Refer the case for review as described at **Review of Limited Benefit Plan Recommendation**.

5. Participants who do not notify work experience sponsors or PROMISE JOBS staff of absence within one hour of the time when they are due to appear for a second time after receiving written reminder at the first occurrence.

At any time that you learn that a WEP participant has failed to notify the sponsor of absence in a timely manner, write to the participant stating the participation issue. Inform the participant that a second occurrence will mean that the participant has chosen the limited benefit plan. Communication example:

> Your WEP supervisor at the Department of XX told me that you were absent from your WEP assignment on Monday, xx/xx/xx, and did not notify her of your need to be absent until noon of that day. I need to remind you that if this happens again, you will be choosing the limited benefit plan.
>
> Remember we talked about following the rules of the place where you work as one of the most important parts of your family investment agreement, and that you would be choosing the limited benefit plan if you didn't follow those rules. If you have problems with this assignment or other problems that need to be in your family investment agreement, please call me for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

If the WEP sponsor notifies you of a subsequent absence without timely notification, consider that the participant has chosen the limited benefit plan. Refer the case for review as described at **Review of Limited Benefit Plan Recommendation**.

6. Participants who exhibit disruptive behavior for a second time after receiving a written reminder at the first occurrence.

"Disruptive behavior" means the participant hinders the performance of other participants or staff, refuses to follow instructions, uses abusive language, or is under the influence of alcohol or drugs.

Whenever the behavior of a participant is disruptive or otherwise offensive, whether in the PROMISE JOBS office or during activities in the community, immediately send a written reminder of these policies to the participant. This documents the incident and the written reminder, so that any subsequent occurrence can clearly be considered choosing the limited benefit plan. Communication example:

You caused serious problems in job-seeking skills class on xx/xx/xx by loudly interrupting the instructor to ask, over and over again, why you had to be at this class, why you had to do these exercises, and other similar questions. When the instructor asked you to participate quietly for the sake of others in the class, you refused.

When I met with you to ask how we could make the classes acceptable to you, you stated that you felt that the whole family investment agreement process was just wrong, and that you didn't have any suggestions to make.

I explained to you that disruptive behavior could not be tolerated in any PROMISE JOBS activity. This is one of the rules that applies in any work place and so it also applies to PROMISE JOBS. I reminded you that if you act again in this manner, you are choosing the limited benefit plan. You then left my office and did not return to the job-seeking skills class.

I must make it clear that you have only two options at this time:

- Return to the next session of job-seeking skills classes (the current activity on the family investment agreement that you signed) and participate fully without causing problems in the class; or
- Ask to have your family investment agreement renegotiated and amended if you believe that the family investment agreement steps are no longer right for you or if you have problems that we need to include in your family investment agreement steps.

If you do not do one of these, you are choosing the limited benefit plan.

An appointment notice for job-seeking skills classes is included. Please note that it tells you about the limited benefit plan.

If you wish to talk about including problems in the family investment agreement, please call xxx-xxx-xxxx to schedule an appointment to do this. If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

If, at any future time, you cause problems in any PROMISE JOBS activity such as you did on xx/xx/xx, you will be choosing the limited benefit plan.

If the disruptive behavior occurs again, consider that the participant has chosen the limited benefit plan. Refer the case for a review as described at **Review of Limited Benefit Plan Recommendation**.

7. Participants who fail to secure required medical examinations after one written request to do so.

Develop a family investment agreement based on participant circumstances. When a medical examination is required, provide a written request that a medical examination and the *Report of Incapacity* be completed, as action steps in the family investment agreement. If the participant does not take any action to schedule or complete the examination, the participant is choosing the limited benefit plan.

There are some differences between the need for a medical examination and the need to provide documentation of illness or inability to participate due to disability. Always give the participant a written request for verification when a participant claims one of the following:

- Inability to participate in certain family investment agreement activities due to disability. (See **Medical Examinations**.)
- A problem with participation due to participant illness or illness of a family member which you believe should be verified by a doctor's statement. (See **Problems With Participation**.)

Be certain that the written request:

- Explains why the medical examination or documentation is needed.
- Explains that failure or refusal to complete the medical examination or to provide the required statement is considered a choice of the limited benefit plan.
- Includes an explanation of the limited benefit plan.
- Tells the participant to contact PROMISE JOBS if they are experiencing problems with securing the medical examination or documentation as PROMISE JOBS can assist.
- Explains that the family investment agreement can be rewritten if changes have occurred.
- Informs the client that the PROMISE JOBS supervisor is available to discuss problems or questions and explains how to reach the supervisor.
- States when the medical examination or documentation must be provided by.

Many times, a client who claims inability to participate in a particular PROMISE JOBS activity already has an established medical history and may accept the responsibility to provide the verification with a doctor's statement within the five working days as described at **Written Notification to Client**.

To help the client, you can send the *Report of Incapacity* forms to the doctor for completion. This, of course, releases the client from the five-working-days requirement.

A full medical examination is not usually required to establish that an illness of a client or a family member created a problem with participation. Usually the client can provide the doctor's statement within the five working days after receiving a written request for verification, or can ask for an extension if there is a problem with that time limit. You can use the signed *Report on Incapacity* in this situation to help the client.

If the client who claims inability to participate in particular family investment agreement activities due to disability does not have a recent medical history, or is claiming a disability for which diagnosis or treatment has not occurred, a medical examination is required.

In any situation in which a medical examination is required, allow the participant 45 days from the date of the written notice to provide the verification. The *Report of Incapacity* form may be used here also, to help the participant. PROMISE JOBS can send the form to the doctor for completion. Do not hold the participant responsible for a delay beyond the 45 days that is caused by the doctor.

If the participant fails to secure a required medical examination after a written request to do so, consider that the participant has chosen the limited benefit plan. Refer the case for a review as described at **Review of Limited Benefit Plan Recommendation**.

8. Participants whose performance continues to be unsatisfactory after being notified of unacceptable performance and what is necessary to make performance acceptable.

Satisfactory performance in classroom training activities is usually determined by the training facility and is dealt with under **Standards for Satisfactory Participation**.

There will be times in other family investment agreement activities when you are aware of unsatisfactory performance by a participant. This might take the form of failing to carry out the scope of a job search plan, even though job search documentation is provided, failing to give serious effort in taking vocational or aptitude tests, or failure to carry out assessment activities in the family investment agreement.

When you first become aware of participant's unsatisfactory performance in a family investment agreement activity, attempt to resolve the issue by sending a written reminder letter to the participant, stating that the performance seems to indicate choice of the limited benefit plan. Communication example:

> This is a written follow-up of our conversation during your office visit today about unsatisfactory performance in job search activities.
>
> It looks like you are choosing the limited benefit plan, since you did not carry out your individual job search plan as we developed your written plan for the period of xx/xx/xx through xx/xx/xx. I received your *Job Search Record* for that week, but it does not show that you contacted the employers that you had indicated in your plan.
>
> You will remember that the employers included in your plan were those who are known to have job openings at this time. This is not true of most of the employers on your *Job Search Record*.
>
> If your next *Job Search Record* does not show that you are following your individual job search plan, contacting employers who have job openings, you will have chosen the limited benefit plan. Please see the explanation of the limited benefit plan on the attached appointment letter for our meeting next week.
>
> If you have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx so I can help you. We can talk about them and decide if your family investment agreement should be changed to fit your situation better.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.
>
> Good luck in your search. Be sure to call me right away if you are offered a job before our next meeting.

If the participant's performance does not become acceptable, consider the participant to have chosen the limited benefit plan. Refer the case for a review as described at **Review of Limited Benefit Plan Recommendation**.

9. Participants who make physical threats to other participants or staff.

A "physical threat" is defined as having a dangerous weapon in one's possession and either threatening with or using the weapon, or committing assault. Consider a participant who makes a physical threat in the PROMISE JOBS environment to have chosen the limited benefit plan.

At the time of occurrence, attempt to resolve the issue by sending a letter to the participant, stating that the participant has chosen the limited benefit plan by making the threat. Allow the person at least five working days to respond to the letter. If you choose, a supervisor may send the letter. Communication example:

> On xx/xx/xx, you showed a knife during the PROMISE JOBS group assessment and threatened to "cause trouble..." if you were required to continue in PROMISE JOBS. Police were called and you left the office before they arrived.
>
> Because you had a weapon and made threatening statements, you have chosen the limited benefit plan. You will have the limited benefit plan unless you can:
>
> - Prove that you had a temporary problem that caused this threatening act, or
> - Prove that you have a serious problem or barrier to participation that caused you to act this way and that we need to put into your Family Investment Agreement, or
> - Provide a believable assurance that you will not threaten or endanger PROMISE JOBS staff and participants again.
>
> We need to get a statement about one of these from a doctor, a licensed psychologist, a probation officer, or law enforcement official by _____, or the limited benefit plan will be started for you and your family.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

10. Participants who do not appear for work experience placement assignments when the WEP is part of the family investment agreement.

This includes situations where the participant has been interviewed and accepted by the work site sponsor and the participant then "does not accept" the WEP assignment. This can be indicated either by actual statement to the work site sponsor or to PROMISE JOBS staff, or by failure to appear at the work site. If either action occurs, the participant has chosen the limited benefit plan.

Be certain that every participant who includes WEP in the family investment agreement is informed that failure to accept and follow-up on the assignment indicates a clear choice of the limited benefit plan. This can be done:

- Orally when the WEP is included in the family investment agreement.
- In writing when the *Referral for Work Experience (WEP) Placement* is completed and given to the participant.

Note that there is no provision for a written reminder at the first occurrence. This policy is parallel to Issue 12, since similar standards exist for the WEP assignment and paid employment. Always follow the policies found under **Problems With Participation** and **Barriers to Participation**.

When a participant does not appear for a WEP assignment, consider the participant to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, try to identify problems and barriers, and offer supervisory intervention. You may schedule an appointment to discuss the letter or allow the person at least five working days to respond to the letter. Communication example:

> You have chosen the limited benefit plan because you did not accept the work experience position that was offered to you at the Department of XXX. You will have chosen the limited benefit plan unless you have a temporary problem that is keeping you from taking that position.
>
> If you have any serious problems or barriers to participation that we need to get into your family investment agreement, that might make a difference. I have scheduled an appointment for you so we can talk about these things. Please see the explanation of the limited benefit plan on the appointment letter.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

11. Participants who do not appear for WEP interviews for a second time after receiving written reminder of the importance of complying with the family investment agreement at the first occurrence.

This is treated as a limited benefit plan choice within component participation, rather than as in an employment context. Therefore, a written reminder to attempt to resolve the issue and to offer supervisory intervention is the first step. Communication example:

> It looks like you are choosing the limited benefit plan because you did not keep your work experience placement interview appointment with Ms. B at the Department of XXX. You will remember that you received a copy of *Referral for Work Experience (WEP) Placement* setting up your appointment on xx/xx/xx.
>
> Based on our telephone conversation, I have scheduled another interview for you with Ms. B so you can continue to work on the work experience activities in your family investment agreement.
>
> Your new *Referral for Work Experience (WEP) Placement* is enclosed. If you have reasons why you think this work experience placement is not right for you, if you have other problems that we need to include in your family investment agreement, call me at xxx-xxx-xxxx, so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.
>
> If you don't attend the new appointment with Ms. B, you are choosing the limited benefit plan. Please see the attached explanation of the limited benefit plan.

12. Participants who do not follow-up on PROMISE JOBS job referrals or who refuse offers of employment or end employment, including discharges due to the client's misconduct.

Be certain that every participant who receives a specific job referral, including PROMISE JOBS on-the-job training, is informed that a failure to follow-up on that referral indicates a clear choice of the limited benefit plan.

This can be done during orientation when *Your FIA Rights and Responsibilities* is reviewed. You can also use a reminder of this policy and an explanation of the limited benefit plan with any job referral form that you use.

When a participant does not follow-up on PROMISE JOBS job referrals, refuses an offer of employment, or causes employment to end by quitting or with misconduct, determine if the person is excused from the employment issue due to a problem or barrier to participation. See **Refusing, Ending, or Reducing Employment**, **Problems With Participation**, and **Barriers to Participation**.

If you determine that the person is not excused for the employment issue, the participant is considered to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify problems and barriers, and to offer supervisory intervention.

The letter must tell the participant that if the job in question is still open and the participant returns to the job, or if the participant has started another job equal to the job in question, the issue will be resolved when PROMISE JOBS receives verification. You may either schedule an appointment to discuss the issue further or allow the person at least five working days to respond to the letter.

13. Participants who do not secure adequate child care when registered or licensed facilities are available.

Participants must always have adequate child care available to them before any participation requirements apply. Participants have the right to select their own child care provider, based on the child care setting they prefer, when the provider is otherwise eligible to provide child care assistance. For more information, see **Child Care**.

However, participants cannot use lack of child care as a barrier to participation when it is documented that a space in a licensed child-care center or a state-registered child-care home is available to them.

For example, a participant can be expected to accept an available space in a registered child-care home, even when a child-care center is preferred, if no space is available in a center. You can continue to make appropriate referrals, such as child care resource and referral agencies, to help the participant find the preferred care setting.

When a participant does not secure adequate child care when registered or licensed facilities are available, consider the participant to have chosen a limited benefit plan. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention.

You may either schedule an appointment to discuss the letter or allow the person at least five working days to respond to the letter. Communication example:

> You appear to be choosing the limited benefit plan because you will not accept the child care space that is available for your son at Ms. A's child-care home. Remember that finding child care for your son was the first problem to be solved on your family investment agreement. Therefore, you must take the steps available to solve that problem.
>
> We understand that you prefer a child-care center. We will help you all we can so you can find a licensed center. In the mean time, you must accept the registered child-care home, or you will be choosing the limited benefit plan. If you find another provider that you prefer, you are free to use that provider.
>
> I have set up an appointment for you so that we can talk about when you can begin the next step of your family investment agreement while using Ms. A's child care services. We can also talk about any problems you have that we need to include in the family investment agreement. Please note that the limited benefit plan is explained on the appointment letter.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

14. Participants for whom child care, transportation, or educational services become unavailable as a result of failure to use PROMISE JOBS funds or Child Care Assistance funds to pay the provider or failure to provide required receipts.

In this situation, the participant is considered to have chosen a limited benefit plan at the first occurrence. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention. You may either schedule an appointment to discuss the letter or allow the person at least five working days to respond to the letter.

15. FIA-responsible people who are required to participate in high school completion activities and fail to provide grade transcripts or reports.

In this situation, the participant is considered to have chosen a limited benefit plan at the first occurrence. Use a written letter to clearly establish the limited benefit plan choice, to attempt to identify barriers, and to offer supervisory intervention. You may either schedule an appointment to discuss the letter or allow the person at least five working days to respond to the letter.

16. Participants who do not appear for an appointment to discuss renegotiation of the family investment agreement, or who otherwise fail to cooperate in the renegotiation process, after receiving a written reminder at the first occurrence.

Attempt to resolve the issue at the first occurrence by sending a written reminder letter, stating that the failure to appear or to cooperate seems to indicate choice of the limited benefit plan. If the issue is failure to appear for an appointment to discuss renegotiation of the family investment agreement, use the communication example for Issue 2 for guidance when sending the written reminder letter.

Use the following communication example for guidance when sending the written reminder letter when a participant otherwise fails to cooperate in the renegotiation process (e.g., when a participant appears for the appointment to discuss renegotiation of the family investment agreement, but refuses to agree to family investment agreement activities that are within policy).

> Your existing family investment agreement will expire on xx/xx/xx and you are still receiving FIP benefits. It appears that you are choosing the limited benefit plan, as you are not cooperating in the process to write a family investment agreement with new activities.
>
> If you change your mind and are willing to work with PROMISE JOBS to write a new family investment agreement, you must contact me no later than xx/xx/xx. If you have problems that need to be included in your family investment agreement, please call me at xxx-xxx-xxxx for an appointment so I can help you.
>
> If you want to talk with a PROMISE JOBS supervisor about any problems or questions you have, call xxx-xxx-xxxx for an appointment.

Problems With Participation

Legal reference: 441 IAC 93.133(1), (4)

The table that follows lists temporary or incidental problems that allow participation to be easily resumed. These are, therefore, reasons why a client can be excused from PROMISE JOBS activities and reasons for excusing a client who reduces, refuses, or ends employment, including discharges due to misconduct.

- If Column 1 (labeled "PJ") is checked, the circumstance is an acceptable reason for excusing a client from PROMISE JOBS activity.
- If Column 2 (labeled "Work") is checked, the circumstance is an acceptable reason for excusing a client who refuses, reduces, or ends employment.
- Some types of circumstances are reasons for both excusing a client from PJ activities and excusing a client for reducing, refusing, or ending employment.

A client who has been excused still retains mandatory participant status, regardless of the reason.

There may be other circumstances not listed in the table in which forcing clients to participate would prevent them from becoming self-sufficient. Send a memo to the IWD central office for review and possible resolution. If it is not resolved, IWD will refer the situation to the administrator of the DHS Division of Financial, Health and Work Supports via a memo.

See **Required Client Documentation** for information on verifying problems with participation.

PJ	Work	Circumstance
✓	✓	The travel required from home to the work assignment, job, or unpaid community service site takes over one hour each way, including time needed to take a child to child care.
	✓	The work offered is at a site subject to a strike or lockout. If the strike has been enjoined under Section 208 of the Labor-Management Relations Act (commonly known as the Taft-Hartley Act), or if an injunction has been issued under Section 10 of the Railway Labor Act, the client may not refuse employment.
✓	✓	The job violates state or federal health and safety standards.
✓	✓	Workers' compensation is not provided.
✓	✓	The job is contrary to the participant's religious or ethical beliefs.
✓	✓	The participant is required to join, resign, or refrain from joining a legitimate labor organization.
✓	✓	The work requirements are beyond the mental or physical capabilities of the participant, as documented by reliable evidence.
✓	✓	There is discrimination by an employer based on age, race, sex, color, handicap, religion, national origin, or political beliefs.
✓	✓	Work demands or conditions make employment unreasonable, such as working without being paid on schedule.
✓	✓	There are circumstances beyond the control of the participant, such as disruption of regular mail delivery.
	✓	The change or termination is part of the family investment agreement.
	✓	The job does not pay at least the minimum amount that is customary for the same work in the community.

PJ	Work	Circumstance
	✓	The client takes a job that provides better pay, even though the hours of employment may be less than the current job. "Better-paying" can be on either an hourly or a monthly basis.
	✓	Accepting employment would result in a net loss of cash income to the participant's family. *Net loss of cash income* means the family's gross income, less necessary work-related expenses, is less than the cash assistance the client was receiving at the time the offer of employment is made. *Gross income* may include earnings, unearned income, cash assistance, etc. It does not include food assistance benefits and in-kind income (e.g., managing an apartment building in exchange for free rent). Use the family's actual work-related expenses rather than the standard deductions. Work with DHS IM to find out if there is other income being received such as child support or social security.
	✓	The employment changes substantially from the terms of hire, such as a change in work hours, work shift, job duties, or decrease in pay rate.
✓		The client needs to stay in the home because of illness of another family member. You may request medical documentation of the illness.
✓		The client is ill. If a participant is ill more than three consecutive days or habitually ill, you may request medical documentation of the illness.
✓		The client has a family emergency, using the reasonable standards of an employer.
✓		The client is absent or late due to bad weather, using the reasonable standards of an employer.
✓		The client is absent or late because the client or the client's spouse has a job interview. The client must provide notice 24 hours before the interview, if possible. The notice must include the name and address of the prospective employer. If 24-hour advance notice is not possible, the client must provide the information as soon as possible. It must be provided before the interview.

PJ	Work	Circumstance
✓		The client has a newborn child. Absence is determined using the standards of the Family Leave Act of 1993, Section 102(a)(1) and (6)(1) and incorporated into the family investment agreement. Maximum time available: ♦ One parent: total of 12 work weeks of leave during any 12-month period. ♦ Two parents: aggregate of 12 work weeks of leave in case where both are entitled to leave, as PROMISE JOBS is considered to represent *the same employer*. Clients may use less time if they wish.

Barriers to Participation

Legal reference: 441 IAC 93.134(239B)

Problems of a permanent or long-term nature are barriers to participation. They may be identified during assessment or during participation in the family investment agreement.

If barriers are identified during assessment, consider these issues in the development of the family investment agreement. If they become apparent after participation has begun, the family investment agreement may be renegotiated to address the barriers. Even if barriers to participation exist, the client remains a mandatory participant.

Identify and include in the family investment agreement any situations that stand in the way of self-sufficiency. See **Family Investment Agreement Contents** and **Renegotiation and Amendment of the FIA** for information on including barriers to participation in the family investment agreement.

Some examples of barriers are:

- Lack of transportation.
- Substance addiction.
- Physical or mental disability.
- Sexual or domestic abuse history.
- Overwhelming family stress.
- Lack of needed child or adult care. (Do not require participation until care has been arranged. Where special needs care is not available, the client's family investment agreement activity may have to be the provision of this care.)

If a person chooses not to cooperate in removing identified barriers to participation, the person is choosing the limited benefit plan, unless the person is refusing to apply for or to accept Social Security or SSI benefits. Refusing to apply for or to accept SSD or SSI cancels FIP eligibility for the entire FIP household.

Inform the client's IM worker when a person in the FIP eligible group or a parent in the home provides medical evidence of a disability that is expected to last for more than 12 consecutive months or is expected to result in death. The IM worker will require the person to apply for and to accept SSD or SSI as a condition of FIP eligibility.

LIMITED BENEFIT PLAN

Legal reference: 441 IAC 41.24(8)

A FIP participant is subject to a limited benefit plan (LBP) when:

- The participant chooses not to follow the terms of the family investment agreement; or
- The participant's referral status changes from exempt to mandatory and the participant chooses not to write and sign a family investment agreement.

The basic **first** limited benefit plan:

- Creates ineligibility for the entire family, and
- Continues until the person who chose the limited benefit plan reconsiders by signing a family investment agreement.

1. Ms. D chooses a first limited benefit plan and her family's FIP is canceled effective September 1, 2000. The household will remain ineligible until Ms. D signs her family investment agreement. In October 2000, Ms. D reapplies. As long as other eligibility factors are met, FIP can be approved once Ms. D signs a family investment agreement.

2. Ms. E chooses a first limited benefit plan and her family's FIP is canceled effective June 1, 2000. In December 2001, her income goes down, and she reapplies for FIP. Ms. E must sign a family investment agreement and meet other FIP eligibility criteria before FIP can be approved.

A basic **subsequent** limited benefit plan chosen by the same person or by the other parent on a two-parent case:

- Creates ineligibility for the entire family for a minimum of six-months, and
- Continues after the six months until the person who chose the limited benefit plan:
  - Reconsiders by signing a family investment agreement, and
  - Completes 20 hours of work or other approvable PROMISE JOBS activity within 30 days after signing the family investment agreement.

> Mr. F chose a first limited benefit plan two years ago. Mr. F chooses a subsequent limited benefit plan, and his family's FIP is canceled effective December 1, 1999. The entire family remains ineligible for the months of December 1999 through May 2000. After May 31, 2000, ineligibility continues until Mr. F signs a family investment agreement and completes 20 hours of work or other PROMISE JOBS activity.

Any valid limited benefit plan imposed since January 1994 (when the Department began using family investment agreements) counts when determining whether a household is subject to a subsequent limited benefit plan.

A limited benefit plan that is stopped because it was imposed in error is not counted as a valid limited benefit plan. However, a limited benefit plan that is stopped because the client reconsidered and signed a family investment agreement does count as a valid limited benefit plan, even if the client reconsiders before the effective date of the limited benefit plan.

The basic limited benefit plan applies when the limited benefit plan is chosen by:

- The parent on a one-parent case.
- Either parent on a two-parent case.

Identify such a limited benefit plan as "normal." The limited benefit plan is modified for other case situations. (See **Limited Benefit Plan Variations**.)

Note: People who become ineligible for FIP due to the imposition of a limited benefit plan may remain eligible for Food Assistance and Medicaid.

The following sections give more information on:

- Choices resulting in a limited benefit plan
- Attempting to resolve participation issues
- Variations on the limited benefit plan in certain case situations
- The effect of changes in a household during a limited benefit plan
- Reconsidering an active limited benefit plan
- Stopping a limited benefit plan

Choices Resulting in a Limited Benefit Plan

Legal reference: 441 IAC 41.24(8), 93.138(2), 93.138(3)

A participant chooses a limited benefit plan when the participant:

- Does not establish or does no keep an orientation appointment.
- Does not sign the family investment agreement after attending orientation.
- Does not carry out family investment agreement responsibilities after signing a family investment agreement, including a six-month family investment agreement during an exemption due to a hardship.

When circumstances indicate that a person is choosing a limited benefit plan, make efforts to initiate participation and to resolve family investment agreement participation issues. For more information, see **Attempting to Resolve Participation Issues**.

When you decide that the participant has chosen the limited benefit plan in one of these circumstances, refer the case for a review. See **Review of Limited Benefit Plan Recommendation**.

Limited benefit plan provisions also apply when the “adults” in families approved for a hardship exemption fail to carry out the terms of their six-month hardship exemption family investment agreement or fail to amend their hardship exemption family investment agreement when so required. For more information, see **HARDSHIP EXEMPTION**.

When a review of the case concurs that the participant chose the limited benefit plan, make entry into PJCASE to impose the limited benefit plan. As a result of your entry, the DHS ABC system:

- Cancels FIP assistance for the people who are ineligible due to the limited benefit plan,
- Recalculates Food Assistance, and
- Sends a timely *Notice of Decision*, form 470-0486, to the household.

The *Notice of Decision* explains the actions the person who chose the limited benefit plan needs to take to end the limited benefit plan. For a subsequent limited benefit plan, the notice also states the minimum six-month period of ineligibility.

The following sections explain:

- Required actions to attempt to initiate participation and to resolve participation issues
- Requirements for review before imposing a limited benefit plan

Attempting to Resolve Participation Issues

Legal reference: 441 IAC 41.24(8), 93.138(2), 93.138(3)

When circumstances indicate that a person is choosing a limited benefit plan, make efforts to initiate participation and to resolve family investment agreement participation issues. To determine the actions that you must take, consider:

- If the person has attended orientation, and
- If the person has signed a family investment agreement.

The next sections give more information on the circumstances under which a person chooses a limited benefit plan and the actions that you must take to initiate participation and to resolve family investment agreement participation issues. These sections also refer you to other manual references that give more detailed instruction.

When you have determined that a person has chosen a limited benefit plan after you have taken all necessary actions to initiate participation and to resolve participation issues, refer the case for review as described at **Review of Limited Benefit Plan Recommendation**.

Person Does Not Attend Orientation or Does Not Sign FIA

FIP participants whose referral status changes from exempt to mandatory are referred to PROMISE JOBS. They must contact PROMISE JOBS to schedule an appointment for orientation and the writing and signing of a family investment agreement within ten calendar days of the date that a PROMISE JOBS program letter is sent to notify the person that family investment agreement responsibility has begun.

When the person appears to be choosing a limited benefit plan because the person does not schedule an appointment within the ten days, send *Your PROMISE JOBS Reminder*, form 470-3103. Also send form 470-3103 when the person schedules and fails to keep an orientation appointment.

In this situation, send *Your PROMISE JOBS Reminder* to inform the person of the potential consequences of their lack of action. The form explains how a first and subsequent limited benefit plans affect FIP benefits for the family. It also states that the person can discuss the situation with a supervisor if the person is experiencing problems that make keeping an appointment difficult.

Consider the person to have chosen a limited benefit plan if the person:

- Does not schedule an appointment within ten days of the mailing date of form 470-3103, or
- Schedules an appointment but does not keep the appointment, or
- Keeps the scheduled appointment but does not sign a family investment agreement.

See **SERVICE UPON REFERRAL** for more information.

Note: Since there are not many instances where a FIP recipient's referral status changes from exempt to mandatory, the situation where a limited benefit plan is chosen before writing a family investment agreement will be infrequent, such as:

- A child aged 16 or older who is not a parent who stops attending elementary or secondary school or the equivalent level of vocational or technical school on a full-time basis.
- A child who becomes a parent.

Ms. A, her 16-year-old son, and her 10-year-old daughter apply for FIP. Ms. A is referred to PROMISE JOBS and a family investment agreement is written and signed before their approval for FIP. Then the 16-year-old drops out of high school.

The IM worker changes his PROMISE JOBS referral status from exempt to a mandatory participant. The ABC system sends a letter instructing the son to contact PROMISE JOBS within 10 days to schedule his orientation and family investment agreement appointment. He fails to do so. PROMISE JOBS sends a reminder letter giving him a second 10 days to respond. He fails to do so.

Person Signs FIA and Abandons the FIA Responsibilities

When a mandatory PROMISE JOBS participant has signed a family investment agreement and circumstances indicate that the person is choosing a limited benefit plan by abandoning the family investment agreement responsibilities, make every effort to:

- Negotiate for a solution.
- Clarify expectations.
- Identify barriers to participation that should be addressed in the family investment agreement.

A person's signature on a family investment agreement is a written commitment to the activities outlined in the family investment agreement, and an acceptance of the PROMISE JOBS services available for those activities.

FIP participants who choose a limited benefit plan after signing a family investment agreement become ineligible for the PROMISE JOBS services outlined in the family investment agreement, as well as for FIP benefits. For this reason, make strong efforts to ensure that participants:

- Understand the expectations.
- Have not mistakenly or lightly chosen the limited benefit plan.
- Understand the seriousness of the choice of the limited benefit plan.
- Understand the family investment agreement can be renegotiated and amended when family circumstances warrant it.
- Understand that they may involve the PROMISE JOBS supervisor at any time to discuss problems or questions.

Follow the policies under **FIA PARTICIPATION ISSUES** regarding participation issues, problems with participation, and barriers to participation to determine if a person is choosing a limited benefit plan.

To attempt to resolve the participation issue, use written reminders, requests, and letters. Use communication as personal as possible and as detailed as needed to be sure the participant understands which action or inaction is indicating choice of the limited benefit plan and the actions needed to resolve the issue. Include an explanation of the limited benefit plan in your correspondence.

Review of Limited Benefit Plan Recommendation

Legal reference: 441 IAC 93.138(2), 93.138(3)

Before you make an entry to impose a limited benefit plan, an administrative or local review of the case must concur that the client has chosen the limited benefit plan. A review must occur regardless of whether or not the person signed a family investment agreement before choosing the limited benefit plan.

IWD administration staff determine the review procedures that occur before imposing a limited benefit plan.

1. Ms. A's 16-year-old drops out of high school, so IM changes his PROMISE JOBS referral status from exempt to a mandatory participant. On May 15, the ABC system sends a letter instructing the son to contact PROMISE JOBS within ten days to schedule his orientation and family investment agreement appointment.

   He fails to do so. PROMISE JOBS sends a reminder letter giving him a second ten days to respond. He fails to do so. A review of the case concurs that the 16-year-old has chosen a limited benefit plan.

   PROMISE JOBS makes an entry to impose the limited benefit plan. The system sends a *Notice of Decision* notifying Ms. A that her son has chosen a first limited benefit plan effective July 1. He will be ineligible for FIP until he reconsiders and signs a family investment agreement. Ms. A and her other child remain eligible.

2. Mr. B and his child receive FIP. Mr. B has signed a family investment agreement as a mandatory PROMISE JOBS participant. The PROMISE JOBS worker determines that Mr. B is not following the steps of his family investment agreement and attempts to resolve the issue by sending a written reminder letter.

After Mr. B does not respond to the written reminder letter, PROMISE JOBS determines that he has abandoned his family investment agreement. Since Mr. B also chose a limited benefit plan in the previous year, PROMISE JOBS refers the case for an administrative review. The case review agrees that Mr. B has abandoned his family investment agreement.

On June 7, local PROMISE JOBS receives approval and makes an entry to impose the second limited benefit plan. The system cancels FIP and sends a *Notice of Decision* informing Mr. B that he has chosen a second limited benefit plan effective July 1.

The review process is not intended to discourage you from imposing a limited benefit plan when it is warranted. The purpose of the review process is to:

- Protect clients by providing an opportunity for another person to review the circumstances to ascertain that there is no further action PROMISE JOBS can take to encourage participation.
- Monitor the kinds of circumstances under which clients choose a limited benefit plan.
- Ensure that policy is being used equitably throughout the state in a reasonable and prudent manner.

When the written response agrees with your determination that the client has chosen the limited benefit plan, make the system entries that will establish the limited benefit plan and initiate the *Notice of Decision*.

Limited Benefit Plan Variations

Legal reference: 441 IAC 41.24(8), 93.109(1)

The limited benefit plan is applied differently in certain households that include:

- Children who are mandatory PROMISE JOBS participants
- Both a minor parent and an adult parent
- Stepparents or needy relatives
- A needy specified relative who chose a limited benefit plan October 1, 2005, or earlier
- Two parents
- Families that are granted a hardship exemption

Children Who Are Mandatory PROMISE JOBS Participants

Legal reference: 441 IAC 41.24(8)"b," 93.109(1)"e" and "f"

Children who are mandatory PROMISE JOBS participants are asked to sign and carry out the activities of the family investment agreement. They do not have a separate family investment agreement, unless they have children of their own or their parents are exempt from participation. Require each mandatory child in a household where the parent is exempt to sign an individual family investment agreement.

If a child who is a mandatory PROMISE JOBS participant chooses a limited benefit plan, make entry to impose an **individual** limited benefit plan.

- For a **first** limited benefit plan the system will remove the needs of the child. The child is not eligible until the child reconsiders by signing a family investment agreement.
- For a **second or subsequent** limited benefit plan, the system will remove the needs of the child for the next six months and thereafter until the child reconsiders by signing a family investment agreement and completing 20 hours of work or other approvable PROMISE JOBS activity.

If the mandatory participant who chooses the limited benefit plan is the **only child** in the home, the parent's or needy relative's FIP eligibility ends on the date the child's limited benefit plan goes into effect. This is because there is no longer any eligible child in the household. IM will cancel the FIP case effective the date the child's limited benefit plan begins. Example:

> Ms. A and her 16-year-old son apply for FIP. Ms. A is a mandatory referral to PROMISE JOBS. The 16-year-old is not mandatory because he is attending high school full time. Ms. A completes a family investment agreement and she and her son are approved for FIP.
>
> The 16-year-old drops out of high school, so he becomes mandatory to participate with the PROMISE JOBS program. The IM worker changes his referral code from exempt to mandatory to refer the 16-year-old to PROMISE JOBS, as Ms. A and her son must sign a joint family investment agreement.

PROMISE JOBS receives no response from the system generated letter informing the family that the son has been referred to the PROMISE JOBS program as a mandatory participant and that he has ten days to contact PROMISE JOBS to schedule orientation and write and sign a family investment agreement. The PROMISE JOBS worker then sends *Your PROMISE JOBS Reminder*, informing family that the son needs to comply and the consequences for lack of action.

The son chooses the limited benefit plan. The IM worker cancels FIP for Ms. A effective the first month of her son's limited benefit plan, because there is no longer an eligible child in the home.

Minor Parents Living with FIP Parent or Needy Specified Relative

Legal reference: 441 IAC 41.24(8)"c," 93.109(1)"d"

When a minor parent is living with a FIP parent or needy specified relative, each is responsible for a separate family investment agreement. Each parent is expected to accept responsibility for the self-sufficiency of that parent's family.

If the adult parent chooses the limited benefit plan, make an entry to impose a **normal** limited benefit plan on the entire eligible group. When the adult's case is canceled effective with the first month of the limited benefit plan, the minor parent can reapply for FIP as a minor parent living with self-supporting parents and then continue the family investment agreement process.

If a needy specified relative (who is not a parent) chooses the limited benefit plan effective November 1, 2005, or later, the limited benefit plan applies only to the relative. Make an entry to impose an **individual** limited benefit plan.

The limited benefit plan applies to the entire eligible group when the limited benefit plan is effective October 1, 2005, or earlier. See **Stepparent or Needy Specified Relative** and **Needy Specified Relative Chooses Effective October 1, 2005, or Earlier** for more information.

When the minor parent chooses the limited benefit plan, make an entry to impose a **partial** limited benefit plan on the minor parent and the minor parent's children.

When the minor parent is the only eligible child in the home and the minor parent chooses the limited benefit plan, the FIP eligibility of the parent or needy specified relative ends on the date the minor parent's limited benefit plan goes into effect. This is because the parent or needy specified relative no longer has an eligible child.

1. The FIP case consists of Mrs. A, her 17-year-old daughter, Ms. Z, and Ms. Z's child. Both Mrs. A and Ms. Z are mandatory PROMISE JOBS participants. Each signed her own family investment agreement before FIP was approved.

   If Mrs. A chooses a limited benefit plan, it makes the entire household ineligible, even though Ms. Z has signed her own family investment agreement. Ms. Z has the option of applying for her own FIP case for herself and her child, as a minor parent living with a self-supporting parent.

2. Mrs. A from Example 1 cooperates in her family investment agreement, but Ms. Z chooses a first limited benefit plan, so a partial limited benefit plan is imposed effective June 1.

   The limited benefit plan makes Ms. Z and her child ineligible. Although it does not apply to Mrs. A, she is ineligible for FIP effective June 1, because she no longer has an eligible child. The IM worker cancels the entire case effective June 1.

Stepparent or Needy Specified Relative

Legal reference: 441 IAC 41.24(8)"b," 93.109(1)"b"

If one of the following people chooses a limited benefit plan, the limited benefit plan makes only the responsible person ineligible for FIP:

- An incapacitated stepparent.
- A needy specified relative who is not a parent.

Make entry to impose an **individual** limited benefit plan in this situation. For a **first** limited benefit plan, the responsible person remains ineligible until the person reconsiders the limited benefit plan by signing a family investment agreement.

For a second or subsequent limited benefit plan, the responsible person remains ineligible for the next six-months, and thereafter until the person reconsiders the limited benefit plan by signing a family investment agreement and completing 20 hours of work or other approvable PROMISE JOBS activity.

Note: A limited benefit plan chosen and effective October 1, 2005, or earlier applies to the entire eligible group when chosen by a needy specified relative who assumed the role of parent. See the **Needy Specified Relative Chooses Effective October 1, 2005, or Earlier** for procedures on this situation. Examples:

1. The FIP household consists of Ms. B and her two grandchildren. Ms. B is included in the grant as a needy specified relative who has assumed the role of parent, since the children's parents are not in the home.

   Ms. B is a mandatory PROMISE JOBS participant. Ms. B has chosen a limited benefit plan before. She chooses a subsequent limited benefit plan effective November 1, 2005.

   Ms. B's needs are removed from the grant effective Novermber 1. She is ineligible for FIP for a minimum six-month perod. When the six-month period ends, Ms. B remains ineligible until she reconsiders by signing a family investment agreement and completing 20 hours of PROMISE JOBS activity. The grandchildren remain eligible as long as other eligibility requirements are met.

2. The FIP household consists of Ms. A, her children, and her mother, Mrs. Z. Ms. A is disabled to the extent that she is unable to act as payee for her own case. Her mother is on the grant as a needy specified relative acting as payee when the parent is unable to do so.

   Mrs. Z is a mandatory PROMISE JOBS participant. She chooses a first limited benefit plan and receives a notice that her limited benefit plan will be effective June 1. Mrs. Z's needs are removed from the grant effective June 1, and she remains ineligible until she reconsiders and signs a family investment agreement.

   The rest of the household remains eligible, as long as all other eligibility requirements are met.

Needy Specified Relative Chooses Effective October 1, 2005, or Earlier

Legal reference: 441 IAC 41.24(8)"b," 93.109(1)"b"

This section applies to a needy specified relative who assumes the role of parent as there is no parent in the home and who chose an active limited benefit plan effective October 1, 2005, or earlier. See **Stepparent or Needy Specified Relative** for the effect of a limited benefit plan in other needy specified relative situations.

A limited benefit plan applies to the entire eligible group when it:

- Is chosen by a needy specified relative who assumes the role of parent as there is no parent in the home; and
- Is effective October 1, 2005, or earlier.

PROMISE JOBS made an entry to start a **normal** limited benefit plan under former policy for this situation.

If the needy specified relative who assumes the role of parent has chosen a **first** limited benefit plan effective October 1, 2005, or earlier, FIP remains canceled until the relative either:

- Reconsiders the limited benefit plan by signing a family investment agreement, or
- Reapplies for the needs of the children only.

If the needy specified relative who assumes the role of parent has chosen a **subsequent** limited benefit plan effective October 1, 2005, or earlier, FIP remains canceled for a minimum of six months. When the six-month period of ineligibility ends, FIP remains canceled until the needy specified relative either:

- Reconsiders the limited benefit plan by signing a family investment agreement and completing 20 hours of PROMISE JOBS activity; or
- Reapplies for the needs of the children only.

See **Reconsidering an Active Limited Benefit Plan** for procedures to use if the relative reapplies as a needy specified relative.

IM uses the following procedures if the needy specified relative reapplies for the children only:

- When the limited benefit plan is a first limited benefit plan or is a subsequent limited benefit plan beyond the six-month period of ineligibility:
  - The IM worker temporarily stops the limited benefit plan by entering reason "W" in PJCase and determines FIP eligibility for the children. See **Stopping a Limited Benefit Plan** for more information.

    If the limited benefit plan is not temporarily stopped while the relative receives FIP for the children, the ETS system will incorrectly count the months of FIP towards the relative's 60-month limit.

- If the needy specified relative later reapplies to be included in the eligible group, the relative must take the needed action to reconsider the limited benefit plan. The IM worker reactivates the limited benefit plan in PJCase, takes the steps to schedule a family investment agreement appointment, and refers the relative to PROMISE JOBS.
- If the relative reconsiders the limited benefit plan, PROMISE JOBS stops the limited benefit plan by entering reason "R" in PJCase.
- If the relative fails to complete the reconsideration process, the IM worker denies the application to include the relative in the FIP household and stops the limited benefit plan again by entering reason "W" in PJCase.

♦ When the limited benefit plan is a subsequent limited benefit plan within the six-month period of ineligibility, IM will deny the application unless:

- The application is filed in month six; and
- There is an available family investment agreement appointment after the six-month period and within the 30-day period for processing the application.

Two-Parent Households

Legal reference: 441 IAC 41.24(8)"b," 93.109(1)"a"

Where both parents on the grant are mandatory participants, both must sign the family investment agreement before FIP is approved. When one parent is exempt, only the mandatory parent must sign a family investment agreement.

If one parent chooses a limited benefit plan, the limited benefit plan makes the entire household ineligible, even when the other parent is exempt. The other parent cannot end the limited benefit plan by participating.

For a **first** limited benefit plan when both parents are mandatory PROMISE JOBS participants, ineligibility continues until both parents reconsider and sign a family investment agreement. If one parent is exempt, only the mandatory parent must sign a family investment agreement to end the limited benefit plan.

A **subsequent** limited benefit plan applies when one parent chooses a limited benefit plan and either that parent OR the other parent in the home previously chose a limited benefit plan that is no longer in effect. (Any limited benefit plan imposed since January 1994 counts as a valid limited benefit plan.)

For a **subsequent** limited benefit plan when **both** parents are mandatory PROMISE JOBS participants, ineligibility continues for a minimum of six months and thereafter until both parents reconsider the limited benefit plan.

To reconsider, each parent must sign a family investment agreement and complete 20 hours of work or other approvable PROMISE JOBS activity. Only mandatory persons must complete the reconsideration actions to end the limited benefit plan.

If a household consists of two parents and at least one common child on FIP, a limited benefit plan chosen by either parent makes the entire household ineligible. Make an entry to impose a **normal** limited benefit plan in this situation, regardless of the other parent's status with PROMISE JOBS.

If the parents separate and only one parent chose a **normal** limited benefit plan, the limited benefit plan follows the parent who chose it and applies to any children in the home of that parent. The IM worker makes entry in PJCase to stop the limited benefit plan for the parent and children who no longer live with the parent who chose the LBP. See **Stopping a Limited Benefit Plan** for more information.

If a parent of children on FIP enters the home, and the parent chose a limited benefit plan that is still in effect, the existing FIP household becomes ineligible for FIP effective the first of the next month. The IM worker uses PJCase to

- Add the parent and children on FIP to the limited benefit plan of the parent entering the home, or
- Reactivate the returning parent's limited benefit plan for the parent and children on FIP.

If a household consists of two parents but the common children are not eligible for FIP, and one parent chooses a limited benefit plan, the limited benefit plan applies only to that parent and that parent's children. Make an entry to impose a **partial** limited benefit plan in this situation.

If a household consists of a husband and wife who each have children but have no common children in the eligible group, and one parent chooses a limited benefit plan, the limited benefit plan applies only to that parent and that parent's children. Make entry to impose a **partial** limited benefit plan in this situation.

1. Mr. and Mrs. A and one child apply for FIP on March 15. The IM worker refers both Mr. and Mrs. A to PROMISE JOBS as mandatory participants. Both sign a joint family investment agreement and are approved for FIP on March 30.

   Mr. A chooses a first limited benefit plan beginning June 1. Mr. A's limited benefit plan makes the entire family ineligible effective June 1. Ineligibility continues until Mr. and Mrs. A reapply for FIP and each reconsider the limited benefit plan by signing a family investment agreement.

2. Same as Example 1, except that Mrs. A receives SSI and is exempt from participation. Mr. A, the only mandatory participant, chooses a first limited benefit plan beginning June 1. The limited benefit plan makes the entire family ineligible effective June 1. Ineligibility continues until Mr. A reconsiders by signing a family investment agreement.

3. Same as Example 1, except that Mrs. A has previously chosen a limited benefit plan that ended before this application. Therefore, Mr. A's limited benefit plan is the second limited benefit plan chosen by a parent in this household.

   The limited benefit plan makes the entire family ineligible effective June 1. The family remains ineligible for the months of June through November. After November 30, ineligibility continues until Mr. and Mrs. A each reconsider by signing a family investment agreement and completing 20 hours of work or other approvable PROMISE JOBS activity.

4. Mr. F and Ms. G receive FIP for three children: his child, her child, and a common child. They have a joint family investment agreement. Mr. F abandons his family investment agreement steps and chooses a first limited benefit plan effective May 1.

   Although Ms. G is meeting the steps of her family investment agreement, the limited benefit plan makes the entire family ineligible, including Ms. G's child, effective May 1. Ineligibility continues until Mr. F and Ms. G each reconsider by signing a family investment agreement.

5. Mr. and Mrs. E receive FIP for his child and her child. They have a common child who receives SSI and therefore is not in the FIP eligible group. Mr. E is meeting his family investment agreement steps. Mrs. E abandons her steps and chooses a first limited benefit plan beginning April 1.

   The limited benefit plan makes Mrs. E and her child ineligible effective April 1. Ineligibility continues until Mrs. E reconsiders and signs another family investment agreement. Mr. E and his child remain eligible as long as all other eligibility requirements are met.

6. Mrs. B, her child, Mr. B (her husband), and his child receive FIP on one case. (There are no common children.) Both parents are mandatory PROMISE JOBS participants and both have signed a joint family investment agreement.

   Mr. B chooses a first limited benefit plan beginning July 1. The limited benefit plan makes Mr. B and his child ineligible effective July 1. Ineligibility continues until Mr. B reconsiders by signing a family investment agreement.

7. Mr. and Mrs. C and their two common children are ineligible for FIP, as Mr. C chose a first limited benefit plan effective April 1. On May 20, Mr. C and one child leave the home.

   The IM worker makes entry in PJCase to stop Mr. C's limited benefit plan for Mrs. C and the child who lives with her. Ineligibility continues for Mr. C and the child who lives with him until he reconsiders by signing a family investment agreement.

8. Mrs. D receives FIP for her three children and has a family investment agreement. On June 15, Mr. D, the children's father, moves into the home. Mr. D chose a first limited benefit plan effective April 1 before he left the home.

   Mrs. D and her children become ineligible for FIP beginning July 1. Ineligibility continues until both Mr. and Mrs. D reconsider the limited benefit plan by signing a family investment agreement. (PROMISE JOBS may determine that Mrs. D only needs to re-sign her existing family investment agreement if her action steps still apply.)

Families Granted a Hardship Exemption

Legal reference: 441 IAC 41.30(3)"e"

Families that have received FIP for 60 months and are requesting a hardship exemption must develop and sign a six-month family investment agreement as a condition for being granted the exemption. Failure to develop or sign the special six-month family investment agreement results in denial of the family's hardship exemption request rather than a limited benefit plan.

A family that has been granted a hardship exemption and does not follow the terms of its six-month family investment agreement or that fails to amend the family investment agreement when necessary will have chosen a limited benefit plan.

When families choose a first limited benefit plan during the hardship exemption period and take appropriate reconsideration action before the effective date of the FIP cancellation, FIP must be reinstated and the hardship exemption resumed for the remainder of the six-month period.

> Family A's six-month hardship exemption period is from July through December. Mr. A fails to follow the terms of his family investment agreement, and a limited benefit plan results. A *Notice of Decision* is sent canceling FIP effective August 1 because of the limited benefit plan.
>
> This is Mr. A's first limited benefit plan. If Mr. A takes necessary reconsideration action before August 1, his FIP case is reinstated and may continue for the remainder of the six-month hardship exemption period.
>
> If Mr. A does not reconsider the limited benefit plan before August 1, FIP remains canceled. A new application is required to regain FIP eligibility. If the family's FIP eligibility continues to depend upon receiving a hardship exemption, the family must submit a new form 470-3826, *Request for FIP Beyond 60 Months.* A new hardship exemption determination is required before the FIP approval.

Families that choose a subsequent limited benefit plan during the hardship exemption period are ineligible for FIP for a minimum of six months, the same as in other FIP situations. They are not allowed to reconsider during the six-month period of ineligibility. FIP must be canceled for the remainder of the exemption period.

FIP eligibility cannot be regained until the limited benefit plan period of ineligibility has ended and the family meets all other requirements. A new application is required. Families whose FIP eligibility depends upon receiving a hardship exemption must also submit a new form 470-3826, *Request for FIP Beyond 60 Months*. A new hardship determination is required before FIP approval.

Family B's six-month exemption period is from July through December. Mrs. B fails to follow the terms of the family investment agreement, and a limited benefit plan results. This is Mrs. B's second limited benefit plan. A *Notice of Decision* is sent canceling FIP effective August 1 because of the limited benefit plan.

The family cannot regain FIP eligibility until the six-month limited benefit plan ineligibility period is over and the family meets all other requirements. A new application is required.

If the family's FIP eligibility continues to depend on receiving a hardship exemption, the family must also submit a new form 470-3826, *Request for FIP Beyond 60 Months.* A new hardship exemption determination is required before the FIP approval.

See **Limited Benefit Plan During a Hardship Exemption**, for more information.

Changes in the Household During the Limited Benefit Plan

Legal reference: 441 IAC 41.24(8), 93.109(1)

The conditions of the limited benefit plan apply to all members of the household except those indicated under **Limited Benefit Plan Variations**.

New members who enter the household during the limited benefit plan period are also subject to the conditions of the limited benefit plan. When new members enter the household after the limited benefit plan is imposed, IM will add the new member to the limited benefit plan in PJCASE.

If children in a case under a limited benefit plan chosen by a parent move to another household and meet all other eligibility factors, the children are eligible for FIP in the new household.

If a parent on a parental FIP case subject to a limited benefit plan applies for a separate nonparental caretaker case, the limited benefit plan is not in effect for the children on the nonparental caretaker case.

Examples:

1. Ms. A chooses a first limited benefit plan. The system sends a *Notice of Decision* to explain that FIP for Ms. A and her children is canceled effective July 1. On June 7, Ms. A's 15-year-old son moves into the home. The IM worker adds him to the limited benefit plan in PJCASE. The limited benefit plan applies to him in the same manner as the other household members.

2. Ms. B chooses a subsequent limited benefit plan and is in the six-month period of ineligibility when her nephew moves into the home. She applies for a nonparental caretaker case for his needs only. He meets all eligibility requirements and is approved with Ms. B as payee. Her limited benefit plan does not affect her nephew's assistance.

3. Ms. C chooses a limited benefit plan for herself and her son. During the period of ineligibility, her son leaves her home and moves in with his grandparents. If all other eligibility factors are met, the grandparents can apply for and receive FIP assistance for the child.

Reconsidering an Active Limited Benefit Plan

Legal reference: 441 IAC 41.24(8), 93.138(2), 93.138(3)

A limited benefit plan is considered imposed as of the date of the *Notice of Decision*.

A person who chooses a **first** limited benefit plan may begin the reconsideration process any time from the date of the *Notice of Decision* imposing the limited benefit plan. Once the *Notice of Decision* is issued to impose a subsequent limited benefit plan, the limited benefit plan cannot be reconsidered until the six-month period of ineligibility has expired.

When the six-month period of a **subsequent** limited benefit plan ends, the person who chose the limited benefit plan may reconsider by:

- Signing a family investment agreement, and
- Completing 20 hours of work or other approvable PROMISE JOBS activity (other than work experience or unpaid community service).

If the household files an application, IM will make entry to refer the person who chose the limited benefit plan to you no later than the date of the application interview. IM will explain the actions the person must take with PROMISE JOBS before the person and the person's family can receive FIP again.

If a household in a **subsequent** limited benefit plan files an application for FIP within the six-month period of ineligibility, IM will deny the application, unless:

- The household files the application in the last month of the period, and
- It is reasonable that the person who chose the limited benefit plan can sign a family investment agreement within the 30-day time limit for processing the application.

Do not allow a person in a **subsequent** limited benefit plan to attend orientation or assessment activities or to sign a family investment agreement during the six-month period of ineligibility. Begin counting the 20 hours of activity no earlier than the first day of the month after the six-month period ends. You may take steps to schedule the activity before the end of the six-month period, as long as the actual activity does not begin before then.

The following sections give more information on:

- Signing the family investment agreement.
- Required activities to end a subsequent limited benefit plan.
- Conclusions of the reconsideration process.
- FIP effective date following a limited benefit plan.

Signing the Family Investment Agreement

When developing the family investment agreement, follow the policy under **Family Investment Agreement Contents**, except as described in this section. Before you and the participant sign the family investment agreement, make every effort to complete enough assessment to establish an ending date for the agreement with clear and specific goals and the steps that will be needed to reach self-sufficiency.

The date the person signs the family investment agreement is the date the IM worker will use to determine the effective date of FIP.

When additional assessment is needed, such as Assessment II, write the family investment agreement to include the additional assessment as action steps so that you can secure the person's signature and sign the family investment agreement to establish the person's FIP eligibility date. For a **first** limited benefit plan, stop the limited benefit plan as described at **Conclusion of the Reconsideration Process**.

If modifications are needed after further assessment, you and the client must sign and date the modified family investment agreement again. This applies in situations such as when FaDSS enrollment is appropriate for the person, and you need to involve the FaDSS provider in the assessment of the individual.

See **Conclusion of the Reconsideration Process** for more information. When the household contains two parents, refer to **Two-Parent Households** for additional information. See the next section for additional participation requirements for persons wanting to end a **subsequent** limited benefit plan.

Required Activity to End a Subsequent Limited Benefit Plan

When the six-month ineligibility period of a **subsequent** limited benefit plan ends, and the person who chose the limited benefit plan wants to reconsider the limited benefit plan, the person must:

- Sign a family investment agreement, and
- Complete 20 hours of work or other approvable PROMISE JOBS activity within 30 days from the date the family investment agreement is signed.

When such a person contacts you to reconsider, refer the person to IM to reapply and begin the reconsideration process as described in the previous section.

When negotiating the family investment agreement, determine the activity to be completed to end the limited benefit plan through discussion with the person wanting to reconsider. Consider the person and the individual family circumstances when arriving at the activity or component.

The person may choose work or any other PROMISE JOBS activity, other than the work experience or unpaid community service components. People may use a combination of approvable activities to meet the 20-hour requirement.

Note: Due to the Fair Labor Standards Act, you cannot ask a person to participate in work experience or unpaid community service activities unless the person is receiving FIP benefits.

If your area has a FaDSS provider, the person may use FaDSS enrollment and participation to meet the 20-hour requirement when the person or family meets the characteristics served by the provider. Use FaDSS independently or in combination with other approvable activities, depending on the person's specific circumstances.

When the person has problems or barriers to participation, you can reduce or eliminate the 20-hour requirement, or extend the time for completion. This applies when problems or barriers occur or are revealed after the family investment agreement is negotiated as well. See **Problems With Participation** and **Barriers to Participation** for more information.

In addition to the requirements described at **Family Investment Agreement Contents**, the family investment agreement must:

- Identify the activity the person agrees to participate in.
- Specify that the person must complete 20 hours of the activity to get FIP again, or specify fewer hours, when appropriate.
- State the specific date that the hours of activity must be completed by (the 30th day from the date the family investment agreement is signed, unless you extend the date because of problems or barriers).
- Specify the supportive services that PROMISE JOBS will provide.
- Specify the documentation and reporting expectations for completion of the 20 hours of activity.

Issue allowances for the expenses of child care and transportation, and other expenses, when:

- Needed to meet the 20-hour requirement, and
- Other policies allow issuance of the allowance.

Regularly monitor and track the person's progress towards completion of the 20 hours of activity. When a person completes the 20 hours, stop the limited benefit plan by making entry into PJCase. This entry sends an E-mail to inform the IM worker that the worker can continue with determining FIP eligibility.

When the 30th day after the date the family investment agreement is signed arrives, review progress, and determine if the person:

- Is making every effort to meet the requirement. Extend the time limit if the delay in completion is due to problems or barriers to participation and continue to work with the person.
- Abandoned the reconsideration attempt.

See the next section for the actions to take when a person either completes the activity, or abandons the reconsideration attempt.

Conclusion of the Reconsideration Process

The reconsideration process ends when you determine that the person who chose the limited benefit plan either:

- Completed the required reconsideration actions, or
- Abandoned the reconsideration attempt.

When the household has a pending application, the IM worker will consider the application pending until notified by you that the reconsideration process has ended. This is true even if the time necessary to complete the reconsideration process extends beyond the normal 30-day application processing period.

Regardless of how the reconsideration process concludes, a *Notice of Decision* must be sent to the household. Entry into PJCase notifies the IM worker when you determine the reconsideration process has ended.

If the person completes the required reconsideration actions, make an entry in PJCase to stop the limited benefit plan. Processing of this entry:

- Removes limited benefit plan coding from ABC,
- Issues a *Notice of Decision* to inform the family that the limited benefit plan has ended, and
- Sends an E-mail to the IM worker.

When you have stopped the limited benefit plan, the IM worker will determine eligibility and issue another *Notice of Decision* to the family.

If you determine that the person has abandoned the reconsideration attempt, notify the IM worker through entry in PJCase. Processing of this entry:

- Removes the applicant JOBS code and pending reconsideration date from the systems.
- Sends an E-mail to the IM worker.
- Denies the application in ABC and sends a *Notice of Decision* to the family when the person is a FIP parent. Otherwise, the IM worker must make entry in ABC to deny the FIP application and to generate the notice.

Consider that the participant has abandoned the reconsideration attempt and contact the IM worker when:

- The person does not respond to your contact to begin the reconsideration process.
- You do not hear from the participant via telephone, in writing, or in-person contact.
- The person does not appear for an appointment and does not reschedule or contact you with a justifiable reason.
- A person in a subsequent limited benefit plan does not complete the 20 hours in the 30 days after the family investment agreement is signed and does not contact you with a justifiable reason.
- A person in a subsequent limited benefit plan does not document completion of the 20 hours of activity in the 30 days after the family investment agreement is signed and does not contact you with a justifiable reason.

FIP Effective Date Following a Limited Benefit Plan

The effective date of FIP eligibility following a limited benefit plan is the date the family investment agreement is signed or the date the family or individual is otherwise eligible.

When the family or individual is otherwise eligible, the IM worker will determine the effective date of eligibility following a **first** limited benefit plan as follows:

- If the family investment agreement is signed before the effective date of the limited benefit plan, IM will reinstate FIP as of the effective date.
- If the family investment agreement is signed on or after the effective date of the limited benefit plan, and FIP was canceled for the entire family, IM will approve FIP effective the date the family investment agreement is signed, or seven days from the application date, whichever date is later.
- When adding a person excluded due to a limited benefit plan to an active FIP case, the effective date is seven days from the date the family investment agreement is signed.

When a family is otherwise eligible following a **subsequent** limited benefit plan, the IM worker will approve FIP effective with the latest of the following dates:

- The date the family investment agreement is signed, or
- Seven days from the application date.

Note: The effective date cannot be before the first day after the six month period of ineligibility ends.

When adding a person excluded due to a subsequent limited benefit plan to an active FIP case, the effective date is the later of:

- Seven days from the date the family investment agreement is signed; or
- The first day after the six-month period of ineligibility expires.

Stopping a Limited Benefit Plan

Legal reference: 441 IAC 41.24(239B), 93.138(2), 93.138(3)

A limited benefit plan ends when the client reconsiders as described at **Reconsidering an Active Limited Benefit Plan**. Any limited benefit plan can be stopped when it was imposed in error. When a limited benefit plan is stopped because it was imposed in error, it is not considered a valid limited benefit plan.

Stopping a limited benefit plan is the responsibility of either the IM worker or the PROMISE JOBS worker, depending upon the situation. You are responsible for stopping the limited benefit plan when:

- You discover you have imposed the limited benefit plan due to PROMISE JOBS error.
- The client reconsiders and signs the family investment agreement. (See **Reconsidering an Active Limited Benefit Plan** for actions required of you and the IM worker when you end a limited benefit plan because the family investment agreement is signed.)

Consider a limited benefit plan to be imposed due to PROMISE JOBS error when you find that proper policy or procedure was not followed in actions such as (but not limited to):

- Scheduling the person for a meeting or activity, when the person's failure to participate in the meeting or activity led to the imposition of the limited benefit plan.
- Requesting information, when the participant's failure to provide the information led to the imposition of the limited benefit plan.
- Notifying the person in writing of the participation issue that led to the imposition of the limited benefit plan.
- Attempting to resolve a participation issue, including failure to submit the case for a required review before making entry to start the limited benefit plan.

Also, consider a limited benefit plan to be imposed due to PROMISE JOBS error when:

- You find that the person did not receive written correspondence about to the participation issue that led to the imposition of the limited benefit plan, as the correspondence was returned to you.
- The person provides verification that the person moved out of state or requested FIP cancellation before the date you decided that the person chose the limited benefit plan.

To stop a limited benefit plan imposed due to PROMISE JOBS error, make an entry in PJCase. Your entry causes the system to send a *Notice of Decision* to inform the household the limited benefit plan is ended and sends an e-mail to alert the IM worker to determine eligibility for corrective benefits.

The following chart is provided for PROMISE JOBS reference to summarize when the IM worker is responsible for stopping the limited benefit plan and taking appropriate action.

Situation:	**IM worker action:**
A timely appeal is filed.	Stop the limited benefit plan and issue a *Notice of Decision* by entering reason "A" in PJCase. Reinstate FIP. See Appealing a Limited Benefit Plan. If the final appeal decision affirms the Department's action, restart the limited benefit plan in PJCase. See When the Final Decision Affirms the Limited Benefit Plan.
A child in a limited benefit plan chosen by a parent leaves the household. Or, a child leaves the household of a needy specified relative who chose a limited benefit plan effective October 1, 2005, or earlier. Variations:	Stop the limited benefit plan for that child by entering reason "B" in PJCase. (The limited benefit plan remains in place for the parent or specified relative who chose it and any members of the eligible group who remain with that parent or specified relative.) See Changes in the Household During the Limited Benefit Plan.
♦ A minor parent and child leave the adult parent's or needy specified relative's home and become eligible on another case.	Stop the limited benefit plan for the minor parent and the minor parent's child by entering reason "B" in PJCase. See Minor Parents Living with FIP Parent or Needy Specified Relative.
♦ A minor parent turns 18 (or completes high school if between the ages of 18 and 19) and applies for a separate case.	Stop the limited benefit plan for the minor parent and the minor parent's child by entering reason "B" in PJCase. (The minor parent is no longer considered a child, so the adult parent's or needy specified relative's limited benefit plan no longer applies.) See Minor Parents Living with FIP Parent or Needy Specified Relative.
♦ A minor parent and child are canceled effective month one of the adult's limited benefit plan, and the minor parent applies for a separate FIP case as a minor parent living in the home of a self-supporting parent.	Stop the limited benefit plan for the minor parent and the minor parent's child by entering reason "B" in PJCase. See Minor Parents Living with FIP Parent or Needy Specified Relative.

Situation:	**IM worker action:**
The person was referred to PROMISE JOBS in error for one of the following reasons:	See **Who Is Exempt From PROMISE JOBS Participation**.
♦ Exempt due to alien status.	Stop the limited benefit plan and issue a *Notice of Decision* by entering reason "C" in PJCase. Redetermine eligibility.
♦ Exempt due to the receipt of SSI or school attendance at the time the *Notice of Decision* was issued imposing the limited benefit plan and the person timely reported and verified the receipt of SSI or change in school attendance status.	Stop the limited benefit plan and issue a *Notice of Decision* by entering reason "C" in PJCase. Redetermine eligibility.
♦ Exempt due to the receipt of SSI or school attendance at the time the *Notice of Decision* was issued imposing the limited benefit plan **but** the person had not reported or had not verified the receipt of SSI or the change in school attendance.	Stop the limited benefit plan and issue a *Notice of Decision* by entering reason "C" in PJCase. Redetermine eligibility. If the receipt of SSI or change in school attendance is not reported and verified until after the effective date of the limited benefit plan, do not issue corrective benefits.
The parent in a two-parent household who chose the limited benefit plan leaves the household, and the other parent did not choose the limited benefit plan.	Stop the limited benefit plan for the remaining parent and any children living with the parent and issue a *Notice of Decision* by entering reason "D" in PJCase. See **Two-Parent Households**. When the parent who chose the limited benefit plan leaves before the effective date of the limited benefit plan, reinstate FIP for the remaining household members, if otherwise eligible. When the parent who chose the limited benefit plan leaves on or after the effective date of the limited benefit plan, the remaining household members must reapply to receive FIP. The limited benefit plan remains on the parent who chose it and any children living with that parent. If the parent choosing the limited benefit plan rejoins the household and the limited benefit plan is still in effect, restart the limited benefit plan for the rest of the household using PJCase.

Situation:	**IM worker action:**
The limited benefit plan must be stopped but no other stop reason applies, such as:	
♦ The person who chose the limited benefit plan became exempt due to the receipt of SSI after the *Notice of Decision* imposing it was issued and remains exempt.	For a first limited benefit plan or a subsequent limited benefit plan that is beyond the 6-month period of ineligibility, stop the limited benefit plan by entering reason "W" in PJCase. Redetermine eligibility. Do not issue corrective benefits. Continue a subsequent limited benefit plan when the six-month period is in effect.
♦ A needy specified relative chose a limited benefit plan effective October 1, 2005, or earlier and applies for the needs of the children only.	For a first limited benefit plan, or a subsequent limited benefit plan that is beyond the six-month period of ineligibility, stop the limited benefit plan by entering reason "W" in PJCase. Determine eligibility for the children only. Consider the limited benefit plan as temporarily stopped. Reactivate it if the relative is needy and reapplies for the specified relative's own needs. Do not stop the limited benefit plan for the children with reasons "B" or "D" unless they no longer live with the relative, because ETS will not properly count the relative's use of the 60-month limit. Continue a subsequent limited benefit plan when the six-month period is in effect.
♦ The limited benefit plan needs to remain active for the person who chose it, but does not apply to other persons included in the limited benefit plan, and neither reason "B" nor "D" apply.	Stop the limited benefit plan for the other person(s) by entering reason "I" in PJCase. Determine eligibility if needed. Situations for using reason "I": • PJCase incorrectly includes a person who was not a child or parent in the FIP eligible group when the limited benefit plan was chosen. • A household appeals FIP cancellation after being added to the limited benefit plan of a person who entered the home after the plan is in effect for the person who chose it. In this situation, the limited benefit plan must remain active for the person who chose it and stopped for the recently canceled person.

HARDSHIP EXEMPTION

Legal reference: 45 CFR 264.1; 441 IAC 41.30(3)

The goal of the Family Investment Program is that families become self-sufficient within the 60-month lifetime limit required by federal law. However, recognizing that this goal is not attainable for all families, FIP assistance may be provided beyond 60 months to families in hardship conditions. This is called a "hardship exemption." "Hardship" is defined as a circumstance that is preventing the family from being self-supporting.

A hardship exemption is not intended as an automatic extension of the 60-month limit, but is intended for families that are faced with barriers that are beyond their control and affect their ability to become self-sufficient. For families in this situation, the family's safety takes precedence over the goal of self-sufficiency.

Requests for a hardship exemption must be made on form 470-3826, *Request for FIP Beyond 60 Months*. The IM worker will issue this form as early as month 58 in a family's 60-month lifetime FIP limit or upon the family's request. Families no longer on FIP that have received FIP for 60 months must complete a *Public Assistance Application* as a condition for regaining FIP eligibility.

The hardship exemption eligibility determination is a two-step process:

- Based on supporting evidence, the local IM worker determines whether the family has a hardship condition that affects its ability to be self-supporting.
- If the IM worker determines that the family meets hardship criteria, the adults in the family must meet with PROMISE JOBS to develop and sign a six-month family investment agreement that addresses the family's documented hardship condition.

The family has to meet both steps before the hardship exemption request can be granted. Federal regulations require that a hardship exemption must not begin until the adult in the family has received FIP for at least 60 months. A hardship exemption is limited to six consecutive calendar months.

The IM worker must make the hardship exemption determination as soon as possible but no later than 30 days after the date a valid *Request for FIP Beyond 60 Months*, is received in any DHS or PROMISE JOBS office. Therefore, good and thorough communication between you and the IM worker is imperative.

Families whose request for a hardship exemption is denied are afforded all the usual appeal rights. See **Hardship Appeals**.

Adults in families approved for a hardship exemption must meet all FIP eligibility factors, including participation in PROMISE JOBS activities expected to lead to self-sufficiency. All adults in families that are approved for a hardship exemption are mandatory PROMISE JOBS participants. No exemptions are allowed even if the "adult" is disabled.

Parents are responsible for their family. Families that are approved for a hardship exemption must be willing to take steps to overcome their hardship. They must participate to their maximum potential in activities reasonably expected to result in self-sufficiency and demonstrate incremental progress toward that goal.

PROMISE JOBS staff will provide supportive services and monitor the family investment agreement. Families that fail to follow the terms of the six-month family investment agreement will have chosen a limited benefit plan.

The limited benefit plan applies to family investment agreement-responsible people who fail to follow the terms of their family investment agreement during a six-month hardship exemption. The family must submit a new form 470-3826, *Request for FIP Beyond 60 Months,* and gain approval to regain eligibility for FIP benefits.

See **Limited Benefit Plan During a Hardship Exemption** and **LIMITED BENEFIT PLAN** for more information.

Families may request and be granted more than one hardship exemption, if they otherwise qualify for the exemption and meet FIP eligibility requirements. A new six-month family investment agreement and a new hardship exemption determination are required for each subsequent hardship exemption period.

The following sections explain:

- The requirements for qualifying for a hardship exemption
- Hardship exemption requests
- The process for determining whether the family has a hardship
- The appointment to develop and sign the six-month family investment agreement
- The six-month family investment agreement
- The process for the final hardship exemption decision
- The six-month hardship exemption period
- The limited benefit plan provisions during the hardship exemption period

Qualifying for a Hardship Exemption

Legal reference: 441 IAC 41.30(3)

Families with adults that are subject to the 60-month FIP limit may receive FIP for more than 60 months if they request and are granted a hardship exemption as described in this manual and meet all other FIP eligibility requirements. "Adult" means:

- The parent in the home with the child (even if the parent is or will be excluded from the FIP grant).
- The incapacitated stepparent of the FIP child when the stepparent is or requests to be on the FIP grant.
- The needy nonparental specified relative who is or requests to be on the FIP grant with the child.

Families may be eligible for a hardship exemption when circumstances prevent them from being self-supporting. The purpose of the exemption is to allow families that have not been able to achieve self-sufficiency during their 60-month FIP period another opportunity to address the hardship barriers that have prevented them from becoming self-sufficient.

Note: When the only parent (both parents in two-parent households) receives SSI, the 60-month limit does not apply. Therefore, a hardship exemption is not needed for the family to be FIP-eligible.

Eligibility for a hardship exemption cannot begin until the adult in the family has received FIP for at least 60 months. See **Limit on PROMISE JOBS Assistance** for more information.

The hardship determination is a two-step process:

- Based on supporting evidence, the income maintenance worker determines whether a hardship exists that prevents the family from being self-supporting.
- PROMISE JOBS along with the family determines how the hardship issues will be addressed in the family investment agreement.

The family requesting the hardship exemption has primary responsibility for identifying hardship barriers and providing supporting documentation of the barriers and their impact on the family's ability to be self-supporting.

A hardship exemption is not a separate program, but is a special eligibility factor that, if met, allows families with hardship barriers to receive FIP beyond the 60-month limit. This means that, in addition to meeting hardship exemption criteria, families must meet all other FIP requirements to continue to receive FIP beyond the 60-month period.

Note: The Department is prohibited from using public funds for cash assistance or PROMISE JOBS services for nonqualified aliens whose classification is not listed at 8 United States Code (U.S.C.) Section 1641. Therefore, families with parents whose alien classification is not listed are not eligible for FIP beyond 60 months.

In two-parent families, both parents must meet the hardship exemption requirements. Therefore, when either parent's alien classification is not listed at 8 U.S.C. Section 1641, the family is not eligible for FIP beyond 60 months.

A family's hardship condition does not excuse them from any financial or nonfinancial FIP or PROMISE JOBS requirements during the hardship exemption period. The purpose of the exemption is to involve the family in activities that can reasonably be expected to lead to self-sufficiency, rather than to use the hardship as a reason for excusing the family from program requirements.

Families that are approved for a hardship exemption must be willing to take steps to overcome their hardship. They must participate to their maximum potential in activities reasonably expected to result in self-sufficiency and demonstrate incremental progress toward that goal. However, families' safety shall take precedence over the goal of self-sufficiency.

The following sections address:

- Qualifying hardship conditions
- Documentation requirements

Hardship Conditions

"Hardship" is defined as a circumstance that is preventing the family from being self-supporting. The family's safety takes precedence over the goal of self-sufficiency. The family requesting the hardship exemption has primary responsibility for identifying hardship barriers.

The hardship condition may be the result of a past or current experience that is affecting the family's current functioning. "Current experience" may include fear of an event that is likely to occur in the future. The definition of "hardship" places emphasis on the impact of the hardship circumstance on the family's ability to become self-supporting rather than just the type of barrier.

> The hardship exemption applicant is a victim of domestic violence. The victim claims to be unable to look for work for fear of being harmed by the abuser.
>
> If the abuser is in prison, this would not be considered a reasonable fear, unless the victim suffers from mental or emotional health problems that affect the person's ability to be self-supporting.
>
> However, if the abuser is in the community and likely to harass or harm the victim or the victim's family, the fear is reasonable and a hardship exemption may be considered.

Circumstances that may lead to a hardship exemption include, but are not limited to, the following:

- **Domestic violence.** "Domestic violence" means that the family includes someone, who has been battered or subjected to extreme cruelty. It includes:
  - Physical acts that resulted in, or threatened to result in, physical injury.
  - Mental abuse (includes emotional abuse).
  - Neglect or deprivation of medical care.
  - Sexual abuse.
  - Threats of, or attempts at, physical or sexual abuse.
  - Sexual activity involving the dependent child.
  - The child's parent (or caretaker relative who is or requests to be on the grant) being forced to engage in nonconsensual sexual acts or activities.

  If domestic violence is identified as a barrier, the family must be offered the "Family Violence Option" during PROMISE JOBS orientation or at any point during PROMISE JOBS participation. Refer to **Family Violence Option** for additional information

- **Lack of employability.** This includes situations when the adult is functioning at a level that prevents steady or gainful employment, lacks marketable skills, or lacks basic work habits needed to remain employed.

- **Lack of suitable child care.** To be considered "suitable," the child care provider must be registered or licensed, or must meet the required criminal and child abuse record checks. The adult may <u>choose</u> a child care provider that does not meet the definition of approvable but the adult cannot be <u>required</u> to participate in work or other PROMISE JOBS activities until approvable child care has been arranged.

  For example, if approvable child care is not available during a third shift and this is the only employment available to the adult, hardship may be granted. However, the family will be expected to look for child care or a job with different hours.

- **Physical or mental health issues.** This may include families who have successfully left FIP in the past but have fallen victim to an accident or a disease that has affected their ability to be self-sufficient.

  The health issue may be the result of a past or current circumstance, and may be temporary, recurring, or chronic. If it is affecting the family's ability to be self-supporting, an exemption may be considered. The health issue must:

  - Be verified by a medical professional.
  - Include a professional treatment plan that addresses the health issue. (This treatment plan becomes part of the Family Investment Agreement if the family is approved for the exemption.)

  Physical or mental health issues are assessed in terms of the extent to which they affect the adult's ability to work. Some health conditions, including chronic conditions, may have little or moderate effect that can be addressed through a treatment plan, accommodations at the work site, or both.

  Other health conditions may be severe enough to render the adult unable to work or limit the adult's ability to work to the extent that the condition can be considered as a disability. The disability may be short-term or long-term. In either instance, the provisions under disability must be considered when determining the family's eligibility for a hardship exemption.

- **Disability.** For the purpose of the hardship exemption policies, the difference between a "health condition" and a "disability" is the extent to which the condition affects the adult's ability to be self-supporting. To be granted a hardship exemption, adults who claim disability must:

  - Be determined by a physician to be unable to work and
  - Provide verification to substantiate their claim.

  The person's receipt of Social Security or Supplemental Security Income (SSI) benefits based on disability or blindness is considered to meet these requirements. A hardship exemption may be granted if the family is otherwise eligible. (Remember, families headed by adults who are SSI recipients are not subject to the 60-month FIP limit or the hardship exemption requirements.)

Adults with disabilities that are expected to last longer than 12 months must apply for:

- Disability benefits with the Social Security Administration (SSA) and
- Vocational rehabilitation services with the Department of Education, Division of Vocational Rehabilitation Services.

Making an application for these services becomes part of the family's family investment agreement. Participation in these services may become part of the family investment agreement.

In addition, adults whose application for disability benefits has been denied must reapply for these benefits. If denied recently, they are required to appeal the Social Security Administration denial or work toward employment or both. Active pursuit of disability benefits should be written into the family's family investment agreement.

The adult chooses a limited benefit plan when the adult fails to follow through with the application for disability benefits when it is listed as a step in the family investment agreement.

Contact Income Maintenance to request referral of the identified adults to the Division of Vocational Rehabilitation Services. The IM worker will enter the referral into the ABC system when you request it.

♦ **Housing situations** that make it difficult or impossible to work. This may include situations when:

- The family's belongings are destroyed in a fire or flood, interrupting or delaying the family's employment arrangement; or
- Travel time from the family's home to the job exceeds one hour each way, including time needed to take the child to day care.

Note: Living in the home of another person in itself does not qualify for a hardship exemption unless the family's living arrangement affects on its ability to become self-supporting.

- **Substance abuse issues.** A family requesting a hardship exemption due to substance abuse is required to obtain clinical assessment and follow an intensive treatment plan.

  When substance abuse is verified by supporting evidence, a hardship exemption may be granted even if the clinical assessment is not completed at the time of the hardship exemption approval. Completion of the assessment and compliance with an intense treatment plan become part of the family investment agreement.

- **Having a child with special circumstances** that require the parent (or the needy specified relative requesting to be on the FIP grant) to be in the home to provide care or supervision. This may be a child with physical or mental health issues, or a child that receives child protective, juvenile court, or juvenile justice services.

  Other child welfare services may require the parent or needy specified relative to be in an activity other than work for the purpose of safety. The child's safety takes precedence over the goal for the family's self-sufficiency. It is important that the terms of the family investment agreement not conflict with the family's child welfare plans.

- **Other circumstances** exist that prevent the family from being self-supporting. This provision recognizes that each family is unique and has different circumstances that may hinder its efforts to achieve self-sufficiency.

  The provision allows for considering hardship circumstances that are not specifically listed here. It ensures that families whose hardship is not specifically listed are not automatically excluded from consideration for a hardship exemption.

Note: Needing more time to complete an educational program does not, in itself, meet hardship exemption criteria.

Supporting Evidence

The family is responsible for identifying the hardship barrier and must provide supporting evidence of the hardship barrier and its impact on the family's ability to become self-supporting. The supporting evidence must identify the circumstance that creates the barrier rather than just the type of barrier. The reason for barrier and its impact are identified in this example:

> A parent claims hardship because of inability to maintain employment. Statements from previous employers indicate that the parent repeatedly failed to show up for work and was fired. Additional evidence from a domestic violence counselor reveals that the absences were caused by domestic violence that the parent did not want divulged to the employers rather than inappropriate work habits.

Examples of supporting evidence include:

- Court, criminal, law enforcement, child protective services, social services, medical, psychological, or psychiatric records that indicate physical, mental, or emotional harm to the child, the parent, or a needy specified relative requesting to be on the FIP grant.
- Statements from a domestic violence counselor that indicate domestic violence issues. **Note:** Living in a domestic violence shelter in itself does not automatically qualify the family for a hardship exemption but is strong evidence.

  For example, a family may be living at a domestic violence shelter, but the parent is still able to participate in work-related or job-readiness activities or maintain employment. However, if the domestic violence issue has interrupted the parent's employment or keeps the parent from participating in work-related or job-readiness activities, a hardship may be granted.
- Court, criminal, law enforcement, child protective services, social services, psychological, or psychiatric records or statements from a substance abuse counselor that substantiate substance abuse issues.
- Verification from the court system, probation officer, psychiatrist, psychologist, medical professional, protective or social services professional, etc. that the parent or needy specified relative is needed in the home to provide care or supervision of a child who has special physical, mental, or emotional needs.
- Proof of application or reapplication for disability benefits from the Social Security Administration. **Note:** Participation in vocational rehabilitation services is not considered proof of disability, but it indicates that a disability may exist.
- A written statement from the Child Care Resource and Referral Center that "suitable" child care as defined is not available in the area where the family lives or where the (potential) job is located.

- Statements from a medical professional that substantiate physical, or mental or emotional health issues of the adult. The statement must:
  - Identify the particular health issue or condition.
  - Specify that the person is unable participate in any work-related or work-readiness activities.
  - Include a date that the condition is expected to last and the date of a scheduled follow-up examination, if any.
- Media reports substantiating the family's belongings were destroyed in a fire or other natural disaster, or that the family was involved in an accident, resulting in interrupting or delaying the family's employment arrangement or plans.
- Written statements from people other than the family with knowledge of the hardship circumstance. Written statements from friends or relatives alone are not sufficient to grant a hardship exemption, but may support other evidence.

The IM worker will also include information received from the family's service worker to substantiate a family's hardship claim.

Hardship Exemption Request

Legal reference: 441 IAC 41.30(3)"c"

Families with adults who are subject to the 60-month limit who have received or who are close to having received FIP for 60 months may request a hardship exemption.

Families that have exhausted their 60-month FIP period may also file a hardship exemption request at any time. These families must complete a *Public Assistance Application* as a condition for regaining FIP eligibility.

Families must request the exemption on form 470-3826, *Request for FIP Beyond 60 Months*. Form 470-3826 is also an authorization for release of information that allows IM, service, PROMISE JOBS, and FaDSS staff to share with each other information about the family that may be relevant to the hardship exemption determination. This includes substance abuse, mental health, and AIDS/HIV-related information.

The IM worker will provide form 470-3826, *Request for FIP Beyond 60 Months*, no later than at the time of the family's timely 60-month FIP cancellation and also upon the family's request.

The date of the hardship exemption request is the date a valid *Request for FIP Beyond 60 Months* is received in any DHS or PROMISE JOBS office. Date-stamp the form upon receipt in either office to preserve the date of the request. If the form is received in a PROMISE JOBS office, forward it to the local IM office within one working day.

The IM worker will cancel FIP when the family has received 60 months of FIP cash benefits, even if the family has filed a valid form 470-3826 in the meantime. The 60-month cancellation notice informs the family that PROMISE JOBS services are canceled and that the family will get another notice about the status of its hardship exemption request. If the request is granted, the family's FIP case will be reopened as appropriate.

When a *Request for FIP Beyond 60 Months* is received, the IM worker will check the family's FIP and limited benefit plan status to determine whether the hardship request is appropriate.

If an application for FIP is needed, the IM worker will issue the application within one working day. The IM worker will enclose a written note explaining the reason the application is required and that the hardship exemption request will be denied if the family fails to return the application by the stated due date.

If the family returns the application as requested, IM will continue with the steps in making the hardship determination. If the family fails to return the application or the requested evidence by the due date the hardship exemption request will be denied.

Hardship Determination

Legal reference: 441 IAC 41.30(3)"d"

Income Maintenance will proceed with the hardship determination if the exemption request appears appropriate for the family's FIP case circumstances, meaning the family:

- Has received FIP for at least 58 months,
- Has submitted a required FIP application, and
- Meets non-financial FIP eligibility criteria.

The family's barrier to self-sufficiency may be caused by one primary hardship or by a combination of hardships. (See **Hardship Conditions**.) The IM worker will consider the impact of the total circumstances on the family's ability to be self-supporting in the hardship exemption determination.

The IM worker will contact the family in writing to request the family to provide supporting evidence of its hardship condition and its impact on the family's ability to become self-supporting. The family will be instructed in writing to provide the evidence within ten days from the request. If the family fails to provide the requested information by the due date, the hardship exemption request will be denied.

Failure to supply all necessary evidence or refusal by the family to authorize the Department to secure the evidence from pertinent third parties shall result in denial of the family's hardship exemption request.

The IM worker will also determine whether the family has an active service case. If so, the IM worker will forward a copy of form 470-3884, *Hardship Exemption: Service Information*, to the service worker and request the worker to complete it. The primary purpose of this form is to:

- Help ensure that any hardship family investment agreement being developed does not conflict with a service case plan already in place, and
- Support the service plan to the extent possible, while simultaneously moving the family toward self-sufficiency.

The IM worker will also use the information provided on form 470-3884 as an additional source to substantiate the family's hardship claim.

When the family provides the supporting evidence as requested, and the information on form 470-3884 is provided by the family's service worker, the IM worker will determine whether the family has a hardship condition that affects its ability to be self-supporting.

If the family does <u>not</u> meet hardship criteria, the IM worker will deny the hardship exemption request.

If the family meets hardship criteria, the IM worker will within one working day:

- Make referrals to PROMISE JOBS;
- Schedule an appointment for those referred to attend a required interview with PROMISE JOBS to develop and sign a six-month family investment agreement; and
- Forward a copy of each of the following to the local PROMISE JOBS office:
  - Form 470-3897, *FIA Appointment*.
  - Form 470-3826, *Request for FIP Beyond 60 Months*.
  - Form 470-3884, *Hardship Exemption: Service Information*.
  - The supporting evidence.
  - Form 470-3876, *Hardship Exemption Determination*, with all items in Part A completed except Section 2.

The documents notify you that the IM worker has determined that the family has a hardship condition, and the family must now develop and sign a six-month family investment agreement before the hardship exemption request can be granted.

Appointment to Develop and Sign the Six-Month FIA

Legal reference: 441 IAC 41.30(3)"e"

When the IM worker decides that the family has a hardship condition, the adults in the family must meet with PROMISE JOBS to develop and sign a six-month family investment agreement before the hardship exemption request can be approved.

PROMISE JOBS will determine the focus of the steps to be included in the six-month family investment agreement, along with the family and recommendations from the family's service worker.

The IM worker uses form 470-3876, *Hardship Exemption Determination*, and PJCase to identify and refer the family investment agreement-responsible adults to PROMISE JOBS. The family's service worker is also identified on this form if the family has an active service case.

Referred family investment agreement-responsible adults include:

- The parent in the home, even if the parent is or will be excluded from the FIP grant.
- The incapacitated stepparent when the stepparent is or requests to be on the FIP grant.
- The needy nonparental specified relative who is or requests to be on the FIP grant.

The IM worker will schedule this appointment at the earliest possible date using PJCase/Calendar option and the *FIA Appointment*. Send a copy of the *FIA Appointment* to the FaDSS worker if the family is enrolled in the FaDSS program.

When the "adult" is incompetent or incapacitated, someone acting responsibly on the adult's behalf may attend for the adult. In two-parent families, both parents must attend.

Continue the case record narrative by clearly indicating that the family has exhausted 60 months of FIP and a *Request for FIP Beyond 60 Months* has been received.

The family may be granted good cause for failing to attend a scheduled meeting for reasons beyond the person's control, such as illness, family emergencies, or other unforeseen circumstances. In that instance, the meeting must be rescheduled. See **SERVICE UPON REFERRAL**.

Failure by the required adults to attend the meeting without good cause results in denial of the family's hardship exemption request.

Six-Month Family Investment Agreement

Legal reference: 441 IAC 41.30(3)"d" and "e"

Families that request a hardship exemption must develop and sign a six-month family investment agreement as a condition for receiving FIP beyond their 60-month limit. All family investment agreements are mandatory for families whose FIP eligibility depends on a hardship exemption. Failure to develop and sign the family investment agreement results in denial of the family's hardship exemption request.

For applicants, provide orientation services as described at **Orientation for PROMISE JOBS and the Family Investment Agreement**. Do not authorize PROMISE JOBS expense allowances. If appropriate, schedule an additional appointment for assessment or literacy level tests, and write this appointment as a step in the family investment agreement.

For families who apply for a hardship exemption before they reach their 60-month FIP limit, authorize expense allowances when needed to participate in writing the six-month family investment agreement if the appointment is held before they are canceled from FIP and they are otherwise eligible. Do not authorize expense allowances for appointments held after FIP cancellation.

All "adults" as defined under **Appointment to Develop and Sign the Six-Month FIA** must sign the family investment agreement. They are mandatory PROMISE JOBS participants. "Adults" as defined who were previously exempt during the 60-month FIP period must be re-referred as mandatory during the hardship exemption period.

No exemptions are allowed, including for adults with disabilities. Address the disabilities in the six-month family investment agreement.

Note: Families that are approved for a hardship exemption must meet all other FIP requirements. For example:

- Other members of the family may be required to participate in PROMISE JOBS and the family investment agreement, such as a minor parent who is a child on the adult's FIP case, or a 16-year-old who is not in school.

  Note: Form 470-3105 (IWD) and 470-3106 (BRS), *FIP Referral for Mandatory Participants*, will be system generated when IM changes a client's PROMISE JOBS referral status from exempt to mandatory in the course of the 6-month hardship exemption period.

- When the family applying for the exemption is reconsidering a subsequent limited benefit plan, the family must complete 20 hours of work or other approvable PROMISE JOBS activity within 30 days from the date the six-month family investment agreement is signed. See **Reconsidering an Active Limited Benefit Plan**.

The family investment agreement must:

- Address the circumstances that are creating the family's barrier to self-sufficiency.
- Contain specific steps that can reasonably be expected to enable the family to make incremental progress toward overcoming the barrier. (See **Hardship Conditions** for discussion of family investment agreement steps that apply to specific barriers.)
- Identify:
  - The activities to be completed by the family,
  - The individuals responsible for completion of the activities,
  - The relevant time frames, and
  - The method for monitoring the progress toward the goals of the family investment agreement.

When developing the family investment agreement with the family, incorporate information provided by the family's service worker. The primary purpose of the service information is to help ensure that the family investment agreement does not conflict with a service plan already in place.

To the extent possible and practical, the family investment agreement should support the service plan, while simultaneously moving the family toward self-sufficiency. If the family is involved in the FaDSS program, take into consideration the FaDSS activities. However, the DHS service plan takes precedence over the FaDSS plan.

The family is expected to participate to its maximum potential in activities expected to lead to self-sufficiency. Build on the strengths of the individual family. Consider previous family investment agreements, particularly those aspects that were at least partially successful. Possible family investment agreement activities related the hardship condition may include, but are not limited to:

Hardship Condition	Possible Family Investment Agreement Activities
Domestic violence	• Referral to local domestic violence project • Appointments for professional counseling sessions • Appointments for legal activities • Domestic Violence Option • FaDSS enrollment

Hardship Condition	Possible Family Investment Agreement Activities
Lack of employability	• Workforce Investment Act (WIA) activities • Local resources for job readiness activities • Life skills • Job Club • Local basic educational programs (adult basic education) • ESL classes • Work experience • Volunteer work, unpaid community service • Application with Division of Vocational Rehabilitation Services (DVRS) • Compliance with employment plan from DVRS
Lack of suitable child care	• Referral to child care resource and referral agency • Continue to work with local resource and referral until child care is obtained • Search for child care provider for non-traditional hours • Job search for job with different hours • Referral to DHS Service Unit if problems with child's behavior • Referral to local area education agency (AEA) for early childhood assistance • Referral to Early Head Start and Head Start programs
Physical or mental health issues	• Compliance with health professional's treatment plan
Disability	• Application for Social Security Administration benefits • Appealing Social Security Administration determination • Application and assessment with Division of Vocational Rehabilitation Services (DVRS) • Compliance with employment plan from DVRS • Compliance with health professional treatment plan
Housing situations	• Application for low-rent housing • Applications to landlords or realtors • Application to local Habitat for Humanity program
Substance abuse issues	• Completion of professional substance abuse assessment • Compliance with substance abuse treatment plan

Hardship Condition	Possible Family Investment Agreement Activities
Child with special circumstances	• Appointments with court system, probation officers, parole officers • Child welfare services • Counseling appointments • Compliance with health professional treatment plan • Compliance with Individual Education Plan from the area education agency (AEA) and the child's school
Other circumstances	• Relocation pan • Application for family self-sufficiency grant • FaDSS enrollment • Local resources based on individual circumstances

Maintain all hardship exemption documentation in a separate section labeled "Hardship Exemption" on the left side of the PROMISE JOBS case record. Include the six-month Family Investment Agreement and all correspondence, notices, expense allowance authorizations, etc. particular to each hardship request under this section.

For families that are approved for the hardship exemption, provide allowable expenses that are required to make participation possible. See **EXPENSE ALLOWANCES**.

Families approved for a hardship exemption that have difficulty fulfilling the steps in their six-month family investment agreement must work with PROMISE JOBS to amend the family investment agreement.

Families must also amend their family investment agreement when their six-month hardship exemption period is revised, e.g., as a result of a final appeal decision. IM will notify the PROMISE JOBS worker of a revision to the original six-month hardship exemption period. Refer to **Changing the 60-Month FIP or Six-Month Hardship Exemption Period** for more information.

The family will work with their PROMISE JOBS worker to renegotiate and amend the family investment agreement steps only if needed to accommodate changed family circumstances. The PROMISE JOBS worker may confer with the DHS service worker, the IM worker, or the FaDSS worker associated with the family.

There is no limit on the number of hardship exemptions a family may receive over time. A new hardship exemption determination is required for each subsequent request. Each hardship exemption requires a new six-month family investment agreement.

Final Exemption Decision

Legal reference: 441 IAC 41.30(3)"d"(3)

Document in Part B of form 470-3876, *Hardship Exemption Determination*, whether the family has met the family investment agreement requirement. Return a copy of form 470-3876 to the IM worker. If the family is reconsidering a limited benefit plan and FIP approval is contingent upon completion of 20 hours of work activity, note this in Part B.

Upon receipt of a copy of form 470-3876 from PROMISE JOBS, the IM worker will complete Part C of the form to reflect the final determination of the family's hardship exemption request:

- If you document in Part B that the family failed to attend the interview or failed to sign the family investment agreement, the family is not eligible for a hardship exemption. IM will document the final hardship exemption denial in Part C of the form and process the denial.
- If Part B reflects that the family attended and signed the family investment agreement, IM will determine FIP eligibility and document the final hardship exemption determination in Part C of the form.

The IM worker will forward a copy of the completed form 470-3876 to:

- PROMISE JOBS
- The service worker identified on form 470-3884
- The administrator of the DHS Division of Financial, Health and Work Supports

Upon receipt of the completed form 470-3876 showing approval for a hardship exemption, forward a signed copy of the family investment agreement to

- The IM worker,
- The FaDSS worker, if FaDSS is involved with the family,
- The service worker identified on form 470-3884, and
- The administrator of the DHS Division of Financial, Health and Work Supports.

Transmit copies of the family investment agreement to the Administrator of the DHS Division of Financial, Health and Work Supports by e-mail, fax, or mail.

- E-mail address: Hardship@dhs.state.ia.us
- Fax number: (515) 281-7791
- Mail address: Division of Financial, Health and Work Supports – Administrator
  1305 E. Walnut Street
  Hoover State Office Building - 5th Fl
  Des Moines, IA 50319-0114

Six-Month Hardship Exemption Period

Eligibility for a hardship exemption cannot begin until the adult in the family has received FIP for at least 60 months.

Families that are approved for a hardship exemption must meet all financial and nonfinancial FIP requirements during the six-month period.

Eligibility for a hardship exemption lasts for six consecutive calendar months, even if the hardship condition is resolved before the end of the six-month period. It includes a month when no FIP payment is made, e.g., due to the limit on FIP grants below ten dollars, or a month of suspension.

Note: The six-month hardship exemption stops when the family's FIP case is canceled for any reason other than hardship and a *Public Assistance Application* is needed for the family to regain FIP eligibility. The usual adverse action notice requirements apply in that instance. Example:

1. Family C is approved for a hardship exemption based on disability. The six-month period is from April through September. In July, Mr. C is released to return to work. Provided his earnings do not create financial ineligibility, the hardship exemption period continues through September as originally approved.

2. Family J's hardship exemption period is from March through August. Mr. J is employed part-time and the family is on monthly reporting. In May, Mr. J fails to submit income verification with the PAER. A *Notice of Cancellation* is issued to cancel FIP for June 1. On May 30, the IM worker receives the necessary income verification. FIP is reinstated for June and the hardship exemption resumed.

3. Family A's hardship exemption period is from January through June. On March 15, Mrs. A reports that the only eligible child has moved out. Mrs. A's FIP case is canceled effective April 1. A *Notice of Decision* is issued stating FIP is canceled because no eligible child is in the home.

   Note: If Mrs. A reports that the child has returned to the home before April 1, the IM worker will reinstate FIP and continue the hardship exemption period through June.

4. Family B's hardship exemption period is from February through July. Ms. B fails to follow the terms of her six-month family investment agreement and a limited benefit plan results. FIP is canceled effective April 1 because of the limited benefit plan. Because this is Ms. B's second limited benefit plan, she will be ineligible for FIP for a minimum of six months.

   Note: If this were Ms. B's first limited benefit plan, and she reconsidered before the effective date of the FIP cancellation, FIP would be reinstated and the hardship exemption continued through July.

FIP received for a partial month of the six-month hardship exemption period counts as a full month.

The family's 60-month FIP period ends March 31. In May, the family has an emergency. On May 12, the family submits the *Request for FIP Beyond 60 Months* and a FIP application. If the family is approved for a hardship exemption, the six-month period will be from May 19 through October 30. The family investment agreement will cover the same period.

There is no limit on the number of hardship exemptions a family may receive over time. The family must submit a form 470-3826, *Request for FIP Beyond 60 Months*, for the initial and each subsequent hardship exemption request. A new hardship exemption determination is required for each subsequent request.

When a parent joins a participant family that is in a hardship exemption period, the exemption continues if the family otherwise remains FIP-eligible. If eligible, the joining parent is added for the remainder of the exemption period, even if the joining parent has received FIP for 60 months. See **SERVICE UPON REFERRAL** for instructions.

Mrs. B and her child receive FIP in a hardship exemption period. The six-month period will end June 30. On March 10, Mr. B, the child's father, joins the family. The hardship exemption continues regardless of whether Mr. B has received FIP for 60 months.

If Mr. B is otherwise eligible, the IM worker will add him to the FIP eligible group and make a referral to PROMISE JOBS. Mr. B will receive the *FIA Referral for Mandatory Participants* letter. He must initiate PROMISE JOBS services by contacting the PROMISE JOBS office.

When two parents are in hardship exemption period and then they separate, the remainder of the exemption period follows the parent who retains the current FIP case, if that parent's FIP eligibility continues to be dependent on the hardship exemption.

The IM worker informs PROMISE JOBS about changes in household composition. Family investment agreements may need to be amended.

Changing the 60-Month FIP or Six-Month Hardship Exemption Period

A six-month hardship exemption period cannot begin until the family has received FIP for the entire 60-month period. It may be necessary to change the 60-month FIP period and, as a result, change the six-month hardship exemption period. Changes in a previously established 60-month FIP period may result when:

- A final appeal decision upholds the family and orders the Department to extend the 60-month period; or
- A coding error on the ABC system results in an inaccurate 60-month count.

The IM worker will:

- Issue a *Notice of Decision* to inform the family of a revised 60-month FIP period or hardship exemption period.
- Notify PROMISE JOBS of the changes and the need for amending the family's current family investment agreement to extend over the revised 60-month or six-month period.

Even though the *Notice of Decision* informs the family to contact PROMISE JOBS to amend the family investment agreement and that a limited benefit plan results from failing to do so, PROMISE JOBS staff is expected to establish an appointment date to renegotiate the family investment agreement. See **Renegotiation and Amendment of the FIA**.

When the additional months of the revised 60-month period extend into an existing six-month hardship period, these months become part of the revised 60-month period. A new hardship determination is not needed.

1. Family C's 60-month FIP period ends 12/31/01.
   12/15/01 – The IM worker cancels FIP effective 1/1/02.
   12/20/01 – The family appeals the FIP cancellation. FIP is reinstated for 1/1/02.
   12/21/01 – The family files a hardship exemption request.
   01/18/02 – The hardship exemption is approved from 1/1/02 through 6/30/02.
   02/15/02 – The final appeal decision upholds the family and determines a 3/31/02 ending date of the family's 60-month period.

   Since the appeal decision extended the 60-month ending date to March 31, the six-month hardship exemption period cannot start until April 1. Therefore, January, February, and March of the original hardship period become part of the revised 60-month FIP period.

   The revised hardship period then is from April 1 through September 30. The family's family investment agreement scheduled to end June 30 must be amended to extend through the revised September 30 hardship exemption ending date. The IM worker notifies PROMISE JOBS of the changes and the need for the family's family investment agreement to be amended.

   The IM worker issues a *Notice of Decision* to inform the family about the revised 60-month and six-month periods. The notice informs the family to amend the family investment agreement and that a limited benefit plan results from failing to do so.

   PROMISE JOBS establishes an appointment date to amend the family investment agreement.

2. Family D's 60-month FIP period ends March 31. The family requests and is approved for a six-month hardship exemption from April 1 through September 30. In May, the IM worker discovers an ABC coding error that resulted in two months erroneously being counted toward the family's 60-month period.

   This means the family's 60-month period should have ended May 31. As a result, April and May become part of the revised 60-month FIP period. The revised hardship period is from June 1 through November 30.

   The same steps as in Example 1 must be followed with respect to notifying the family and PROMISE JOBS of the revised 60-month and six-month periods, and amending the family investment agreement.

If the additional months of the 60-month period go beyond the end of the current hardship period, the current hardship exemption period is void. Instead, these months become part of the family's revised 60-month period. FIP must be canceled at the end of the revised 60-month period. The family may reapply for a hardship exemption at the end of the 60-month FIP period.

The hardship period is from January through June. In March, the IM worker discovers that the 60-month FIP period should extend through August 31. The IM worker makes necessary system changes to void the hardship exemption and sends a *Notice of Decision* to inform the family that the hardship exemption period is not needed.

The IM worker notifies PROMISE JOBS of the changes. PROMISE JOBS contacts the family to amend the family investment agreement to extend through August 31. The family may reapply for a hardship exemption in the usual manner when the new 60-month period is over at the end of August.

Hardship Overpayments

Recoup supportive allowances issued during an erroneously approved hardship exemption period.

Also recoup supportive allowances paid when FIP is issued beyond the family's 60-month limit due to:

- Reinstatement pending the outcome of an appeal (when the final appeal decision later upholds the Department).
- Worker error in properly coding months that are subject to the 60-month limit, preventing ETS from counting those months.
- Required timely notice to cancel FIP at the end of the 60-month period.

FIP/PROMISE JOBS expense allowances issued beyond the family's 60-month period are subject to recoupment unless the family requests and is approved for a hardship exemption period for any of these months.

If a hardship exemption is approved, consider months of FIP assistance beyond the 60-month limit toward the approved six-month hardship exemption period. No overpayment is due for any month that becomes part of the six-month hardship period.

1. Family G's 60-month FIP period ends 12/31/01.
   12/15/01 – The IM worker enters the FIP cancellation effective 1/1/02.
   12/20/01 – The family appeals cancellation. FIP is reinstated for 1/1/02.
   02/15/02 – The final appeal decision upholds the Department.

   FIP is canceled effective March 1 in accordance with the final appeal decision. FIP and all supportive allowances issued for January and February is subject to recoupment.

2. Family H's 60-month FIP period ends 12/31/01.
   12/15/01 – The IM worker issues a notice and cancels FIP effective 1/1/02.
   12/20/01 – The family appeals the cancellation. FIP is reinstated for 1/1/02.
   01/26/02 – The family files a hardship exemption request.
   02/12/02 – The hardship exemption is approved from 1/1/02 through 6/30/02.
   02/15/02 – The final appeal decision upholds the Department.

During the period that FIP assistance continues pending the outcome of an appeal, the family is considered a "participant." FIP is canceled effective March 1 in accordance with the final appeal decision.

Since the appeal upheld the original December 31 FIP ending date, the six-month hardship exemption period is from January 1 through June 30. January and February become part of the family's six-month exemption period. No overpayment is due.

When a month of FIP assistance beyond the family's 60-month limit is subject to recoupment, the IM worker will identify that month in the Eligibility Tracking System.

Limited Benefit Plan During a Hardship Exemption

Legal reference: 441 IAC 41.30(3)"e"(3)

As a condition for being granted a hardship exemption and before FIP can be approved, the family is required to develop and sign a six-month family investment agreement. Failure to develop and sign this family investment agreement results in denial of the family's hardship exemption request, rather than a limited benefit plan.

However, a family that has been granted a hardship exemption and does not follow the terms of its six-month family investment agreement or that fails to amend the family investment agreement when necessary has chosen a limited benefit plan.

When a family chooses a first limited benefit plan during the hardship exemption period and takes appropriate reconsideration action before the effective date of the FIP cancellation, FIP must be reinstated and the hardship exemption resumed for the remainder of the six-month period.

Family A's six-month hardship exemption period is from July through December. Mr. A fails to follow the terms of his family investment agreement, and a limited benefit plan results. A *Notice of Decision* is sent canceling FIP effective August 1 because of the limited benefit plan.

This is Mr. A's first limited benefit plan. If Mr. A takes necessary reconsideration action before August 1, his FIP case is reinstated and may continue for the remainder of the six-month hardship exemption period.

If Mr. A does not reconsider the limited benefit plan before August 1, FIP remains canceled. A new application is required to regain FIP eligibility. If the family's FIP eligibility continues to depend upon receiving a hardship exemption, the family must submit a new form 470-3826, *Request for FIP Beyond 60 Months*. A new hardship exemption determination is required before the FIP approval.

Families that choose a subsequent limited benefit plan during the hardship exemption period are ineligible for FIP for a minimum of six months. The same as in other FIP situations. They are not allowed to reconsider until the six-month period of ineligibility has ended. Therefore, FIP must be canceled for the remainder of the hardship exemption period.

FIP eligibility cannot be regained until the limited benefit plan period of ineligibility has ended and the family meets all other requirements. A new application is required. Families whose FIP eligibility depends upon receiving a hardship exemption must also submit a new form 470-3826, *Request for FIP Beyond 60 Months*. A new hardship determination is required before FIP approval.

Family B's six-month exemption period is from July through December. Mrs. B fails to follow the terms of the family investment agreement, and a limited benefit plan results. A *Notice of Decision* is sent canceling FIP effective August 1 because of the limited benefit plan.

This is Mrs. B's second limited benefit plan. The family cannot regain FIP eligibility until the six-month limited benefit plan ineligibility period is over and the adults complete the actions needed to end the limited benefit plan. A new application is required.

If the family's FIP eligibility continues to depend on receiving a hardship exemption, the family must also submit a new *Request for FIP Beyond 60 Months*. A new hardship exemption determination is required before the FIP approval.

RESOLUTION OF DISPUTES, APPEALS, AND GRIEVANCES

Policies on handling disputes, processing appeals and grievances are organized as follows:

- Informal dispute resolution
- PROMISE JOBS appeal procedures
- Grievances on displacement issues

Refer to DHS Employees' Manual 13-G for:

- Provider request for review of child care rate calculation
- Appeals regarding the Child Care Assistance program

Informal Dispute Resolution Process

Legal reference: 441 IAC 93.138(1)

When there is disagreement between the client and the immediate PROMISE JOBS worker regarding a family investment agreement or participation in PROMISE JOBS components, the client can request to talk to the supervisor and request a decision on the dispute.

The supervisor shall schedule a face-to-face interview with the client within 7 days and issue a decision in writing within 14 days of the client's request. Issue this written decision in the form of a letter or memo written by the supervisor or designee. Do not use the *Notice of Decision: Services*.

Make clear to the client that this resolution process is not an appeal, nor are appeal rights extended while this process is being conducted. A client can ask for the meeting with the supervisor before or after signing the family investment agreement. See **PROMISE JOBS Appeal Procedures** for the relationship between the informal resolution process and the right to appeal the content of the family investment agreement.

PROMISE JOBS Appeal Procedures

Legal reference: 441 IAC 7, 93.140(239B)

Each FIP applicant and participant has the right to a hearing about services being received or services that have been requested and denied, reduced, canceled, or inadequately provided.

Clients also have the right to appeal any acts of discrimination based on race, creed, color, sex, national origin, religion, age, physical or mental disability or political belief. The DHS appeals liaison sends a copy of any appeal regarding acts of discrimination to the DHS Diversity Programs Unit. At the same time, the liaison informs the participant of this, providing the telephone number and address of the Unit.

A PROMISE JOBS client has the right to appeal any violation of PROMISE JOBS program policy imposed as a condition of participation. The PROMISE JOBS provider agency in the SDR must provide written documentation to the client that specifies the requirement in question.

A PROMISE JOBS client has the right to appeal the content of the family investment agreement if the disagreement between the client and the PROMISE JOBS worker cannot be worked out through the informal resolution process. (See **Informal Dispute Resolution Process**.)

Never take an action or omit an action that seems to interfere with the client's right to appeal. See **Notice of Decision** for information on protecting client appeal rights. For complete information on the DHS appeals process, see DHS Employees' Manual, Title 1, Chapter E, ***APPEALS AND HEARINGS***.

Briefly, an appeal must be filed in writing. Clients may use:

- Form 470-0487, *Appeal and Request for Hearing*, or
- A written statement of any kind.

When you receive an appeal of the limited benefit plan, the contents of the family investment agreement, or any PROMISE JOBS action:

- Review it in order to help the participant file a clear statement of the issue.
- Within 24 hours, forward the request and a copy of the *Notice of Decision: Services*, the family investment agreement, or any other official notification to Iowa Department of Human Services, Appeals Section, 1305 E. Walnut Street, 5th Fl, Des Moines, IA 50319-0014.
- Send the IM worker a copy of a limited benefit plan appeal request at the same time that you send it to the DHS Appeals Section.
- Within ten days of filing the appeal, send a written summary of the action being appealed (a typed narrative of the circumstances leading to the dispute) to the same address.

When the appeal involves actions that affect PROMISE JOBS only, you are responsible for preparing the appeal summary and attending the hearing.

When the appeal involves a limited benefit plan, both IM and PROMISE JOBS workers have joint responsibility to prepare the appeal summary. Whenever possible, both workers should be at the appeal hearing in person or by phone. Use the coordination practices which have been established in the PROMISE JOBS local services plan to make these arrangements.

The following sections explain how these procedures apply to:

- Continuing benefits pending an appeal decision
- Appeals of limited benefit plans
- Appeals of child care provider evaluations
- Appeals of hardship exemption decisions
- Appeals in the Work Experience Program

Continuation of Benefits Pending Appeal Decision

Legal reference: 441 IAC 93.140(239B) and 7.9(1)

Continue PROMISE JOBS services, including expense allowances, when:

- The appeal is "timely,"
- The notice under appeal canceled, reduced, or suspended FIP or PROMISE JOBS benefits,
- The client requests that benefits continue, and
- The client continues to participate in the PROMISE JOBS activity.

A "timely" appeal is filed before the effective date of the notice or within ten days of issuance of the notice. When the last day before the effective date or the tenth day falls on a weekend or holiday, the appeal is timely if filed by the end of the next working day.

This situation is most likely to occur in classroom training, when you have terminated the training plan or imposed a limited benefit plan, but the participant appeals before the effective date of notice and continues to participate in the program. The key is that the participant continues to participate in the assigned activity.

When the appeal was not filed "timely," or the client does not continue to participate in the activity, then benefits shall NOT continue.

Recoup PROMISE JOBS expense allowances issued for the months that the appeal was pending when the final appeal decision affirms the Department's decision to cancel, deny, or suspend benefits **except when**:

- The appeal issue was imposition of a limited benefit plan, and
- The appeal was a "timely" appeal of the notice issued to initially start the limited benefit plan and the limited benefit plan will be reactivated with a new effective date.

See **Appealing a Limited Benefit Plan** for more information.

Appealing a Limited Benefit Plan

Legal reference: 441 IAC 7, 93.140(239B)

A person has the right to appeal the establishment of a **first** or **subsequent** limited benefit plan when the *Notice of Decision* establishing the limited benefit plan is issued. A person can appeal the establishment of a particular limited benefit plan only once.

If another appeal is filed after the limited benefit plan appeal, a hearing may be granted only if the appeal involves worker error, such as an incorrect grant computation or an error in determining the eligible group.

If a client files a timely appeal of the limited benefit plan and does not request that FIP stop and otherwise remains eligible for a FIP:

- The IM worker will stop the limited benefit plan in PJCase and reinstate FIP until the final appeal decision is received.
- PJCase issues a notice telling the client the limited benefit plan is delayed due to the appeal.
- Continue PROMISE JOBS services and issue expense allowances if the client continues to participate in the assigned PROMISE JOBS activity.

IM will not stop the limited benefit plan when:

- The appeal is not filed timely,
- The client is not eligible for continued benefits, or
- The client does not want benefits to continue.

Do not continue PROMISE JOBS benefits in these situations. Also do not continue PROMISE JOBS benefits when the client is eligible for continued benefits but the client does not continue to participate in the assigned activity.

See **Continuation of Benefits Pending Appeal Decision** for the definition of a timely appeal and for more information.

When the Final Decision Reverses the Limited Benefit Plan

Legal reference: 441 IAC 7, 93.140(239B)

If the final decision reverses the decision to impose the limited benefit plan the IM worker will take action as follows:

- If the limited benefit plan was not stopped or assistance did not continue pending the appeal, the IM worker will:
  - Stop the limited benefit plan in PJCase as one in error (stop reason "C").
  - Determine eligibility for corrective benefits.
- If the limited benefit plan was stopped and assistance continued pending the appeal, the IM worker will use PJCase to change the stop reason to designate the limited benefit plan as one in error (stop reason "C").

These actions keep the system from considering the limited benefit plan as a "valid" limited benefit plan if another one is imposed later.

When the Final Decision Affirms the Limited Benefit Plan

Legal reference: 441 IAC 7.9(5)

If the final appeal decision affirms the limited benefit plan, the limited benefit plan was not stopped pending the appeal, and FIP benefits did not continue pending the appeal, no further action is needed.

If the final appeal decision affirms the limited benefit plan and FIP continued pending the appeal, the IM worker will decide if the limited benefit plan will be reactivated with a new effective date or the original effective date.

IM will use PJCase to reactivate the limited benefit plan with a new effective date when:

- The appeal is a "timely" appeal of the notice issued to initially start the limited benefit plan, and
- The limited benefit plan was stopped, and
- FIP benefits were reinstated pending the appeal.

When a limited benefit plan is reactivated with a new effective date, FIP and any PROMISE JOBS expense allowances issued for the months that the appeal was pending are NOT recoupable.

IM will reactivate the limited benefit plan with the original effective date when:

- The appeal is a "timely" appeal of a recent notice but not a "timely" appeal of the notice issued to initially start the limited benefit plan, and
- The limited benefit plan was stopped, and
- FIP benefits were reinstated pending the appeal.

The above situation may occur when another notice regarding the limited benefit plan is issued after the notice to impose the limited benefit plan.

When a limited benefit plan is reactivated with the original effective date, FIP and any PROMISE JOBS expense allowances issued for the months that the appeal was pending are subject to recoupment. IM will notify you when this situation occurs.

When IM reactivates a limited benefit plan in PJCase, the system recalculates benefits, sends a notice to the household, and sends a confirmation message to IWD for processing to the PJOB system. The reactivate confirmation message will appear in the referred person's PJOB-B screen in the PJOB system the next working day.

Child Care Provider Appeal of an Evaluation Decision

Legal reference: 441 IAC 170.6(234)

When you receive an appeal of an evaluation decision that prohibits the person from providing child care and receiving PROMISE JOBS funds for doing so:

- Within 24 hours, forward the request and a copy of the *Notice of Decision: Services*, and any other official notification to Iowa Department of Human Services, Appeals Section, 1305 E. Walnut, 5th Fl, Des Moines, IA 50319-0014.
- At the same time, notify and send a copy of the appeal request to the DHS service unit that does evaluations for registered and licensed child care providers in your area (known as the "evaluation team"). The evaluation team is responsible for preparing the appeal summary and attending the appeal hearing.

Hardship Appeals

Legal reference: 441 IAC 41.30(3)"f"

Follow the instructions in **PROMISE JOBS Appeal Procedures** when processing appeals resulting from a 60-month FIP cancellation or from a denial or cancellation of a hardship exemption.

It is important that you and the family's IM worker coordinate your respective activities. When the family appeals the denial of a hardship exemption request, forward a copy of the appeal request to the IM worker. Exchange with the IM worker documentation and other information relevant to the appeal, including the hearing location, date, and time.

If the final appeal decision upholds the family, this may result in a revised 60-month ending date, which in turn may affect the family's six-month hardship exemption period.

The family's 60-month FIP period ends 12/31/01.
12/15/01 – The worker enters the 60-month FIP cancellation effective 1/1/02.
12/20/01 – The family appeals the FIP cancellation. FIP is reinstated for 1/1/02.
12/21/01 – The family files a hardship exemption request.
01/18/02 – The hardship exemption is approved from 1/1/02 through 6/30/02.
02/15/02 – The final appeal decision upholds the family and determines a 3/31/02 ending date of the family's 60-month period.

A six-month hardship exemption period cannot begin until the family has received FIP for the entire 60-month period. Since the appeal decision moved the 60-month ending date to March 31, the six-month hardship exemption period cannot start until April 1.

The revised six-month hardship exemption is from April 1 through September 30. The IM worker issues a *Notice of Decision* to inform the family of the revised exemption period. The notice also informs the family to contact PROMISE JOBS because the six-month family investment agreement must be amended and that a limited benefit plan results for failing to do so.

If the final appeal decision upholds the Department, excess PROMISE JOBS supportive payments are subject to recovery.

Appeal Rights Applicable to WEP

Legal reference: 441 IAC 93.140(3)

A client who is enrolled in the PROMISE JOBS program may request a hearing if dissatisfied with working conditions or the availability of workers' compensation coverage.

When any involved party is dissatisfied with the decision on the appeal, inform the dissatisfied party of this right. If so desired, assist with appealing the issue to the Secretary of Labor at Office of Administrative Law Judges, U.S. Department of Labor, Vanguard Building, Room 600, 111 20th Street NW, Washington, DC 20036, within 20 days of the receipt of the Department's final decision.

Consider the Department's final decision to be received the second day after the date that the written decision was mailed, unless the intended recipient can demonstrate that it was not received on the second day after the mailing date. When the second day falls on a Sunday or legal holiday, extend the time to the next mail delivery day.

The option to appeal to the Secretary of Labor does not preclude a participant from exercising any right to judicial review provided in Iowa Code Chapter 17A or in Department appeal procedures. For more information, see DHS Employees' Manual, 1-E, **RIGHTS OF APPELLANTS AFTER THE FINAL DECISION: Judicial Review**.

Grievances on Displacement Issues

Legal reference: 441 IAC 93.144(249C)

Complaints regarding the displacement of regular workers with program participants must be filed in writing and received by the PROMISE JOBS contractee within one year of the alleged violation.

A representative of the PROMISE JOBS contractee must:

- Provide the opportunity for informal resolution of the complaint by scheduling a face-to-face interview within seven days of the date the complaint is filed.
- Provide a written notice of the location, date, and time of the face-to-face interview.

- At the face-to-face interview, provide the complainant an opportunity to present evidence.
- Issue a decision in writing within 14 days of the date a complaint is filed.
- Provide a written explanation to all involved parties of the right to file a written appeal, according to DHS appeals procedures, if:
  - The opportunity for informal resolution is declined, or
  - A party receives an adverse decision from the PROMISE JOBS contractee, or
  - There is no decision within the 14-day period.

To be considered, an appeal must be filed with DHS within ten days of the mailing date of the adverse decision or ten days from the date on which a decision should have been mailed.

An appeal hearing will not be granted until informal resolution procedures have been exhausted, unless a decision has not been issued within 24 days of the complaint filing date.

DHS shall issue a final decision within 90 days of the date complaint was filed with the PROMISE JOBS contractee.

Any dissatisfied party shall be informed of the right to appeal the DHS decision to the Secretary of Labor at Office of Administrative Law Judges, U.S. Department of Labor, Vanguard Building, Room 600, 111 20th Street NW, Washington DC 20036, within 20 days of the receipt of the Department's final decision.

For the purpose of this policy, DHS's final decision shall be considered received the second day after the date that the written decision was mailed, unless the intended recipient can demonstrate that it was not received on the second day after the mailing date. When the second day falls on a Sunday or legal holiday, the time shall be extended to the next mail delivery day.

The option to appeal to the Secretary of Labor does not preclude an individual from exercising any right to judicial review provided in Iowa Code Chapter 17A or as described in Department appeal procedures.

All employers who participate in the PROMISE JOBS program shall provide assurances that all regular employees are aware of this grievance procedure.

Upon notice of a complaint or grievance, provide the complaining party with a copy of the grievance procedures, notification of the right to file a formal complaint, and instruction on how to file a complaint. Upon filing a complaint, and at each stage thereafter, each complainant must be notified in writing of the next step in the complaint procedure.

The identity of any person who has furnished information relating to, or assisting in, an investigation of a possible violation must be kept confidential to the extent possible, consistent with due process and a fair determination of the issues.

When a client or a provider receives an expense allowance greater than allowed under these policies or a duplicate payment, an overpayment is considered to have occurred and recovery is required.

FAMILY SELF-SUFFICIENCY GRANT

Legal reference: 441 IAC Chapter 47, Division II

The Family Self-Sufficiency Grant (FSSG) Program is available statewide for payment to families or on behalf of specific families. FSSG is part of the DHS Diversion Programs. These programs are intended to enable families to become or remain self-sufficient by removing barriers to accepting or retaining employment. PROMISE JOBS administers the FSSG program. IWD allocates a pro-rata share of the funds yearly to each SDR.

The purpose of the FSSG program is to meet needs of FIP participants not currently met by existing PROMISE JOBS services. Objectives of the program include:

- Linking welfare participants with employment, and
- Reducing the time of dependence on FIP.

The FSSG program provides immediate and short-term assistance to a PROMISE JOBS participant by removing barriers related to accepting or retaining employment. The assistance will help the family to move to self-sufficiency by reducing the time they stay on FIP. Immediate and short-term means assistance provided under this program shall not occur on a regular basis and shall be authorized upon determination of need.

The assistance enables participant families to retain employment or to accept employment in the two full calendar months following the date of authorization of payment. The grants are not to duplicate assistance available under regular PROMISE JOBS policies but are to address barriers to self-sufficiency by meeting expenses that are not approvable under regular PROMISE JOBS policies.

The following sections address:

- Local plans for FSSG
- Assistance available in FSSG
- Application processing
- Relationship to the family investment agreement
- Consequences if employment does not occur
- Reporting participation and authorizing payments

Local Plans for FSGG

Legal reference: 441 IAC 47.26(239B)

Create a local plan for Family Self-Sufficiency Grants, with written policies and procedures for administering FSSG specific to your SDR. You may work with other SDRs or with IWD toward a shared design.

The DHS administrator of the Division of Financial, Health and Work Supports and the IWD division administrator (or their designees) must approve the plan. The administrators will review the plan for required elements, as described below, and for quality of services to ensure that the plan meets the purpose of the FSSG program before approving it.

The approved plan, with its written policies and procedures, must be available to the public at DHS local offices, PROMISE JOBS offices, and at IWD. You must include a copy of the pertinent sections of your approved local plan for Family Self-Sufficiency Grants with an FSSG appeal summary.

Required Elements for an Approved Local Plan

Legal reference: 441 IAC 47.26(1), (2) and (3)

At a minimum, the policies and procedures of your local plan must contain or address the following:

- **A plan overview.** The plan overview must contain a general description detailing:
  - Types of services or assistance that are excluded from consideration for an FSSG in your PROMISE JOBS SDR. See **Assistance Available in FSSG** for a description of types of assistance.
  - A process for informing candidates of the availability of FSSG funding, its voluntary nature, and how the program works in your SDR. See **Assistance Available in FSSG**.
  - How you will determine that the service or assistance requested meets the FSSG objective of helping the family keep a job or accept a job offer, as described in **Assistance Available in FSSG**.
  - How you will determine that the proposed FSSG is not supplanting assistance from other programs, as described in **Supplanting**.
  - Services established and any maximum (and minimum, if any) values of payments for the services established by your PROMISE JOBS SDR. See **Total Payment Limit** and **Frequency of Assistance**.
  - Verification procedures or standards for documenting barriers, using written notification policies found at **Written Notification to Client.**
  - The design of the FSSG application form for your SDR as described at **Application Process**.
  - Verification procedures or standards for documenting employment attempts if not already tracked by PROMISE JOBS procedures, using policies found at **Job Search Documentation** and **Employment Verification**.

- How FSSG applications will be processed timely in your SDR to address barriers to keeping or accepting a job. Define 'timely' for your SDR.
- Follow-up procedures on participant effort.
- Procedures for tracking of FSSG authorizations in order to stay within your SDR allocation.
- How your SDR staff will be trained to administer the program.

♦ **Intake and eligibility determination.** Your policies and procedures must describe:

- How families most likely to benefit from an FSSG are identified in your SDR.
- How families can apply for FSSG assistance in your SDR.
- How DHS local offices and your SDR PROMISE JOBS offices will maintain, provide to participants, and otherwise make available the written policies and procedures describing the project.
- Which PROMISE JOBS staff shall make decisions regarding identification of barriers and candidate eligibility for payment and what local sign-off or approval procedures are required before a payment is authorized.

♦ Your **plan for evaluation** of Family Self-Sufficiency Grants. Your evaluation plan must:

- Describe your SDR tracking procedures.
- Describe your SDR plan for evaluation (e.g., what elements will be used to create significant data regarding outcomes).
- Describe how measurable results in your SDR will be determined.
- Identify any support you need to conduct an evaluation (e.g., what assistance is needed from DHS and IWD).
- Describe how you will determine which aspects of the project were successful and which were not.

Assistance Available in FSGG

Legal reference: 441 IAC 47.23(239B) and 47.24(239B)

Consider these general criteria when a family requests the FSSG.

- Only a PROMISE JOBS participant can be a recipient of the FSSG.
- In order to be an FSSG participant, the PROMISE JOBS participant must have an identifiable barrier to accepting or keeping a job that can be substantially addressed through the assistance offered by the FSSG.

The family must base participation in the FSSG program on a voluntary and informed decision. Do not consider a PROMISE JOBS participant to be choosing the LBP if the PROMISE JOBS participant does not want to be a candidate for the FSSG.

Authorize the FSSG payment when you and the participant can reasonably anticipate that the assistance will enable the participant to:

- Keep a job or
- Accept a job in the two full calendar months following the date of authorization of payment.

1. On November 20, a candidate applies for a grant for auto repair in order to keep a job at a factory in a community 40 miles from her home. She can find no repair shop that will allow her to make payments after repair is completed. There are no car pool options available to the candidate.

   The candidate's mother is driving the candidate to and from work but will stop doing so in a few days. The candidate will lose her job within a few days if she does not have reliable transportation. Authorize the FSSG payment at the appropriate time as determined by you and the participant.

2. On November 20, a trained but unemployed candidate applies for a grant for auto repair in order to continue job search. Use your knowledge of participant circumstances and of the labor market for this participant to determine whether an FSSG is appropriate.

   If you authorize the grant on or after December 1, you would look at the likelihood of employment in December, January, or February. If you authorize the grant in November, you would look at the likelihood of employment in November, December, or January.

PROMISE JOBS SDRs have the discretion to determine those barriers to self-sufficiency that can be considered for FSSG such as, but not limited to:

- Auto maintenance or repair.
- Licensing fees.
- Referral to other resources including those necessary to address questions of domestic abuse.

Types of services must be addressed in two ways in your local plan for Family Self-Sufficiency Grants. You must describe:

- Services established by your SDR.
- Services or assistance that will be excluded from consideration in your SDR.

You may authorize warrants as follows:

- To the participants.
- To a vendor.
- To a provider of support services to the family.

The SDR has discretion in determining method of payment in each case, based on circumstances and needs of the family.

Total Payment Limit

Legal reference: 441 IAC 47.24(3)

The payment limit per family is $1,000 per year. This limit is intended to establish a maximum that may be used in removing one or more barriers to self-sufficiency for a particular family. The SDR may establish maximums less than this $1,000 and also may establish minimum payment standards.

A year for a family shall be the 12 fiscal months following the date of authorization of the initial payment for the family. A fiscal month may begin and end in different calendar months. For example, if a payment were authorized on April 15, 2004, the 12 fiscal months following the authorization date would end on April 14, 2005.

Frequency of Assistance

Legal reference: 441 IAC 47.24(4)

A Family Self-Sufficiency Grant is intended to provide immediate and short-term assistance. Grants must meet all of the criteria included here each time you authorize an FSSG.

For example, each FSSG must be authorized only when it is expected that the grant will enable the family to keep a job or accept a job within the two full calendar months following the authorization date of the grant. While you may find a family to be a candidate more than once or in consecutive months due to family circumstances, you must not establish payments that are regular or ongoing.

Work carefully with each candidate to be sure that an FSSG is sufficient to remove the barrier at first authorization. If additional barriers arise the family may be a candidate again within the $1,000 annual limit or the SDR limit, whichever is lower.

If the cost of removing the candidate's barrier is greater than can be met within the $1,000 annual limit or within any limits as established by your SDR, refer the candidate to other sources instead of attempting to deal only partially with the financial need.

Supplanting

Legal reference: 441 IAC 47.24(5)

Do not authorize an FSSG for services that are already available through DHS, PROMISE JOBS, or other local resources at no cost.

Use your local coordination procedures to develop cooperation among all entities providing social services in your SDR. Work together to ensure that responsibilities for funding are not assumed by this PROMISE JOBS service when they are already available through other community resources.

Application Process

Legal reference: 441 IAC 47.25 (1)

Each SDR may create an application form specific to your PROMISE JOBS SDR. If you wish, you may work with other SDRs or with IWD toward a design to be shared among SDRs. Your SDR application must be completed by the PROMISE JOBS participant and the PROMISE JOBS worker when the participant asks to be a candidate for an FSSG.

The application form must contain the following elements:

- An explanation of the FSSG program, its voluntary nature, and the expectations of the program.
- Identification of the family and the person representing the family.
- A clear description of the barrier to self-sufficiency to be considered.
- Demonstration of how removing the barrier is related to keeping a job or accepting a job within two full calendar months after the date of authorization of the grant.
- Demonstration of why other DHS, PROMISE JOBS, or community resources cannot deal with the barrier to self-sufficiency.
- Anticipated cost of removing the barrier to self-sufficiency.

Notification

Legal reference: 441 IAC 47.25(2)

Give candidates adequate notice of the PROMISE JOBS decision regarding the FSSG. Form 470-0602, *Notice of Decision: Services*, must specify:

- Whether or not you are approving assistance under the FSSG program.
- The reason for the denial, if you are not providing assistance.
- The type and value of the assistance.
- The legal authority for the decision (441 IAC 47, Division II).
- That the household has the right to appeal the decision under 1-E, ***APPEALS AND HEARINGS***, and under **Appeals**.

Appeals

Legal reference: 441 IAC 47.25(3) and (4)

Your decision on an FSSG may be appealed under DHS appeal policies. See, **PROMISE JOBS Appeal Procedures** for instructions on filing an appeal.

Since this appeal involves actions that affect PROMISE JOBS only, you are responsible for preparing the appeal summary and attending the hearing. You must include a copy of the pertinent section of your SDR local plan for FSSG with the appeal summary whenever an FSSG candidate files an appeal.

Note: PROMISE JOBS participants will **not** be granted an appeal hearing if the sole basis for denying, terminating, or limiting assistance from an FSSG is that FSSG funds have been reduced, exhausted, eliminated, or otherwise encumbered. This policy applies to statewide and SDR-allocated funding.

However, the DHS Appeals Unit, not the PROMISE JOBS office, will make the determination so forward all appeals received.

Relationship to the Family Investment Agreement

Legal reference: 441 IAC 47.24(6)

FSSG are separate from the PROMISE JOBS family investment agreement process. However, the family investment agreement must be honored at all times, and renegotiated and amended if family circumstances require it.

The receipt of the FSSG does not need to be added to the family investment agreement. Using an FSSG may avoid the need to extend the ending date or to change the timing of the steps of the family investment agreement.

Renegotiate and amend the family investment agreement, using all PROMISE JOBS policies regarding the family investment agreement and the limited benefit plan, when the FSSG participant's barrier to self-sufficiency will:

- Extend the ending date of the family investment agreement.
- Significantly change the timing of the steps of the family investment agreement.
- Add or delete steps of the family investment agreement in spite of FSSG funding.

Use case file documentation to indicate whether family investment agreement renegotiation and amendment is needed due to the barrier addressed by the FSSG. Use narrative if other case file contents do not clearly indicate the reason for your decision regarding renegotiation.

Do not consider a PROMISE JOBS participant to be choosing the limited benefit plan if the PROMISE JOBS participant does not want to be a candidate for an FSSG.

Employment Does Not Occur

Legal reference: 441 IAC 47.24(1)

There is no penalty and no PROMISE JOBS overpayment if:

- A participant loses employment.
- Expected employment does not occur in the anticipated two-calendar month period.

All PROMISE JOBS policies regarding job search, employment, and the family investment agreement apply to PROMISE JOBS participants at all times. If a participant quits a job without acceptable problems with participation or barriers to participation, the PJPM policies at **Refusing, Quitting, or Reducing Employment** apply.

Reporting FSSG Participation and Authorizing Payments

Legal reference: 441 IAC 47.22(239B)

PROMISE JOBS workers will use the PJCase system to authorize the FSSG payment. In PJCase, use component code **10** to indicate approval of an FSSG payment each time you authorize a payment. The start date uses the date you approved the FSSG payment. You may authorize payments to the client, a vendor, or to a provider of services.

STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

October 15, 1996

GENERAL LETTER NO. 4-AP-135

ISSUED BY: Bureau of Policy Analysis, Division of Policy Coordination

SUBJECT: Employees' Manual, Title 4, ***Family Investment Program Appendix***, *PROMISE JOBS Provider Manual (Welfare Reform)*, Title Page, revised; Contents (pages 1 through 5), revised; Contents (pages 6 and 7), new; pages 1 through 216, revised; and pages 217 through 266, new.

Summary

The Iowa General Assembly, in 1995 Iowa Acts, Chapter 53, instructed the Department of Human Services (DHS) to implement certain welfare reform initiatives.

FIP and PROMISE JOBS rules in the Iowa Administrative Code have been amended to include new policies for the initiatives that affect FIP and PROMISE JOBS participants. Except for those items specifically mandated by the General Assembly, the new rules and procedures are the product of a work group made up of central office and field staff from DHS and PROMISE JOBS.

Also, the DHS Employees' Manuals have been reorganized so that Title 4, the FIP manual, no longer has an Appendix containing FIP forms. The *PROMISE JOBS Provider Manual* (PJPM) is now the only Appendix to Title 4. Therefore, the General Letter number above comes from the Title 4-Appendix series, rather than the Title 4-Appendix II series that we formerly used for the PJPM.

The entire *PJPM (Welfare Reform)* has been revised into the new format for DHS Employees' Manuals. It eliminates the Policy, Comment, and Procedure designations and locates the legal reference immediately under the section heading. Heading titles are unchanged for the most part, but reorganization of the text means that some policies appear in new locations.

Many sections have been rewritten to eliminate the legalistic language that formerly appeared under the Policy headings. Policy and instructions to PROMISE JOBS staff now flow together through each section and subsection. Since these revisions do not contain new policy or new instructions, they will not be indicated with the side bar that designates new manual material.

Actual rule changes, new instructions, or new information for staff are designated with a side bar.

Pages are revised throughout to incorporate appropriate references to the new state department, Iowa Workforce Development (IWD) and the changes in flow of services, etc., that have occurred under the new department. **Iowa Invests Volunteer Mentor Project** is revised to show that the Volunteer Mentor Project is now a project of IWD.

Pages are also revised to include a new service, referral for family planning counseling, in all references that list PROMISE JOBS/FIA services. Other pages are revised to add information on new form 470-3281, *Child Care Estimate of Cost*, where appropriate.

REFERRING CLIENTS TO PROMISE JOBS and its subsections, **Child Care Exemption** and **Employment Exemption**, are revised to incorporate changes in the policies that DHS income maintenance workers use to decide which FIP participants they will refer to PROMISE JOBS.

- The child care exemption now applies only to those who are caring for a child under three months of age at the time of application. It does not apply to parents aged 19 or under.
- The employment exemption no longer applies to parents aged 19 or under.

ASSIGNMENT TO COMPONENTS is revised as follows:

- **Priority of Service** is revised to make it clear that parents who are already age 19 will need priority of service to be certain they meet their obligation to participate in parenting skills training. This policy is restated in other sections as appropriate.
- **FIP-UP Work Program** has been moved to this section. The text is revised to add new policies and a new form 470-3282, *FIP-UP Work Program Designated Parent Declaration*, to clarify the responsibility of the parent chosen to be the designated parent to carry out the requirements of the UP work program. Other revisions are for clarification of policy.
- **FaDSS Participation** is revised to add the policy that a minor parent who receives FIP while she is not living with a parent or legal guardian must include FaDSS or PROMISE JOBS family development in the FIA.
- **PROMISE JOBS Family Development** is added to this section to incorporate field instructions regarding family development services other than FaDSS. Subsection **Unmarried Parents Aged 17 and Younger** provides the policy for the minor parents who must include PROMISE JOBS family development or FaDSS in the FIA because they are not living with a parent or legal guardian.
- **Family Planning Counseling Referral** is added to provide PROMISE JOBS policy and procedures for this new optional service which must be offered to each PROMISE JOBS participant.

FAMILY INVESTMENT AGREEMENT is revised as follows:

- **Family Planning Counseling as an FIA Option** is added.
- **FIA Options for Parents Aged 19 and Younger** includes all of the PROMISE JOBS and FIA requirements specific to teen parents or minor parents.

JOB SEARCH OPTIONS is revised to incorporate new policies that clarify the responsibilities of participants during the job search process and the times when participants are considered to be choosing the limited benefit plan (LBP). It is also revised to include discussion of policies and some case examples to help PROMISE JOBS with the design of job club and the use of the participant job search plans.

A new section, **WORK OPTIONS** is added to provide a logical organization of PROMISE JOBS components that are directly related to employment, both paid and unpaid. The following components are included:

- **Monitored Employment Under the FIA**, which is revised to include a discussion about using the determination of the employer as the standard to tell whether a participant has quit a job or has been fired, terminated, or discharged.
- **PROMISE JOBS On-the-Job Training**
- **Work Experience Placement**
- **Unpaid Community Service**

VOCATIONAL CLASSROOM TRAINING has been revised as follows:

- **Entrepreneurial Training** is added to provide information about the program which has replaced SEID and ISHIP. Procedures are included that were formerly provided to PROMISE JOBS through a PROMISE JOBS MEMO. There is no new policy.
- **Time Frames Required for Plan Approval** is revised to add the policy that clarifies that the time frames given are maximums within which training must be completed, whether full-time or part-time.
- **Nonapprovable Training** is revised to add more detailed instructions for PROMISE JOBS procedure when they deny a classroom training plan because labor market statistics indicate that prospects in the field of requested training are poor for self-sufficiency.
- **Termination of a Training Plan**, and **Abuse of Program** are revised and **Effect of LBP on Future Plans** and **Participation Issues Specific to Classroom Training** are added due to the new policies regarding the LBP and its relationship to vocational classroom training.

  When participants do not participate in training or do not provide necessary information to PROMISE JOBS, PROMISE JOBS is no longer required to terminate a training plan and allow a 30-day reinstatement period before dealing with LBP issues. Workers will instead initiate LBP resolution procedures.

Under the LBP resolution process, participants have time and opportunity to resolve problems with participation and resume FIA activities before an LBP is imposed.

PARENTING SKILLS TRAINING is revised to add the new policies regarding approvable providers and duration of training which apply to each parent using parenting skills training. In addition, specific policies are added that apply only to parents aged 19 and younger who are now required to include parenting skills training in the FIA.

EXPENSE ALLOWANCES is revised as follows:

- **Transportation: Allowances for Public Transportation** is revised to provide procedures to pay transportation allowances directly to providers of public transportation.
- **Child Care: Rate of Payment** is revised to add the following clarification to the definitions of care setting: If an otherwise approvable child care provider lives in the same home as the child, consider the care to be family home care.

ADMINISTRATION has the following revisions:

- **Required Client Documentation: Job Search Documentation** has new language to describe the use of form 470-3099, *Job Search Record*. It also includes the new rule which makes it clear that participants who fail to provide all information required on the *Job Search Record* or do not provide it timely have chosen the limited benefit plan (LBP).
- **Written Notification to Client** is revised to add form 470-3281, *Child Care Estimate of Cost*, to the table of most commonly used forms.
- **Records Maintenance** is revised to add the *Child Care Estimate of Cost* and the *FIP-UP Work Program Designated Parent Declaration* to the procedures for maintaining case file contents.

LIMITED BENEFIT PLAN is revised under several heading to add brief clarifications.

RESOLUTION OF DISPUTES, APPEALS, AND GRIEVANCES: Ending a Limited Benefit Plan by Signing an FIA is revised to provide guidance to PROMISE JOBS in working with participants who want to sign an FIA quickly because they have reconsidered their choice of the LBP. It also provides guidance for making the decision that the participant has abandoned the reconsideration effort.

Effective Date

November 1, 1996

Material Superseded

Remove from the Employees' Manual, Title IV, Appendix, and entire current *PROMISE JOBS Provider Manual (Welfare Reform)* and destroy it. This includes:

Page	Date
Title Page	Undated
Contents (pages 1 through 5)	February 1996 and July 1996
1 through 216	Various dates

The following memos from the PROMISE JOBS MEMO numbered series are obsolete and can be destroyed:

- PROMISE JOBS MEMO # 84, dated July 11, 1994
- PROMISE JOBS MEMO # 102, dated August 2, 1995

Additional Information

Contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators if you need additional information.

STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

July 15, 1997

GENERAL LETTER NO. 4-AP-138

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS***, ***Provider Manual***, Contents (pages 1, 2, and 6), revised; and pages 1, 10 through 13, 56, 65, 66, 67, 88, 89, 90, 165, 166, 167, 169, 190, 213, 231, 257, and 258, revised; and *PROMISE JOBS Provider Manual Appendix*, Contents (pages 1 and 2), revised; pages A5 through A8, A15 through A36, A46 through A50, and A53, revised; and the following form:

WI-3302-0 (470-0809) *Sponsor's Request for Work Experience (WEP) Placement*, revised.

Summary

Pages 165-167 and 169 are revised to incorporate the changes related to the child care rate changes.

Pages 10-13, 56, 65, 231, and 257 are revised to incorporate the changes in the policies and procedures related to exemption from referral of PROMISE JOBS.

Page 90 is revised to make it clear that PROMISE JOBS may contact an employer for information about a job quit based on the authorization signed by the participant on the *Employer's Statement of Earnings*, form 470-2844.

Pages have been revised throughout regarding Family Investment Program (FIP) regular policy, control groups, and control group policies. The FIP regular policies and control groups were eliminated January 1, 1997.

Child Care Rate Changes

Maximum payment rates used for all DHS child care programs have been revised. Base arrangements for child care provided in July 1997 and after on the maximum rates as shown in the new Table I and Table II.

The new rates represent statewide maximums derived from a market rate survey of child care providers conducted in November 1996. This survey asked providers to provide the rate that they use for private pay customers. Rate information was requested from a randomly selected sample of nearly 1,500 child care providers.

In addition to maximum rate changes, there are other changes and additions to the chart that need your close attention.

The order of the care settings has been changed and a setting has been added. The care settings are now listed as follows:

- Child care center.
- Registered group home.
- Registered family home.
- Nonregistered family home.

Note that family home day care providers are now divided into two groups:

- **Registered family homes** are those homes who have received a *Certificate of Registration* from the state.
- **Nonregistered family homes** are homes, including those of relatives, who provide care but do not have a *Certificate of Registration* from the state.

Because family home providers are not mandated to be state-registered, the Child Care Work Group of the Welfare Reform Advisory Group and the State Child Day Care Advisory Council recommended a rate differential in favor of state-registered family homes.

They believe it is important to the welfare of children to encourage family home child care providers to become state-registered providers. They will then be able to access services, including the Child and Adult Care Food Program, that can improve the circumstances of children in day care. Registration gives parents the assurance that child abuse and criminal records checks have been completed.

The nonregistered family home category uses the rate that was formerly used for all family homes. The rates developed through the market rate survey are used for registered family homes.

The age groups of the children in care have been changed also. The age groups are now as follows:

- "Infant/toddler" means children age two weeks to two years.
- "Preschool" means children age two years to kindergarten.
- "School age" means a child in attendance in full-day or half-day classes, beginning with kindergarten.

You may use the RC-0020, *Maximum Payment Rates for Child Care Providers*, or copies of the May 19, 1997, letter to PROMISE JOBS child care providers to explain the change in maximum rates to participants and child care providers.

See Workforce Development Field Memo 97-31 of May 28, 1997, with PROMISE JOBS MEMO # 129--July 1, 1997, Increase in Child Care Maximum Half-Day Rate Ceilings of May 13, 1997, for copies of the letter to PROMISE JOBS child care providers. See the DHS Circular Letter 27Z-220-EA, dated June 17, 1997, for the revised RC-0020.

You may send a copy of the May 19, 1997, letter to providers with ongoing arrangements who may not have received a payment in March or April and, therefore, did not receive the letter through the DHS mailing.

As always, use the *Child Care Estimate of Cost*, form 470-3281, to establish approvable providers for all new participants and for participants for whom a change in circumstances means a change in hours of child care, etc. Include the RC-0020 with the *Child Care Estimate of Cost* when arrangements are for July 1997 or after.

Continue to follow all policies in the ***PROMISE JOBS Provider Manual*** regarding:

- Eligibility for child care payment.
- Converting hours of PROMISE JOBS participation to cumulative half day units.
- Establishing a half-day rate for providers who do not have a half-day rate.
- Eligibility for special needs rate.

Use of in-home child care continues to be limited. Whenever you use the *Child Care Estimate of Cost*, make the following pencil or pen and ink change: Under TYPES OF CHILD CARE, cross out the indicator box and text as follows: ~~"IN HOMECARE: An Individual provides day care in the child's own home."~~

If nonregistered family home child care providers ask for information about becoming a state-registered provider, refer them to the DHS county office. Use your local coordination procedures to establish a contact person for this purpose.

Changes in Policies for Referral to PROMISE JOBS

The First Session of the Seventy-seventh Iowa General Assembly authorized the following welfare reform changes in the exemptions from referral to PROMISE JOBS:

- A parent or other relative caring for a child under three months of age at the time of FIP approval is no longer exempt for that reason.
- A person employed 129 hours or more a month in unsubsidized employment at the time of FIP approval is no longer exempt.

Members of the Legislature believed that persons who are employed full time and still eligible for FIP should have the support of the PROMISE JOBS program to continue to move toward self-sufficiency. Services will have to be tailored to employed persons who need help in advancing in their organizations, finding better employment, combining sources of employment, or enhancing job skills.

Similarly, members of the Legislature believed that parents or other relative caretakers of newborns who are newly eligible for FIP should not postpone making plans for self-sufficiency. The FIA should be completed soon after referral to PROMISE JOBS so that the participant can begin self-sufficiency activities at once when the family leave is complete.

On FIP applications received or processed on or after July 1, 1997, DHS income maintenance (IM) workers will not exempt anyone due to the age of the child or full-time employment.

For ongoing cases, where persons have been exempt for one of these reasons, DHS IM will complete at referral at the time of next redetermination, but not later than the next review. Many of those who are exempt due to the age of a child will, of course, be redetermined when the child reaches age three months, before they reach their review date.

For PROMISE JOBS, this means approximately 2,000 more referrals above current level throughout the next twelve months.

See revised pages 56 and 65 for instructions on providing orientation, assessment, FIA development, and FIA renegotiation and amendment services to parents and caretaker relatives of infants under age three months.

Effective Date

July 1, 1997.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, and destroy them:

Page		Date
Welfare Reform Title Page		Undated
Contents (pages 1, 2, and 6)		October 15, 1996
1, 10-13, 56, 65, 88-90, 165-167, 169, 190, 213, 214, 231, 257, 258		October 15, 1996
Appendix Contents (pages 1 and 2)		November 1996
470-2636	Conciliation Agreement	1/94
A4a, A4b, A5, A6		November 1996
WI-3304	Employability Plan	7/92
A7, A8		January 1994
470-2926	Employability Plan Guidebook	7/93
A14a		November 1996
A15-A30		January 1994
470-2601	Notice of Failure to Participate	1/94
470-2600	Notice of Potential Sanction	1/94
470-2667	Notice of Potential Sanction--Exempt Volunteers	1/94

470-0817	Notice of Probation and Appointment	7/93
A30a, A30b, A32		November 1996
A32, A33		January 1994
A34-A36		November 1996
	PROMISE JOBS Program Letters	January 1994
470-2757	Change Voluntary to Mandatory (Status (IWD)	January 1994
470-2756	Change Voluntary to Mandatory Status (BRS)	January 1994
470-2885	Employment Provides Mandatory Participation	January 1994
470-2760	End of PROMISE JOBS Sanction	January 1994
470-2753	Referral for Mandatory Participant (BRS)	January 1994
470-2752	Referral for Mandatory Participant (IWD)	January 1994
470-2755	Referral for Voluntary Participant (BRS)	January 1994
470-2754	Referral for Voluntary Participant	January 1994
WI-3302-0	Sponsor's Request for WEP Placement	4/93
RC-0020	Statewide 75th Percentile Cost of Child Career	(Rev. 12/93)
A46-A50		January 1994
A50a		November 1996
470-0812	Your Rights and Responsibilities	1/94
A53, A54		January 1994

With the revised page numbering, form samples should be filed as follows:

470-3282	Before page A15
470-3099, 470-0813	After page A16, before page A17
SS-1104-0	After page A18
470-0820, 470-2666	After page A20, before page A21
470-3116, 470-2925	After page A22, before page A23
PA-2228-0	After page A24
RC-0008, PA-2229-0	After page A28, before page A29
470-2736,	Before page A31
RC-0014, 470-3110, 470-3109	After page A32, before page A33
470-3106, 470-3105, 470-3108, 470-3107	After page A34, before page A35
470-2758, 470-2759, 470-2761	After page A36
WI-3302-0, 470-2604	After page A46, before page A47
470-3097, WI-1103-5	After page A48, before page A49
470-3300	After page A50

Additional Information

Use up the current supply of form WI-3302 or discard it and order the new form from Anamosa, based on local decision.

Please contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators for additional information.

STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

November 12, 1997

GENERAL LETTER NO. 4-AP-140

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, Contents (pages 1, 4, 5, 6, and 7), revised; and pages 1 through 9, 26, 27, 44, 46, 59, 106 through 136, 137, 142, 171 through 175, and 223, revised; and pages 136a through 136e, new.

PROMISE JOBS rules were revised effective March 1, 1997, to:

- Make child care and transportation available to all participants in a postsecondary training plan without regard to available student financial aid.
- Eliminate PROMISE JOBS assistance with direct education costs (tuition, books, some fees, and supplies) for all participants who begin a postsecondary training plan after March 1, 1997, except for participants in short-term training of less than 30 weeks.
- Allow payment of direct education costs for those who were active in postsecondary training on March 1, 1997, and who do not have enough student financial aid to cover them.

This allows PROMISE JOBS to honor the commitment made to participants who began to receive funding for their postsecondary training before the March 1997 change. These revisions were made to bring the PROMISE JOBS program into compliance with an interpretation of the Higher Education Act which implies that the state cannot use student financial aid administered through the federal Department of Education to reduce benefits of child care and transportation for FIP participants in a program like PROMISE JOBS.

The changes in this General Letter are needed to ensure that PROMISE JOBS is not in conflict with an even more stringent interpretation of the Higher Education Act by the University of Iowa Law Clinic with whom a class-action law suit is currently pending.

This more stringent interpretation would require Iowa to ignore the amount of the participants' federal student financial aid to determine how much assistance to make available for direct education costs. The basis for the interpretation is a federal law which prohibits states from using certain kinds of financial student aid when determining eligibility and benefits for other federal programs.

The creation of the Iowa Transitional Assistance for Direct Education Costs program (ITADEC) allows the state to continue to honor the commitment to participants in training on March 1, 1997, by using state-only funds, involving no other federal funds, in the payment of any direct education costs for participants who receive federal student financial aid. PROMISE JOBS participants and PROMISE JOBS staff will see no difference in the receipt of assistance and administration of the program.

BASIC EDUCATION SERVICES is added as a new section. Policies which are unique to high school completion, GED, ABE, and ESL have been moved to this section. It incorporates policy that was effective March 1, 1997.

Language in this section makes it clear that basic education participants are eligible for assistance with direct education costs in addition to child care and transportation assistance. The new section also contains cross-references to other pertinent policies.

POSTSECONDARY TRAINING replaces former section title, **VOCATIONAL CLASSROOM TRAINING**. Pages throughout the section are revised or added to incorporate the changes which were effective March 1, 1997, as well as the changes which are effective November 12, 1997. Pages are revised throughout to correct cross-references.

Language under **Training Allowances for All Postsecondary Training** makes it clear that there are certain expenses, including child care and transportation, which are available to everyone in postsecondary training. The costs listed here are not considered to be direct education costs.

Language under **Direct Education Allowances for Short-term Postsecondary Training** makes it clear that assistance with direct education costs is available only for those who are in a postsecondary training plan of less than 30 weeks, with the exception of those who are eligible for ITADEC.

Iowa Transitional Assistance for Direct Education Costs is added under **POSTSECONDARY TRAINING** to provide the policies for the state-only assistance with direct education costs to participants who were enrolled and participating in a PROMISE JOBS-funded postsecondary training plan on March 1, 1997.

The policies under **Requirement to Apply for and Use Financial Aid** apply only to those who are eligible for the ITADEC funding. In effect, PROMISE JOBS will use a *spenddown* process for the ITADEC participants. The spenddown applies only to direct education costs. Child care and transportation are not included in the spenddown process and continue to be paid with regular PROMISE JOBS funding.

PROMISE JOBS staff will use the established process of entry in the PROMISE JOBS Expense Allowance File to issue ITADEC allowances. Tracking of the ITADEC funding is a DHS function and requires no special action by PROMISE JOBS.

EXPENSE ALLOWANCES: Education Expenses is revised to incorporate the policies that were effective March 1, 1997.

Effective Date

November 12, 1997, is the effective date of the ITADEC policies. The policies are, however, retroactive to March 1, 1997. No specific action is required of PROMISE JOBS regarding the effective date.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, PROMISE JOBS, Provider Manual and destroy them:

Page	Date
Manual letter 4-AP-8	March 4, 1997
Contents (page 1)	July 15, 1997
Contents (pages 4 and 5)	October 15, 1996
Contents (page 6)	July 15, 1997
Contents (page 7)	October 15, 1996
1	July 15, 1997
2-9, 26, 27, 44, 46, 59, 106-137, 142, 171-175, 223	October 15, 1996

Additional Information

Please contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators for additional information.

STATE OF IOWA
TERRY E. BRANSTAD, GOVERNOR
DEPARTMENT OF HUMAN SERVICES
CHARLES M. PALMER, DIRECTOR

June 23, 1998

GENERAL LETTER NO. 4-AP-142

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, pages 120, 121, 136d, and 136e, revised and;

RC-0008 *Overpayment Recovery Codes*, revised
PA-2126-5 *Report on Incapacity* (470-0447), revised.

Summary

PROMISE JOBS rules were revised effective July 1, 1998, to extend the length of time a PROMISE JOBS participant is considered eligible to receive funding for postsecondary education.

Previously, participants were allowed only 24 consecutive months of funding. This meant that participants who did not enroll for summer classes, or who dropped out of school for a semester due to barriers to participation, lost some of their months of eligibility for funding.

This new rule allows classroom training participants 36 consecutive months in which to use a maximum of 24 months of funding for classroom training. The maximum number of months in which a participant may receive funding has not changed. Only the length of time that a participant is allowed to use this funding has been extended.

Identify any participants who will not have used all 24 months of their postsecondary education funding by the end of June 1998. Inform these participants that they are now allowed 36 consecutive months in which to use up to 24 months of supportive services for postsecondary education, rather than 24 consecutive months.

Contact these participants before their original 24-consecutive-month eligibility period ends, so that there will be no break in PROMISE JOBS supportive services.

A PROMISE JOBS memo will be issued to provide suggested text for an informational letter that can be used to inform participants about this rule change.

All other ***PROMISE JOBS Provider Manual*** policies regarding postsecondary education still apply.

No changes to existing FIAs will be necessary due to this rule change.

Codes used for form PA-2228-0, *Overpayment Recovery Information Input*, and form PA-2126-5, *Report on Incapacity*, are revised for reasons unrelated to PROMISE JOBS use.

Effective Date

July 1, 1998, is the effective date of this new policy. However, this policy is retroactive to July 1, 1996.

Material Superseded

Remove the following pages from the PROMISE JOBS Provider Manual and destroy them:

Page	Date
120, 121, 136d, 136e	November 12, 1997
RC-0008 (after p. A28)	3/98
PA-2126-5 (in front of p. A41)	1/94

Additional Information

Use up existing supplies of form PA-2126-5 before reordering the revised form.

Please contact Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators for additional information.

STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

August 11, 1998

GENERAL LETTER NO. 4-AP-143

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, ***Family Investment Program Appendix***, *PROMISE JOBS Provider Manual*, Contents (pages 1 and 5), revised; pages 4 through 7, 162, and 172, revised; pages 162a through 162d and 172a, new; *PROMISE JOBS Provider Manual Appendix*, Contents (pages 1 and 2), revised; pages A42 through A45, revised; pages A16a and A16b, new; and the following forms:

470-3496	*Nonregistered Provider Application*, new
595-1489	*Non-Law Enforcement Record Check Request, Form A*, new
SS-1606-0	*Request for Child Abuse Information* (470-0643), new

Summary

Legislation passed in 1997 requires all nonregistered child care providers and anyone living in the home of the provider to be checked for criminal convictions and child abuse records. Persons who have a founded child abuse or criminal record cannot get PROMISE JOBS payments for providing child care, unless DHS finds through an evaluation of their record that they are eligible to provide child care services despite the record.

The PROMISE JOBS Provider Manual is revised to incorporate policies and procedures to accomplish this. Three new forms are added for this process. Nonregistered providers who want to get PROMISE JOBS payments for providing child care must:

- Complete form 470-3496, *Nonregistered Child Care Provider Application*.
- Agree to allow PROMISE JOBS to check for child abuse and criminal records that would make them ineligible to provide child care.
- Complete form 595-1489, *Non-Law Enforcement Record Check Request, Form A.*

The participant is responsible for securing these forms from the provider. PROMISE JOBS completes form SS-1606-0, *Request for Child Abuse Information*, to initiate the check for a child abuse history.

PROMISE JOBS must deny child care arrangements with nonregistered providers who:

- Do not complete and sign forms 470-3496 and 595-1489 when required.
- Have a child abuse or criminal record, unless DHS has evaluated the record and approved the person to provide child care.
- Provide the care in their own home and live with a person who has a child abuse or criminal record, unless DHS has evaluated the record and approved the person to provide child care.

When participation will be delayed while awaiting the results of the records checks, PROMISE JOBS may make payment to a nonregistered provider who:

- Signs and completes forms A, 470-3496, and 595-1489, and
- States on the application that the provider has no criminal or child abuse record, and no person living in the home of a family home provider has such a record.

The *PROMISE JOBS Provider Manual* is also updated with the changes due to the redesign of the Iowa Volunteer Mentor Program.

Effective Date

August 1, 1998, is the effective date of the changes that require child abuse and criminal record checks for non-registered providers. Apply these policies to child care arrangements approved on or after August 1, 1998. Apply these policies at the time of next review or change for those participants who are active in a PROMISE JOBS component with child care arrangements that were approved before August 1998, but no later than July 31, 1999.

The other changes are effective upon receipt of this letter.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, *PROMISE JOBS, Provider Manual*, and destroy them:

Page	Date
Contents (pages 1 and 5)	November 12, 1997
4-7	November 12, 1997
162	October 15, 1996
172	November 12, 1997
Appendix Contents (pages 1 and 2)	March 24, 1998
A42	October 1997
A43	January 1994
A44, A45	November 1996

Additional Information

All of these new forms can be ordered from Iowa State Industries at Anamosa in the usual manner.

Contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators if you need additional information.

STATE OF IOWA
TERRY E. BRANSTAD, GOVERNOR
DEPARTMENT OF HUMAN SERVICES
CHARLES M. PALMER, DIRECTOR

December 8, 1998

GENERAL LETTER NO. 4-AP-144

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, ***Family Investment Program Appendix***, *PROMISE JOBS Provider Manual*, Contents (pages 5, 6, and 7), revised; pages 162a through 162d, 255, and 256, revised; pages 162e, 162f, and 256a, new; *PROMISE JOBS Provider Manual Appendix*, Contents (pages 1 and 2), revised; pages A16a, A16b, A42, and A43, revised; pages A16c through A16e, new; and the following forms:

595-1494	*Non-Law Enforcement Record Check Billing Form*, new
595-1489	*Non-Law Enforcement Record Check Request Form A*, revised
SS-1104-0	*Notice of Decision*: *Services*, revised
SS-1606-0	*Request for Child Abuse Information*, revised

Summary

This general letter transmits:

- Revisions to the process of securing criminal record checks for nonregistered child care providers.
- Instructions for a new form 595-1494, *Non-Law Enforcement Record Check Billing Form*.

Beginning with the effective date of this letter, PROMISE JOBS staff must mail or fax form 595-1489, *Non-Law Enforcement Record Check Request Form A*, directly to the Division of Criminal Investigation (DCI) to find out whether a nonregistered provider (or a person in the provider's home) has a criminal conviction that would make the provider ineligible to provide child care.

Discontinue sending form 595-1489 to the Division of Adult, Children, and Family Services with the effective date of this letter, as ACFS will return the forms to you for submission to DCI. Distribution instructions on the form are revised to reflect this change.

Include one form 595-1494, *Non-Law Enforcement Record Check Billing Form*, when submitting one or more *Form A*'s to DCI to authorize payment for completion of the records check.

DCI returns form 595-1489 directly to PROMISE JOBS with the results of the criminal record check. This change intends to reduce the processing time for securing criminal record checks for non-registered providers, and persons living in a provider's home or with access to a child when the child is alone.

This general letter also adds procedures for notifying persons who are not eligible to provide child care and not eligible to receive PROMISE JOBS payment for doing so.

Other revisions are made to clarify existing policy and procedure.

Implementation Instructions for Notifying Persons Ineligible to Provide Child Care

Beginning December 22, 1998, send form SS-1104-0, *Notice of Decision: Services*, to a person who applies to be a child care provider when the results of a DHS evaluation find the provider not eligible to provide child care.

Also send form SS-1104-0, *Notice of Decision: Services* to a person who applies to be a child care provider when DHS is not able to complete an evaluation as the person did not supply form 470-2310, *Record Check Evaluation.*

Send form SS-1104-0, *Notice of Decision: Services*, to any person who applied to be a child care provider and whose child care arrangement was not approved due to a DHS evaluation decision issued before December 22, 12998, unless DHS issued a notice.

Send form SS-1104-0, *Notice of Decision: Services*, to any person who applied to be a child care provider and whose child care arrangement was not approved because DHS notified you before December 22 that the provider did not supply DHS with a *Record Check Evaluation* form, unless DHS issued a notice.

Effective Date

December 22, 1998

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, *PROMISE JOBS, Provider Manual*, and destroy them:

Page	Date
Contents (page 5)	August 11, 1998
Contents (pages 6 and 7)	November 12, 1997
162a-162d	August 11, 1998
255, 256	October 15, 1998
Appendix Contents (pages 1 and 2)	August 1998
595-1489	8/97
A16a, A16b	August 1998
SS-1104-0	7/93
A42, A43	August 1998
SS-1606-0	7/97

Additional Information

Order form 595-1494 and the revised form SS-1606-0 from Iowa State Industries at Anamosa in the usual manner. Discard existing supplies of form SS-1606-0 upon receipt of the revised form.

Use existing supplies of forms SS-1104-0 and 595-1489. Reorder from Iowa State Industries at Anamosa in the usual manner.

Contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators if you need additional information.

STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

January 12, 1999

GENERAL LETTER NO. 4-AP-145

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, pages 2, 8, 16 through 21, and 42, revised; and ***PROMISE JOBS Provider Manual Appendix***, Record Card RC-0014, *PROMISE JOBS Data Codes*, revised.

Summary

Federal law no longer requires target group identification. Therefore, all PROMISE JOBS referral codes relating to target groups will no longer be used. There are now only five valid referral codes that should be used:

1 Exempt
2 Nonrefugee volunteer
8 Nonrefugee mandatory
E Refugee volunteer
L Refugee mandatory

The old codes still exist in the system. However, income maintenance workers will no longer use these codes to refer persons to PROMISE JOBS.

Also, the Family Development and Self-Sufficiency (FaDSS) program has recently been expanded to cover 97 counties. New PROMISE JOBS component codes have been assigned to these new FaDSS providers in order to track participation.

PROMISE JOBS Data Codes, record card RC-0014, has been revised to reflect the new FaDSS component codes and the five remaining referral codes. The other referral codes are still included for reference even though they will no longer be used. References to the Department of Economic Development and Department of Employment Services on RC-0014 are changed to Iowa Workforce Development (IWD).

Legal references have been updated.

Effective Date

Upon receipt

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
2, 8	November 12, 1997
16-21, 42	October 15, 1996
PROMISE JOBS Provider Manual Appendix	
RC-0014	October 1997

Additional Information

Please contact your Department of Human Services regional benefit payment administrator or Iowa Workforce Development PROMISE JOBS coordinators if you need additional information.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

July 6, 1999

GENERAL LETTER NO. 4-AP-146

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, *PROMISE JOBS Provider Manual*, Contents (page 1 through 7), revised; Contents (page 8), new; and pages 10 through 13, 23, 39 through 44, 53, 54, 72, 82, 85 through 90, 96, 105, 106, 136c, 147, 148, 161, 162, 162a through 162f, 163 through 172, 172a, 177 through 185, 187, 189, 190, 201, 205 through 210, 215, 216, 227 through 230, 233 through 256, 256a, and 257 through 264, revised; and pages 90a, 162g, 162h, 172b, and 256b, new; *PROMISE JOBS Provider Manual Appendix*, Contents (pages 1 and 2), revised; Contents (page 3) new; pages A4, A18, A19, A31, A34, and A43, revised; pages A4a and A4b, new; DHS Employees' Manual Chapter 1-E (Title page, Contents, and pages 1 through 44), revised; and the following forms:

470-2959	*Child Care Certificate*, new
470-2598	*Expense Allowance Authorization*, revised
470-3095	*Family Investment Agreement*, revised
RC-0040	*Income Maintenance Discussion of PROMISE JOBS*, revised
470-0813	*Notice of Appointment or Participation*, revised
SS-1104-0	*Notice of Decision: Services* (470-0602), revised
470-2890	*Payment Application for Nonregistered Providers*, new
470-3110	PROMISE JOBS Program Letter: *Change FIA Voluntary Status to Mandatory (BRS)*, revised
470-3109	PROMISE JOBS Program Letter: *Change FIA Voluntary Status to Mandatory (IWD)*, revised
470-3611	PROMISE JOBS Program Letter: *FIA Referral for Reconsideration of LBP (BRS)*, new
470-3610	PROMISE JOBS Program Letter: *FIA Referral for Reconsideration of LBP (IWD)*, new
WI-3303-0	*Referral for Work Experience (WEP) Placement* (470-0810), revised
470-3300	*Your Family Investment Agreement Reminder*, revised
470-3104	*Your FIA Rights and Responsibilities*, revised
470-3103	*Your PROMISE JOBS Reminder*, revised

Summary

This general letter:

- Transmits information regarding the Child Care Assistance (CCA) program.
- Incorporates policies in Manual Letter No. 4-AP-10 into the manual.
- Makes additional changes throughout the manual to clarify current policy.

The following sections of this letter describe the policy changes in further detail:

- Child care assistance
- Limited benefit plan
- When a participant is discharged from employment due to misconduct
- When a participant's employment changes substantially

Child Care Assistance

House File 761, passed in the 1999 Iowa legislative session, establishes that all child care assistance provided by the Department be administered through the Child Care Assistance program effective July 1, 1999. As a result, the FIP child care deduction, the PROMISE JOBS child care program, and the Transitional Child Care program are eliminated.

PROMISE JOBS workers will administer the Child Care Assistance program to all families for PROMISE JOBS components other than paid employment. Child Care Assistance workers will administer the program to FIP recipients who are employed. Refer all employed PROMISE JOBS participants to the local DHS office if they are in need of assistance with child care costs.

All FIP assistance unit members in an active FIP case and persons in a PROMISE JOBS-approved activity are considered eligible for Child Care Assistance without regard to income, number of working hours, or waiting lists (should waiting lists be established). The FIP "assistance unit" includes any person on the FIP grant and any person whose income is considered when determining eligibility or the amount of the grant.

However, child care providers are subject to Child Care Assistance requirements. For example, they must be aged 18 or older and be registered or licensed (or pass the required criminal and child abuse record check conducted by DHS) before you can make payment.

Elimination of the Child Care Deduction

Income Maintenance is eliminating the child care deduction when determining FIP eligibility effective July 1, 1999, for all FIP applicants. For FIP participants, the child care deduction is eliminated when determining September 1999 cash benefits.

FIP applicants and participants who are employed may receive assistance with child care costs through the Child Care Assistance program. This includes persons whose income is considered when determining eligibility for the FIP grant amount.

Because of the limit on the allowable amount, the child care deduction is often less than the family's actual child care expenses. The Child Care Assistance program may absorb the family's child care cost in its entirety, in accordance with Child Care Assistance rates for the particular child care arrangement. Payment is made directly to the provider.

Some families with small grants may lose FIP eligibility because loss of the child care deduction increases their countable earnings. These families may have their child care costs reimbursed by Child Care Assistance and still qualify for Medicaid and food stamp benefits if they otherwise eligible under the respective program's policies.

Elimination of Transitional Child Care

The Transitional Child Care (TCC) program is eliminated as the program is incorporated into the Child Care Assistance program. Families who are receiving TCC before July 1, 1999, may continue to receive TCC assistance until their eligibility period ends or they otherwise cease to be eligible for TCC. No new applications will be taken or approved on or after July 1, 1999.

Units of Service

Under current policy, a unit of child care service is a half-day, defined as up to and including 5 hours of service. Under new policy, a half-day unit remains defined as up to and including 5 hours of service, but units are calculated on a daily basis instead of monthly. Example:

Ms. S is a full-time student with an 18-month-old daughter. She attends classes on Monday, Wednesday, and Friday from 11:00 a.m. to 2:00 p.m. and Tuesday and Thursday from 9:00 a.m. to 11:00 a.m.

Including actual travel time of one hour round trip from the child care site to the training site, she has four hours of participation on three days and three hours of participation on two days. Assume a month of 30 days that begins on a Saturday and ends on a Sunday, so that it includes four normal work weeks of Monday through Friday.

Under Current Policy: There are 72 total hours of child care in this assumed month. Divide this total by five to establish the number of cumulative half-day units for the calendar month or for the component. Count any balance of hours or minutes remaining as an additional half-day unit. 72 divided by 5 = 14.4 or 15 units of child care.

Under New Policy: The total hours of child care are calculated for a 24-hour period instead of totaling the hours in a month or component. Ms. S attends class every day of the week but always less than 5 hours, including travel time from the child care site to the training site. 1 unit a day x 20 days in this assumed month = 20 units. Ms. S's child care provider will be paid for one allowable unit per day or 20 units of child care for this month.

Nonregistered Child Care Providers

PROMISE JOBS will no longer make payment to nonregistered child care providers awaiting the results of the child abuse and criminal records check. Payment will be held until the record checks are returned as cleared or an evaluation is completed that gives permission for a person to provide child care services.

Do not require participation until approvable child care has been arranged. Assist the participant to secure approvable child care before participation begins.

Recovery and Offsetting of Child Care Allowances

The Child Care Assistance program does not currently contain provisions for recovery or offsetting of child care payments, but proposals are pending. (Currently, when a provider receives child care payments greater than allowed or a duplicate payment, an overpayment is considered to have occurred and recovery is required. Recovery occurs through repayment in part or in full, or through offsetting against future child care payments.)

Process any outstanding child care expense allowances paid in error before July 1, 1999. All other PROMISE JOBS allowances remain subject to recovery provisions.

Periods of Absence

Under current policy, PROMISE JOBS can pay for periods of absence not to exceed 30 days for each absence when payment is required by a provider to maintain a child care slot, such as a semester break or periods of illness.

Under Child Care Assistance, the period of absence cannot exceed 4 days per calendar month, provided the child is regularly scheduled on those days and the provider would also charge a private individual for days of absence in the same manner.

Payments to Providers

Under current policy, PROMISE JOBS could issue child care allowance payments to participants in certain circumstances. Under the Child Care Assistance program, child care payments are issued to providers only.

Mandatory Fees

Under current policy, PROMISE JOBS can authorize payment for mandatory fees, such as registration fees, which child care providers charge all persons who use their services. Under Child Care Assistance rules, payment for these fees cannot be authorized.

Payment to Family Members of the Same FIP Assistance Unit

Under current PROMISE JOBS policy, parents, stepparents, and any person on the same FIP grant as the child that requires care cannot be paid to provide that care. For example: A household consisting of a mother, her 16-year-old daughter, and the daughter's baby constitutes one FIP eligible group. Current policy does not allow the grandmother to be paid as a child care provider for her grandchild while the daughter finishes high school.

Under the new policy, Child Care Assistance can be paid to a member of the same FIP assistance unit, providing that person is not a parent or stepparent. The child care provider must meet all the provider requirements of a nonregistered child care provider, including being 18 years of age or older, and all household members aged 14 and older are subject to criminal and child abuse record checks. The participant must report this income to the income maintenance worker. It will be used as earned income in calculating the FIP grant.

Age of Providers

Under current policy, PROMISE JOBS will authorize payment for child care to a provider at 14 years of age. Under new policy, a provider must be 18 or older.

Age of Children

Children who are part of the FIP household who are 13 years of age and older may be eligible for Child Care Assistance if there are special circumstances surrounding the child in need of child care. The child's parent or guardian must submit a written request outlining the reasons for the need to a PROMISE JOBS coordinator.

In-Home Care

In-home care is paid at the minimum wage amount. The minimum wage times 5 hours equals a half-day rate or unit of service. The in-home half-day rate is not a per-child amount but rather the maximum amount paid for all of the children in a family receiving care.

Approve in-home care only when the family has three or more children who require and are eligible for child care services. If an approvable provider lives in the same home as the child, do not allow the in-home rate. Use the rate that applies to that provider type.

Limited Benefit Plan

The manual revisions provide information regarding changes to the limited benefit plan as a result of legislation passed in the 1998 session. These policies apply to any limited benefit plan imposed effective June 1, 1999, or after.

The basic **first** limited benefit plan chosen by a parent or a needy caretaker on a nonparental case:

- Creates ineligibility for the entire family, and
- Continues until the person who chose it reconsiders by signing a Family Investment Agreement (FIA).

The three-month reduced benefit period no longer exists. A **first** limited benefit plan continues indefinitely for the entire household until the person who chose it signs an FIA.

A **subsequent** limited benefit plan chosen by the same person or by either parent in a two-parent household:

- Creates ineligibility for the entire family for a minimum of six-months, and
- Continues thereafter until the person who chose it reconsiders by signing an FIA and completing 20 hours of work or other approvable PROMISE JOBS activity.

For limited benefit plans that began May 1, 1999, or earlier, a household can reestablish FIP eligibility after the ineligibility period ends without any contact or action with PROMISE JOBS. With this policy change, the household of a person who chooses a **subsequent** limited benefit plan effective June 1, 1999, or later cannot receive FIP after the six-month period ends until the person reconsiders by signing an FIA and completing 20 hours of work or other approvable PROMISE JOBS activity.

Limited Benefit Plan Variations

As under former policy, the limited benefit plan varies as follows for some specific household situations:

- When one of the following persons chooses a limited benefit plan , only that person's needs are removed from the grant:
  - A child who is not a parent.
  - A stepparent who is included in the grant.
  - A needy relative who acts as payee when the FIP parent is in the home but unable to act as payee.
- When the household includes a child who is also a minor parent, and the minor parent chooses a limited benefit plan, only the needs of the minor parent and the minor parent's children are removed. When the minor parent is the only eligible child in the home, the adult parent's or needy relative's FIP eligibility ends on the date the minor parent's limited benefit plan goes into effect.

- If one parent in a two-parent household chooses a limited benefit plan, benefits for the entire household are canceled, even when the other parent is exempt from PROMISE JOBS. When both parents are mandatory PROMISE JOBS participants, each must complete the necessary reconsideration actions to end the limited benefit plan, even when only one parent chose the limited benefit plan . If one parent is exempt, only the mandatory parent must reconsider.

Reconsideration

As with former policy, the person wanting to reconsider a limited benefit plan may contact you or the DHS IM worker. A person who chooses a **first** limited benefit plan effective June 1, 1999, or later may reconsider by signing an FIA. The person may begin the reconsideration process at any time from the date of the *Notice of Decision* imposing the limited benefit plan .

For limited benefit plans effective before June 1, 1999, only persons who chose a **first** limited benefit plan by not signing an FIA can reconsider and they can do so only in the **first** three months of the limited benefit plan . Under the new policy, a person can reconsider a **first** limited benefit plan that began June 1, 1999, or later, whether or not the person signed an FIA before choosing the limited benefit plan.

A person who chooses a **subsequent** limited benefit plan effective June 1, 1999, or later, cannot reconsider the limited benefit plan during the six-month period of ineligibility. When the six-month period ends, the person can reconsider by:

- Signing an FIA.
- Completing 20 hours of work or other approvable PROMISE JOBS activity within 30 days after the date the FIA is signed.

For limited benefit plans effective before June 1, 1999, when a family reapplies after the six-month ineligibility period of a **subsequent** limited benefit plan ends, eligibility is established in the same manner as for any other new applicant.

Upon implementation of the PJCASE system, you need to make an entry in PJCASE when contacted by a person willing and able to reconsider a limited benefit plan. Your entry will cause the system to send an e-mail to the IM worker and supervisor.

Until you are notified that PJCASE is operational, continue to use your current local communication procedures to inform IM in this situation. See **Interim Instructions Before Implementation of New PJCASE System** for more information.

When a person who is able to reconsider contacts the IM worker or reapplies, the IM worker refers the person to PROMISE JOBS by entering the following codes in the JOBS field of the person's TD03 in IABC:

U Referral of person in a limited benefit plan to IWD
V Referral of person in a limited benefit plan to BRS

IM's entry of one of these codes causes the system to send the person a letter that explains the actions the person must take with PROMISE JOBS before FIP can be approved.

Until PJCASE is operational, DHS will include information regarding persons who contact IM to reconsider a limited benefit plan in the referral data file provided daily to IWD. When PJCASE is operational, it will generate an e-mail to a designated PROMISE JOBS person in your local area to inform you that the person wants to reconsider.

When a person who can reconsider a limited benefit plan contacts either you or the IM worker to reconsider, schedule the person to begin the reconsideration process. Contact the person to schedule orientation, assessment, or an appointment to negotiate an FIA at the earliest possible date. Consider the person's prior participation with PROMISE JOBS when determining the activities the person must attend before signing an FIA.

Make every effort to make the contact to schedule the appropriate activity within one week of the date the person contacts you or the IM worker. However, do not disadvantage another participant in order to give priority service to a person who is reconsidering a limited benefit plan.

When negotiating the FIA of a person reconsidering a subsequent limited benefit plan, determine the activity to be completed to end the limited benefit plan through discussion with the person wanting to reconsider. Consider the person and the individual family circumstances when arriving at the activity or component. Include the 20 hours of activity in the FIA.

The person may choose work or any combination of PROMISE JOBS activities, other than the work experience or unpaid community service components, to meet the 20-hour requirement. When the person has problems or barriers to participation, reduce or eliminate the 20-hour requirement, or extend the time period for completion.

Issue allowances for the expenses of child care and transportation, and other expenses when:

- Needed to meet the 20-hour requirement, and
- Other policies allow issuance of the allowance.

Regularly monitor and track the person's progress towards completion of the 20 hours of activity. If the person completes the reconsideration process, make system entry to stop the limited benefit plan. Processing of this entry removes limited benefit coding from IABC to allow IM to reactivate FIP, issues a *Notice of Decision* to inform the household the limited benefit plan has ended, and sends notification to the IM worker.

If you determine a person has abandoned the reconsideration process, notify the IM worker through entry in PJCASE or your local communication process. IM will deny the FIP application. If the person or family reapplies, the person who chose the limited benefit plan must begin the reconsideration process again.

Effective Date of Eligibility After Limited Benefit Plan

When a **first** or **subsequent** limited benefit plan ends as the person who chose the limited benefit plan completes the required reconsideration actions, and the household is otherwise eligible, IM will approve FIP effective the date the FIA is signed, or seven days from the application date, whichever date is later.

IM will not approve FIP assistance until PROMISE JOBS stops the limited benefit plan after all persons who are required to complete reconsideration actions have done so. In no case can the effective date of FIP eligibility be within the six-month ineligibility period of a **subsequent** limited benefit plan.

Well-Being Visits

Local agencies contracting with the Department of Public Health will offer visits to all families in a **subsequent** limited benefit plan in the second month of the limited benefit plan, or within four weeks of the second month. A well-being visit will no longer be offered to families in a first limited benefit plan effective June 1, 1999, or later.

Review Procedures When a Person Chooses a Limited Benefit Plan

Before making entry to start any **first** limited benefit plan, refer the case for a review, as instructed by Iowa Workforce Development administration staff.

Before entry to start any **second** limited benefit plan, refer the case to Iowa Workforce Development for a state-level review. Iowa Workforce Development administration staff determine the level of review and procedure that must occur before imposition of a third or **subsequent** limited benefit plan.

Limited Benefit Plan Appeals

A limited benefit plan with a new effective date will be established when the final decision affirms the limited benefit plan and it was delayed pending the appeal decision.

(Under former policy in this situation, the original limited benefit plan period was assigned when the household appeals the *Notice of Decision* establishing the six-month period of ineligibility of a **first** limited benefit plan. This situation will no longer occur, due to the elimination of the reduced benefit period of a **first** limited benefit plan.)

Interim Instructions Before Implementation of PJCASE System

Development of a new system called PJCASE is in progress. However, this system is not yet operational. Therefore, until notified otherwise, continue to:

- Use your current system to make entry to start a limited benefit plan, or to stop one because the person reconsidered it.
- Contact your PROMISE JOBS coordinator to stop a limited benefit plan you determine to be entered in error.
- Use the same local communication procedures in place today to inform IM when a person contacts you to reconsider a limited benefit plan.

When PJCASE is operational, you will use the system to perform limited benefit plan system actions instead of the PJOB system. You will issue expense allowances in PJCASE. PJCASE will send individual referral information to PROMISE JOBS. The PJCASE system will also enable automated communication between IM and PROMISE JOBS staff regarding limited benefit plan reconsideration contacts and transactions.

DHS central office will notify IM and PROMISE JOBS staff of the effective date of implementation of PJCASE. DHS central office will also schedule and provide training on the PJCASE system before implementation.

When Participant Is Discharged from Employment due to Misconduct

Other revisions expand the policy that describes the participation issues that result in the participant's choice of a limited benefit plan to include employment discharges due to the employee's misconduct. Under former policy, only employment terminations that the employer considered to be a voluntary termination by the employee resulted in the choice of a limited benefit plan when the employee did not have good cause.

For employment ending on or after June, 1, 1999, consider a PROMISE JOBS participant who has signed a family investment agreement to be choosing a limited benefit plan when the person is discharged from employment due to misconduct without good cause. Follow the procedures described at **WORK OPTIONS**: **Monitored Employment Under the FIA: Refusing, Ending, or Reducing Employment** to determine if the participant's actions are justified.

When Participant's Employment Changes Substantially

One circumstance is added as an acceptable reason for ending employment. Effective upon receipt of this material, excuse a person for ending employment when the employment changes from the terms of hire. Examples include a substantial change in work hours, work shift, job duties, or decrease in pay rate.

Implementation Instructions

Apply the new child care policies to any child care allowances paid for the calendar month of July 1999 and later. Pay any child care allowances for months before July 1999 in accordance with the policies in effect at that time. This includes appeal opportunities as well as claims and offsetting against any child care allowances owed to the state.

In mid-June, a special mailing was sent to all FIP participants and PROMISE JOBS providers informing them about the elimination of the FIP child care deduction and changes in the DHS child care assistance program. These mailers instruct child care providers and participants to obtain the necessary forms from the local DHS or PROMISE JOBS offices. Information similar to that in the special mailing will be released in the July issuance of ***the difference***.

Provide the *Payment Application for Nonregistered Provider* and *Child Care Certificate* upon request. If you become aware that a current provider does not meet the minimum health and safety requirements as listed in Comm. 95*, Minimum Health and Safety Requirements for Nonregistered Providers*, send the following *Notice of Decision*:

> You are not eligible to provide child care or to receive PROMISE HOBS funds for providing child care, as you do not meet the minimum health and safety requirements established by the Department of Human Services. EM 4-AP, Approving Nonregistered Providers, Iowa Code Section 237A.5(6), 441 Iowa Admin Code 170.4(3)"h"

Apply the new limited benefit plan policies to any limited benefit plan imposed effective June 1, 1999, or later. Any limited benefit plan imposed with an effective date before June 1, 1999, continues according to the policies in effect when it was imposed. This includes reconsideration periods (if appropriate), appeal opportunities, and schedule for well-being visits.

Effective Date

July 1, 1999, for changes to child care allowances.

June 1, 1999, for changes to the Limited Benefit Plan and the policies regarding ending employment.

Material Superseded

Remove the following pages from Employees' Manual, Title 4 Appendix, and destroy them:

Page	Date
Manual Letter 4-AP-10	May 25, 1999
PROMISE JOBS Provider Manual	
Contents (page 1)	August 11, 1998
Contents (page 2)	July 15, 1997
Contents (page 3)	October 15, 1996

Contents (page 4)	November 12, 1997
Contents (pages 5-7)	December 8, 1998
10-13	July 15, 1997
23, 39-41	October 15, 1996
42	January 12, 1999
43	October 15, 1996
44	November 12, 1997
53, 54, 72, 82, 85- 88	October 15, 1996
89, 90	July 15, 1997
96, 105	October 15, 1996
106	November 12, 1997
136c	November 12, 1997
147, 148, 161	October 15, 1996
162	August 11, 1998
162a-162f	December 8, 1998
163, 164	October 15, 1996
165-167	July 15, 1997
168	October 15, 1996
169	July 15, 1997
170	October 15, 1996
171	November 12, 1997
172, 172a	August 11, 1998
177-185, 187, 189	October 15, 1996
190	July 15, 1997
201, 205-210, 215, 216, 227-230, 233-254	October 15, 1996
255, 256, 256a	December 8, 1998
257, 258	July 15, 1997
259-264	October 15, 1996
PROMISE JOBS Provider Manual Appendix	
Contents (pages 1 and 2)	December 1998
A4	November 1996
470-3281	11/96
470-2598 (before A11)	7/92
470-3095 (after A12)	8/97
RC-0040 (before A15)	2/98
470-3496	8/98
16e	December 1998
470-0813	8/97
A18, A19	July 1997
SS-1104-0	9/98
470-2736	7/90
A31, A34	July 1997
470-3110	11/96
470-3109	11/96
A43	December 1998

WI-1103-5 (before p. A49)	12/93
470-3300	7/96
470-3104	2/96
470-3103 (after p. A52)	2/96

Additional Information

The following forms were revised in April due to the changes to the Limited Benefit Plan. In early May, the forms were available to be ordered from Iowa State Industries at Anamosa in the usual manner. Discard existing supplies of these forms:

- 470-0813, *Notice of Appointment or Participation*
- 470-3300, *Your Family Investment Agreement Reminder*
- 470-3104, *Your Rights and Responsibilities*
- 470-3103, *Your PROMISE JOBS Reminder*

The *Child Care Estimate of Cost*, form 470-3281, is replaced with the *Child Care Certificate*, form 470-2959. Order supplies from Iowa State Industries at Anamosa in the usual manner. Use copies of the electronic version sent to IWD on June 15, 1999, until order is received. Destroy existing supplies of the *Child Care Estimate of Cost*.

The *Nonregistered Child Care Provider Application*, form 470-3496, is replaced with *Payment Application for Nonregistered Providers*, form 470-2890. Order supplies from Iowa State Industries at Anamosa in the usual manner. Use copies of the electronic version sent to IWD on June 15, 1999, until order is received. Destroy existing supplies of the *Nonregistered Child Care Provider Application*.

PROMISE JOBS Child Care, form 470-2736, is obsolete with no replacement. Destroy existing supplies.

Notice of Decision: Services, form SS-1104-0, has been replaced with the revised 2/99 edition. Use up existing supplies and then order supplies from Iowa State Industries at Anamosa in the usual manner.

Use existing supplies of form WI-3303-0, *Referral for Work Experienc*e *(WEP) Placement.* Reorder from Iowa State Industries at Anamosa in the usual manner.

Refer to the comparison chart on the following page for more information about the changes to the limited benefit plan.

Refer questions about this general letter to your Department of Human Services regional benefit administrator or your Iowa Workforce Development PROMISE JOBS Coordinators.

COMPARISON OF CURRENT AND REVISED LIMITED BENEFIT PLAN (LBP) PROVISIONS

	LBP Before 6/1/99	LBP as of 6/1/99
Length of LBP		
First LBP	9-month period: ◆ 3 mos. reduced benefits ◆ 6 mos. ineligibility	Indefinite period of ineligibility until family investment agreement (FIA) signed *
Second and subsequent LBP	6-month period of ineligibility.	A minimum 6-month period of ineligibility. Ineligibility continues until FIA is signed and applicant shows intent to comply by completing 20 hours of activity. Then FIP is reauthorized back to date FIA is signed. *
Reconsideration		
First LBP:		
◆ If no family investment agreement	Entire 3-month reduced benefit period. Not allowed in 6-month ineligibility period.	At any time following issuance of LBP *Notice of Decision.*
◆ If fail to meet family investment agreement terms	Not allowed.	At any time following issuance of LBP *Notice of Decision.*
Second and subsequent LBP	Not allowed.	At any time following 6-month ineligibility period.
Well-Being Visits		
First LBP		
◆ If can reconsider	Months 2 and 4.	None.
◆ If cannot reconsider	Month 4 only.	N/A.
Second and subsequent LBP	Month 2 only.	Month 2 or within 4 weeks of month 2.
Administrative Review Process		
First LBP		
◆ If no FIA	No review.	In both instances, 100% review at state or local level with procedure approved by Iowa Workforce Development and DHS.
◆ If fail to meet FIA terms	DHS Division of Economic Assistance staff review.	
Second LBP		
◆ If no FIA	No review.	In both instances, 100% review by state-level staff at Iowa Workforce Development.
◆ If fail to meet FIA terms	DHS Division of Economic Assistance staff review.	
Third or subsequent LBP	Same as second LBP.	IWD determines level of review.

* If otherwise eligible, the effective date of FIP is the date the FIA is signed, or seven days from the application date, whichever is later.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

June 20, 2000

GENERAL LETTER NO. 4-AP-147

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, pages 167 and 169, revised.

Summary

Legislation passed during the 2000 Iowa legislative session establishes new half-day provider rate ceilings for basic and special needs child care for child care provided by the Department adminstered through the Child Care Assistance program effective July 1, 2000.

Implementation Instructions,

Apply the new provider rates for any *Child Care Certificate* issued on or after July 1, 2000.

Effective Date

July 1, 2000 is the effective date for the approval of the new provider rates.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, PROMISE JOBS Provider Manual, and destroy them:

Page	Date
167, 169	July 6, 1999

Additional Information

Refer questions about this general letter to your Department of Human Services regional benefit administrator or your Iowa Workforce Development PROMISE JOBS Coordinators.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

August 22, 2000

GENERAL LETTER NO. 4-AP-148

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Family Investment Program Appendix, ***PROMISE JOBS Provider Manual***, Contents (pages 1, 2, and 7), revised; and pages 3 through 55, 67 through 72, 87, 89, 129, 130, 144, 157, 158, 197, 198, 207 through 214, 216 through 218, 220, 229, 241, 242, 256b, 259, 260, and 262, revised; and pages 72a, 72b, 240a, 240b, and 240c, new; and ***PROMISE JOBS Provider Manual Appendix***, page A50, revised, and form 470-3300, *Your Family Investment Agreement Reminder*, revised.

Summary

This general letter:

- Transmits information regarding the Iowa Volunteer Mentor Program Expansion.
- Introduces the FaDSS Monthly Report form and the FaDSS Referral Form.
- Clarifies the FaDSS Referral Process.
- Defines "Reasonable Distance" in regards to problems with PROMISE JOBS participation.
- Redefines "Break-in-Assistance."
- Clarifies the format and purpose of the Supervisory Letter used during the LBP resolution process.
- Removes section on JTPA funded services.
- Changes form numbers to comply with the Policy Analysis directive.
- Makes additional changes throughout the manual to clarify current policy.

The following sections of this letter describe the policy changes in further detail:

- Iowa Volunteer Mentor Program
- Process for referral to FaDSS
- Reasonable distance
- Break-in-assistance
- Supervisory letter

The Iowa Volunteer Mentor Program

The Iowa Volunteer Mentor program has expanded from four to eight sites, adding the availability of this program to Cedar Rapids, Davenport, Dubuque, and Mason City.

Referral to the FaDSS Program

With the expansion of FaDSS services to all 99 Iowa counties, the process of referral to the FaDSS program is made uniform across the state. Referrals can be made by:

- PROMISE JOBS staff
- DHS income maintenance staff
- Recruitment from DHS lists

Procedures have been adopted to bring statewide consistency to the referral process and the ongoing case management of cases involved with both the PROMISE JOBS program and the FaDSS program. Two new forms are being introduced and their purpose outlined:

- *FaDSS Monthly Report to PROMISE JOBS*, FaDSS-00-02-M
- *FaDSS Universal Referral*, FaDSS-00-01-R

Note: Samples of these forms will be included in an upcoming revision of the ***PJPM Appendix***.

Reasonable Distance

Federal TANF regulations mandate that states cannot reduce or terminate assistance based on a parent's refusal to participate in work activities if the parent demonstrates the unavailability of needed child care for young children. These regulations require states to define "reasonable distance" in relationship to child care.

Iowa defines "reasonable distance" to mean that the travel time required from home to the work assignment, job, or unpaid community service site should not exceed one hour each way, including time needed to take a child to child care. The previous definition did not include the time needed to take a child to child care.

Break-in-Assistance

Two flow charts have been developed to describe the referral and break-in-assistance processes. The initial referral process has been clarified, and the break-in-assistance of one month or less process has been simplified to make both processes easier to understand and implement.

The simplified break of one month or less is policy effective September 1. This new policy will apply to all participants who experience a break in FIP assistance of one month or less, and are referred back to PROMISE JOBS **on or after** September 1, 2000.

For participants who are currently involved in the process, PROMISE JOBS should discontinue the previous break-in-assistance process as of September 1. After September 1, follow the new procedure by sending the *Your Family Investment Agreement Reminder*, form 470-3300, and resume case management.

1. Mr. A's FIP case is closed effective August 1, 2000. He re-applies for FIP and is referred back to PROMISE JOBS on August 18. PROMISE JOBS must follow the old procedure and wait 10 days to see if Mr. A responds to the DHS program letter. He does not respond, so form 470-3103, *Your PROMISE JOBS Reminder*, is sent on August 28.

   Under the old procedure, if he still did not respond within 10 days, form 470-3300, *Your Family Investment Agreement Reminder*, would be sent on September 7. However, since the policy changed effective September 1, PROMISE JOBS starts the new procedure by sending the revised form 470-3300 instead.

2. Ms. B's FIP was closed effective February 1, and she was referred back to PROMISE JOBS on February 21. However, this break in assistance of less than one month was not noticed until September. In this situation, PROMISE JOBS would not need to follow either break policy, since case management has been ongoing on a valid FIA.

3. Ms. C's FIP closes effective September 1. She re-applies and is referred back to PROMISE JOBS on September 2. PROMISE JOBS sends her the new *Your Family Investment Agreement Reminder*, form 470-3300, and continues case management.

Supervisory Letter

Language from PROMISE JOBS Memo #106 has been added to the PJPM to outline the required elements of a supervisory letter, along with an example letter. Instructions have also been included to send a copy of the supervisory letter to the other parent in a two-parent case.

JTPA Funded Services

As part of the federal Workforce Investment Act (WIA) of 1998, JTPA is being closed out and transitioned to WIA effective July 1, 2000. All references to JTPA in the PJPM are in the process of being phased out.

Effective Date

These changes are effective upon receipt, except for break-in-assistance policies, which are effective September 1, 2000.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, and destroy them:

Page	Date
PJPM text	
Contents (pages 1, 2, and 7)	July 6, 1996
3	November 12, 1997
4-7	August 11, 1998

8	January 12, 1999
9	November 12, 1997
10-13	July 6, 1999
14, 15	October 15, 1996
16-21	January 12, 1999
22	October 15, 1996
23	July 6, 1999
24, 25	October 15, 1996
26, 27	November 12, 1997
28-38	October 15, 1996
39-44	July 6, 1999
45	October 15, 1996
46	November 12, 1997
47-52	October 15, 1996
53, 54	July 6, 1999
55	October 15, 1996
67	July 15, 1997
68-71	October 15, 1996
72, 87, 89	July 6, 1999
129, 130	November 12, 1997
144, 157, 158, 197, 198	October 15, 1996
207-210	July 6, 1999
211, 212	October 15, 1996
213	July 15, 1997
216	July 6, 1999
217, 218, 220	October 15, 1996
229, 241, 242, 256b, 259, 260, 262	July 6, 1999
PJPM Appendix	
A50	July 1997
470-3300	4/99

Additional Information

PROMISE JOBS Memo #106 is now obsolete and should be destroyed.

Refer questions about this general letter to your Department of Human Services regional benefit administrator or your Iowa Workforce Development PROMISE JOBS Coordinators.

Destroy existing supply of your *Family Invesmentt Agreement Reminder*, form 470-3300 (Rev. 4/99). The revised form will be available from Anamosa by August 22, 2000.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

November 14, 2000

GENERAL LETTER NO. 4-AP-149

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS Provider Manual***, Contents (pages 1 and 3), revised; Contents (page 4), reprinted; pages 1, 2, 10 through 13, 36, 38, 120, 136c, 137, 162a, 256b, and 262, revised; and page 14a, new.

Summary

This General Letter revises the ***PROMISE JOBS Provider Manual*** to give information on changes in the policy regarding noncitizens (aliens) who have been referred to PROMISE JOBS by income maintenance staff but who are not on the FIP grant with their children. There are very few of these kinds of cases. This letter gives guidance on how to treat these cases.

Currently, income maintenance staff refer all parents living in the home of a child on FIP to the PROMISE JOBS program unless the parent is exempt due to disability. This includes parents who are on the FIP grant as well as those who are ineligible for FIP, such as parents who are ineligible due to their alien status.

Income maintenance staff will exempt persons who are not U.S. citizens and are not eligible aliens under 8 United States Code (USC) Section 1641 from PROMISE JOBS participation and the family investment agreement and, subsequently, the limited benefit plan. 2000 Iowa Acts, Senate File 2368, Section 3, requires this change because recent changes in federal regulations prohibit use of federal funds for certain alien classifications.

As a result, PROMISE JOBS may serve only alien parents with the following alien classifications, as listed at 8 USC 1641:

- Lawfully admitted for permanent residence under the Immigration and Nationality Act (INA)
- Asylee admitted under Section 208 of the INA
- Refugee admitted under Section 207 of the INA
- Amerasian immigrant
- Paroled into the U.S. under Section 212(d)(5) of the INA for at least one year
- Deportation withheld under Section 243(h) or Section 241(b)(3) of the INA

- Granted conditional entry under Section 203(a)(7) of the INA as in effect before April 1, 1980
- Cuban or Haitian entrant
- Battered alien under 8 USC 1641(c)

Unless exempt due to disability, alien parents in these classifications who live in the home of the FIP child continue to be mandatory PROMISE JOBS participants and subject to the FIA and limited benefit plan provisions. (This is true even if the parent is excluded from the FIP grant because of the prohibition on accessing FIP for the first five years the alien is in the country.) Income maintenance staff will continue to refer these participants to the PROMISE JOBS program manually.

However, excluded parents whose alien classification is **not** listed cannot be served by PROMISE JOBS. These aliens are therefore exempt from mandatory referral and income maintenance staff will not make a referral to the PROMISE JOBS program.

This General Letter also revises policy to prohibit parents who are not U.S. citizens and whose alien classification is not listed at 8 USC Section 1641 from voluntary participation in PROMISE JOBS. The change is required by 2000 Iowa Acts, Senate File 2368, Section 8.

Examples of immigration statuses held by aliens who are not eligible for PROMISE JOBS services either as a mandatory or voluntary referral include:

- Illegal aliens, nonimmigrants under the INA.
- Aliens paroled into the U.S. under Section 212(d)(5) of the INA for less than one year.
- Aliens with protected status, such as PRUCOLs (permanently residing in the U.S. under color of law).
- Temporary residents under the Immigration and Control Act.
- Aliens in deferred status.

Effective Date

December 1, 2000.

Implementation Instructions

Continue to serve all referred alien parents who are excluded from the FIP grant if they fall into one of the eligible classifications listed in this general letter (i.e., the classifications listed at 8 USC 1641).

If an alien parent not on the FIP grant has been referred to PROMISE JOBS as mandatory and is not listed as one of the eligible classifications:

- Discontinue PROMISE JOBS activities effective February 1, 2001.
- Send a *Notice of Decision: Services* (470-0602), by January 19, 2001, giving timely notice to notify the parent that the parent will no longer be required nor eligible to volunteer in PROMISE JOBS activities. Use the following wording in the Explanation of Action section:

> Because of a change in state law, you can't be in the PROMISE JOBS program anymore. You can't volunteer for the program either. All PROMISE JOBS services and benefits will end January 31, 2001. Contact your PROMISE JOBS worker or your income maintenance worker if you have any questions.
>
> Manual or Rule Reference: EM 4 Appendix; PROMISE JOBS Provider Manual, Who is Exempt From PROMISE JOBS Participation, 441 Iowa Administrative Code 41.24(2).

- Send a copy of the *Notice of Decision* to the income maintenance worker to alert the worker of this change.

Note: These referrals would most generally have been **manual referrals.**

Do not impose any LBP with an effective date of December 1, 2000, or later that is chosen by a parent whose alien classification exempts the person as described in this General Letter.

Void any LBP with an effective date before December 1, 2000, that was chosen by a parent whose alien classification exempts the person when this comes to your attention. Contact Mark Adams in the Division of Economic Assistance (by calling 515/281-6866, or via e-mail to madams4) to initiate procedures for lifting and voiding the LBP.

Income maintenance (IM) staff are being notified of these changes simultaneously by General Letter 4-L-3 and will discontinue referring excluded alien parents to PROMISE JOBS who do not fall into one of the eligible classifications.

If you question an alien's classification, consult with the IM worker. IM workers have been asked to assist PROMISE JOBS staff in determining the alien status of a currently referred excluded alien parent so that PROMISE JOBS staff may determine if the alien is eligible for services. IM will be reviewing cases and will send a list to Iowa Workforce Development, PROMISE JOBS, on all cases that are identified as needing a change in referral status.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, and destroy them:

Page	Date
Contents (p. 1)	August 22, 2000
Contents (p. 3)	July 6, 1999
1	November 12, 1997
2	January 12, 1999
10-13	August 22, 2000
36, 38	August 22, 2000
120	June 23, 1998
136c	July 6, 1999
137	November 12, 1997
162a	July 6, 1999
256b, 262	August 22, 2000

Additional Information

Refer questions about this general letter to your Department of Human Services regional benefit administrator or your Iowa Workforce Development PROMISE JOBS coordinators.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

December 19, 2000

GENERAL LETTER NO. 4-AP-150

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS Provider Manual***, Title page, revised; Contents (pages 1, 2, and 5), revised; and pages 1, 2, 3, 4, 10, 11, 12, 15, 17, 19 through 22, 33 through 36, 38, 41, 42, 50, 57 through 61, 63, 73 through 78, 81, 82, 85, 86, 94, 97, 99, 100, 106, 110, 115, 117, 118, 128, 135, 136, 140 through 143, 145, 146, 147, 150, 162e, 162f, 172a, 173, 174, 178, 181 through 188, 192, 193, 194, 201 through 204, 206, 208, 209, 225, 235, 244, 245, 246, 260, and 263, revised.

Summary

This general letter:

- Eliminates deprivation as an eligibility factor for FIP and, consequently, the FIP-Unemployed Parent Program.

  Currently, to be eligible for FIP, the income maintenance worker must determine that a child is deprived when one or both parents are absent or deceased. In the case of a two-parent family, a child is deprived when at least one of the parents is determined to be incapacitated or both parents meet the requirements of the FIP-Unemployed Parent Program.

  Effective January 1, 2001, IM will no longer be required to determine whether a child is deprived. Consequently, effective January 1, 2001, the FIP-Unemployed Parent Work Program is eliminated. PROMISE JOBS workers will continue to serve both parents on a FIP case as they have in the past but will disregard the FIP-Unemployed Parent Work Program requirements for two-parent families.

- Removes references to JTPA and SDA.
- Clarifies the issuance of transportation allowances for PROMISE JOBS components.
- Adds referral by an agency other than DHS as the fourth method of referral to FaDSS.

Implementation Instructions

- For FIAs written during December 2000 for cases with aid types 350 and 338, follow the requirements of the FIP-Unemployed Parent Work Program for activities scheduled in December. Keep in mind that work requirements for parents on these cases change beginning January 1, 2001, as the FIP-Unemployed Parent Work Program will no longer exist.

- Changes in an FIA may not be necessary for active cases with aid type 350 or 338, but parents obligated or previously chosen to fulfill the designated parent responsibilities must be given the opportunity to request a review of their FIA. In the month of January 2001, please send a letter that includes an explanation of this change, in accordance with normal PROMISE JOBS procedures. The following text is suggested, using PROMISE JOBS letterhead:

> Because of a change in state law, the rules for two-parent families have changed. Beginning January 1, 2001, there is no longer a special work program for families with two parents. Because one of the adults in your household was previously chosen as the designated parent, your current FIA contains required work activities.
>
> If you want, your FIA can stay the same. If you want to talk about changing your FIA, please ask your PROMISE JOBS worker for an appointment to discuss the activities in your FIA.
>
> To contact your PROMISE JOBS worker, please call (xxx)xxx-xxxx.

- If an appointment is requested, schedule it at your earliest convenience, according to policies and procedures outlined in ***PJPM*, Renegotiation and Amendment of the FIA**. Send form 470-0813, *Notice of Appointment or Participation*, using "Discuss renegotiation of your FIA" as the reason. Also, check the "Other" box and note "per your request."
- If the participant does not keep this appointment, proceed with the FIA as written.
- Although the FIP-UP program is eliminated effective January 1, 2001, IM will continue to use the 350 and 338 aid types currently used for FIP cases with two parents in the home when both parents meet the requirements of the FIP-Unemployed Parent program.

  Effective January 1, 2001, a household must be coded with a 350 or 338 aid type if all of the following criteria are met:

  - It is a two-parent household with at least one common child.
  - Both parents are included in the FIP grant.
  - Both parents are mandatory PROMISE JOBS participants.

  This includes cases with a parent who <u>would have been considered "incapacitated" under current FIP policy</u>, but not to the extent to be exempt from PROMISE JOBS.

- Referrals to PROMISE JOBS of people in households that contain two parents will still be noted with a "qualify" in the "UP:" field of the PJOB A screen when the case is in a 350 or 338 aid type in the ABC system.

Effective Date

January 1, 2001

Material Superseded

Remove the following pages from the ***PROMISE JOBS Provider Manual*** (in Employees' Manual, Title 4, Appendix), and destroy them:

Page	Date
PJPM Title page	Undated
Contents (p.1)	November 14, 2000
Contents (p.2)	August 22, 2000
Contents (p.5)	July 6, 1999
1, 2	November 14, 2000
3, 4	August 22, 2000
10-12	November 14, 2000
15, 17, 19-22, 33-35	August 22, 2000
36, 38	November 14, 2000
39-42, 50	August 22, 2000
57, 58	October 15, 1996
59	November 12, 1997
60, 61, 63, 73-78, 81	October 15, 1996
82, 85, 86	July 6, 1999
94, 97, 99, 100	October 15, 1996
106	July 6, 1999
110, 115, 117, 118, 128, 135, 136	November 12, 1997
140, 141	October 15, 1996
142	November 12, 1997
143, 145, 146	October 15, 1996
147	June 6, 1999
150	October 15, 1996
162e, 162f, 172a	July 6, 1999
173, 174	November 12, 1997
178, 181-185	July 6, 1999
186	October 15, 1996
187	July 6, 1999
188, 192-194	October 15, 1996
201	July 6, 1999
202-204	October 15, 1996
206	July 6, 1999
208, 209	August 22, 2000
225	October 15, 1996
235, 244-246	July 6, 1999
260	August 22, 2000
263	July 6, 1999

Additional Information

Refer questions about this general letter to your Department of Human Services regional benefit payment administrator or your Iowa Workforce Development PROMISE JOBS coordinators.

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

December 19, 2000

GENERAL LETTER NO. 4-AP-151

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Family Investment Program Appendix, ***PROMISE JOBS Provider Manual Appendix,*** Title page, revised; Contents (pages 1 and 2), revised; pages 1 through 53, revised; pages 54 through 69, new; and the following forms:

470-0010	*Adjustment to Overpayment Balance*, revised
470-0487	*Appeal and Request for Hearing*, revised
470-0502	*Authorization for Examination and Claim for Payment*, revised
470-3109	*Change FIA Voluntary Status to Mandatory* (IWD), revised
470-3110	*Change FIA Voluntary Status to Mandatory* (BRS), revised
470-2959	*Child Care Certificate*, unchanged
470-2959(S)	*Child Care Certificate* (Spanish), new
470-0429	*Consent to Obtain and Release Information*, revised
470-2674	*Employment Follow-Up Questionnaire*, unchanged
470-0510	*Estimate of Cost*, revised
470-2598	*Expense Allowance Authorization*, revised
FaDSS-00-02-M	*FaDSS Monthly Report to PROMISE JOBS*, new
FaDSS-00-01-R	*FaDSS Universal Referral*, new
470-3095	*Family Investment Agreement*, revised
470-3105	*FIA Referral for Mandatory Participants* (IWD), unchanged
470-3106	*FIA Referral for Mandatory Participants* (BRS), unchanged
470-3610	*FIA Referral for Reconsideration of LBP* (IWD), revised
470-3611	*FIA Referral for Reconsideration of LBP* (BRS), revised
470-3107	*FIA Referral for Voluntary Participants* (IWD), unchanged
470-3108	*FIA Referral for Voluntary Participants* (BRS), unchanged
470-3096	*FIA Steps to Achieve Self-Sufficiency*, revised
RC-0040	*Income Maintenance Discussion of PROMISE JOBS*, unchanged
470-3099	*Job Search Record*, revised
595-1494	*Non-Law Enforcement Record Check Billing Form*, unchanged
595-1489	*Non-Law Enforcement Record Check Request Form A*, unchanged

595-1489(S)	*Non-Law Enforcement Record Check Request Form A* (Spanish), new
470-0813	*Notice of Appointment or Participation*, unchanged
470-0602	*Notice of Decision: Services*, revised
470-0820	*Notice of Employment*, revised
470-2666	*Notice of Overpayment: PROMISE JOBS Expense Allowances*, revised
470-3116	*Notice of Potential Loss of Priority Service--Exempt Volunteers*, unchanged
470-2925	*Notice of Waiting List Placement*, corrected
RC-0008	*Overpayment Recovery Codes*, revised
470-0464	*Overpayment Recovery Information Input*, revised
470-0465	*Overpayment Recovery Supplemental Information*, revised
470-2758	*Participation No Longer Required*, updated
470-2890	*Payment Application for Nonregistered Providers*, revised
RC-0014	*PROMISE JOBS Data Codes*, unchanged
470-0810	*Referral for Work Experience (WEP) Placement* (WI-3303-0), unchanged
470-3102	*Referral to Community Agencies*, revised
470-0447	*Report on Incapacity* (PA-2126-5), unchanged
470-0643	*Request for Child Abuse Information*, revised
470-0492	*Request for Withdrawal of Appeal*, revised
470-0806	*Self-Assessment*, revised
470-0809	*Sponsor's Request for Work Experience (WEP) Participant* (WI-1103-5), unchanged
470-2617	*Time and Attendance*, revised
470-2604	*Transfer Between PROMISE JOBS Agencies*, unchanged
470-3097	*Unpaid Community Service Monthly Report*, unchanged
470-2759	*Volunteer Requests Not to Participate*, updated
470-0805	*Work Experience Participant Evaluation*, unchanged
RC-0038	*Worker's Guide to the Appeals Process*, unchanged
470-3300	*Your Family Investment Agreement Reminder*, unchanged
470-3104	*Your FIA Rights and Responsibilities*, unchanged
470-3103	*Your PROMISE JOBS Reminder*, unchanged
470-2761	*Your Right to Volunteer for PROMISE JOBS*, revised

Summary

This general letter:

- Formats the PROMISE JOBS forms appendix in accordance to current DHS manual specifications. Forms remain in alphabetical order. The forms that were in the appendix to Employees' Manual Chapter 1-E, ***APPEALS AND HEARINGS***, are now incorporated into the main ***PJPM*** Appendix. The PROMISE JOBS program letters are now listed individually by title instead of in a group.

- Deletes form 470-3282, *FIP-UP Work Program Designated Parent Declaration*, and all other references to "designated parents." Form 470-3096, *FIA Steps to Achieve Self-Sufficiency*, will be revised at the next reprinting to remove the box identifying a designated parent.
- Introduces two new forms to bring consistency to the Family Development and Self-Sufficiency program referral process:
  - *FaDSS Monthly Report to PROMISE JOBS*, FaDSS-00-02-M
  - *FaDSS Universal Referral*, FaDSS-00-01-R

  With the expansion of FaDSS services to all 99 Iowa counties, the process of referral to the FaDSS program is made uniform across the state. Procedures have been adopted to bring statewide consistency to the ongoing case management of cases involved with both the PROMISE JOBS program and the FaDSS program.
- Adds Spanish versions of two forms used to administer the Child Care Assistance program, the *Child Care Certificate* and the *Non-Law Enforcement Record Check Request Form A*.
- Changes form numbers to comply with the Policy Analysis directive. Inventories at Iowa Prison Industries have been converted to list all forms by their state central file number (470-xxxx for DHS forms). As forms are reprinted, the old form numbers are being removed.
- Make additional changes throughout the manual to incorporate current versions of forms and clarify current policy.

Self-Assessment, form 470-0806, has been revised to incorporate the convicted drug felon self-declaration statement. Ensure that you are using the *Self-Assessment* form with a revision date of 4/99. Destroy any copies of the *Drug Felon Self-Declaration Addendum to 470-0806* that was issued with PROMISE JOBS Memo #152. PROMISE JOBS Memo #152 remains in effect.

Effective Date

Upon receipt.

Material Superseded

Remove the entire Appendix from the ***PROMISE JOBS PROVIDER MANUAL***, (in Employees' Manual, Title 4, Appendix) **except for** Employees' Manual Chapter 1-E, ***APPEALS AND HEARINGS***, and destroy it. This includes the following pages:

Page	Date
PJPM Appendix Title page	Undated
Contents (pages 1 - 3)	July 1999
AA-1283-0	11/96
A1-A3	January 1994
PA-5113-0	undated

A4, A4a, A4b	July 1999
470-2959	5/99
MH-2201-0	7/96
A5-A8	July 1997
470-2674	7/93
A9	January 1994
A10	November 1996
PA-8121-5	11/96
470-2598	7/99
A11, A12	January 1994
470-3095	7/99
A13, A14, A14a	October 1997
470-3096	7/97
A14b, A15	March 1998
470-3282	11/96
RC-0040	5/99
A16	July 1997
470-3099	12/95
595-1494	3/97
A16a-A16d	December 1998
595-1489	12/98
470-0813	4/99
A17	October 1997
A18, A19	July 1999
SS-1104-0	2/99
A20-A30	July 1997
470-0820	7/95
470-2666	10/93
470-3116	1/94
470-2925	7/93
PA-2228-0	11/91
RC-0008	6/98
PA-2229-0	6/92
470-2890	5/99
A31, A32	July 1999
RC-0014 (3 pages)	1/99
470-3110	5/99
470-3109	5/99
A33	July 1997
A34	July 1999
470-3106	3/98
470-3105	3/98
470-3611	5/99
470-3610	5/99
470-3108	11/96
470-3107	11/96

A35, A36	July 1997
470-2758	January, 94
470-2759	January, 94
470-2761	11/96
470-2617	7/93
A37-A40	January 1994
WI-3303-0	5/99
470-3102	1/94
PA-2126-5	5/98
A41	January 1994
A42	December 1998
SS-1606-0	10/98
A43	July 1999
A44, A45	August 1998
WI-2101 (7 pages)	11/96
A46	July 1997
WI-3302-0	6/97
470-2604	8/97
A47	October 1997
A48	July 1997
470-3097	1/94
WI-1103-5	12/92
A49, A50	August 2000
470-3300	7/00
470-3104	4/99
A51, A52	January 1994
470-3103	4/99
A53	July 1997
Employees' Manual 1-E-Appendix:	
Title Page	August 12, 1997
Contents (p. 1)	March 17, 1998
PA-3138-0	6/97
1-4	August 12, 1997
PA-3161-0	7/93
RC-0038	1/98
5	March 17, 1998

Additional Information

Destroy:

- All supplies of form 470-3282, *FIP-UP Work Program Designated Parent Declaration*.
- Any remaining supplies of form WI-2101-0, *Self-Assessment*, dated 11/96.

Order supplies of new forms 470-2959(S) and 595-1489(S), the Spanish *Child Care Certificate* and *Record Check Request*, from Anamosa in the usual manner.

Print supplies of the new FaDSS referral, form FaDSS-00-01-R, and the following revised forms from the DHS web site (or photocopy the sample in the manual), as needed:

- 470-0502, *Authorization for Examination and Claim for Payment*
- 470-3099, *Job Search Record*
- RC-0008, *Overpayment Recovery Codes*
- 470-2598, *Expense Allowance Authorization*
- 470-0510, *Estimate of Cost* (Some supplies of the previous version remain at Anamosa and can be used up.)

Use up remaining printed supplies of previous versions of the following forms

- 470-0010 (AA-1283-0), *Adjustment to Overpayment Balance*
- 470-0487 (PA-3138-0), *Appeal and Request for Hearing*
- 470-0429 (MH-2210-0), *Consent to Obtain and Release Information*
- 470-3095, *Family Investment Agreement*
- 470-3096, *FIA Steps to Achieve Self-Sufficiency*
- 470-0602 (SS-1104-0), *Notice of Decision: Services*
- 470-0820, *Notice of Employment*
- 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*
- 470-0464 (PA-2228-0), *Overpayment Recovery Information Input*
- 470-0465 (PA-2229-0), *Overpayment Recovery Supplemental Information*
- 470-2890, *Payment Application for Nonregistered Providers*
- 470-0643 (SS-1606-0), *Request for Child Abuse Information*
- 470-0492 (PA-3161-0), *Request for Withdrawal of Appeal*

Reorder these and form 470-0806, *Self-Assessment*, from Anamosa in the usual manner.

Refer questions about this general letter to your Department of Human Services regional benefit administrator or your Iowa Workforce Development PROMISE JOBS Coordinators.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

June 19, 2001

GENERAL LETTER NO. 4-AP-152

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4, Family Investment Program Appendix, ***PROMISE JOBS Provider Manual***, Contents (page 4), revised; pages 1, 3, 15, 22, 23, 42, 60, 61, 78, 111, 112, 113, 120, 121, 125 through 128, 131, 135, 136, 137, 151, 154, 155, 156, 160, 172a, 173, 174, 205, 206, 208, 210, and 234, revised; and page 234a, new.

PROMISE JOBS Provider Manual Appendix, forms 470-3096, *FIA Steps to Achieve Self-Sufficiency*, and 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*, revised.

Summary

This general letter:

- Eliminates the Iowa Transitional Assistance for Direct Education Cost (ITADEC) program, which has provided state funding to participants who were enrolled and participating in a PROMISE JOBS-funded postsecondary training plan as of March 1, 1997. There is no longer anyone eligible for ITADEC, so information about the program is being removed from the manual.
- Increases the mileage rate for transportation allowance from $0.16 per mile to $0.21 per mile, effective July 1, 2001.
- Transmits information on changes to time limits on using PROMISE JOBS funding for postsecondary training. Legislation passed during the 79th General Assembly, 2001 session, extends the length of time a PROMISE JOBS participant is considered eligible to use funding for postsecondary education.
- Makes various additions and clarifications throughout the ***PROMISE JOBS Provider Manual*** due to the incorporation of PROMISE JOBS Memos.
- Makes numerous changes throughout the ***PROMISE JOBS Provider Manual*** clarifying current policy.
- Updates the *FIA Steps to Achieve Self-Sufficiency* to remove the reference to a "designated parent."
- Updates the *Notice of Overpayment: PROMISE JOBS Expense Allowances* to correct the manual reference.

Time Limit on PROMISE JOBS Funding

Currently, participants are allowed 36 consecutive months in which to use a maximum of 24 months of supplemental expense allowances for classroom training. Beginning July 1, 2001, participants will be allowed 48 consecutive months in which to use a maximum of 24 months of training.

The maximum number of months in which a participant may receive funding for supplemental expense allowances has not changed. Only the length of time that a participant is allowed to use this funding has been extended. All other ***PROMISE JOBS Provider Manual*** policies regarding postsecondary education still apply. No changes to existing FIAs will be necessary due to this rule change.

To implement this change:

- Identify any participants who will not have used all 24 months of their postsecondary education supplemental funding by the end of June 2001.
- Inform these participants by the end of July 2001 that they are now allowed 48 consecutive months in which to use up to 24 months of supportive services for postsecondary education, rather than 36 consecutive months. The following is suggested text for an informational letter that you should send to postsecondary education participants:

> There has been a change in PROMISE JOBS policy for persons in school. Your worker has told you that there is a limit of 24 months on funding. The change is that, now you can use your 24 months worth of funding during a 48-consecutive-month period, instead of 36 months.
>
> Once you reach the end of the 48 months, you will not be able to get any more funding for school expenses from PROMISE JOBS.
>
> If you have any questions regarding this new policy, or want to know how it affects your Family Investment Agreement or classroom training plan, call me at _____.

Incorporation of PROMISE JOBS Memos and Other Clarifications of Existing Policy

Clarifications were incorporated on:

- Abbreviations and acronyms. Language is added to clarify that it is important in developing Family Investment Agreements that they are clear and understandable. The only acceptable abbreviations and acronyms are:
  - DHS for the Department of Human Services
  - FIA for the Family Investment Agreement
  - FIP for the Family Investment Program
  - PJ for the PROMISE JOBS program
  - GED for general equivalency diploma
  - References to local colleges

- Health Insurance Premium Program (HIPP). This revision clarifies information presented during orientation and assessment regarding HIPP and transitional Medicaid benefits.
- LBP effects on food stamps and Medicaid. Language is added to clarify that people who become ineligible for FIP due to the imposition of a limited benefit plan may remain eligible for food stamps and Medicaid benefits.
- Referrals to FaDSS
- Solo parent program
- Parenting skill requirement for parents under age 20
- Case file content
  - A reference to form 470-3111, *Second Notice of Appointment and Participation*, has been removed, as the form was obsolete on November 1, 1997.
  - A reference to "Supervisory Letter" was added.
  - Instructions for filing verification of office contacts and other correspondence are clarified.
- Purging client files

Effective Date

July 1, 2001 is the effective date for the increase in the mileage rate for transportation allowances and the extension of time limits for postsecondary education.

All other material is effective upon receipt.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4, Appendix, ***PROMISE JOBS Provider Manual***, and destroy them:

Page	Date
PJPM text	
Contents (page 4)	July 6, 1999
1, 3, 15, 22	December 19, 2000
23	August 22, 2000
42, 60, 61, 78	December 19, 2000
111-113	November 12, 1997
120	November 14, 2000
121	June 23, 1998
125-127	November 12, 1997
128	December 19, 2000
131	November 12, 1997
135, 136	December 19, 2000
136a, 136b	November 12, 1997
136c	November 14, 2000

136d, 136e	June 23, 1998
137	November 14, 2000
151, 154-156, 160	October 15, 1996
172a, 173, 174	December 19, 2000
205	July 6, 1999
206, 208	December 19, 2000
210	August 22, 2000
234	July 6, 1999
PJPM Appendix	
470-3096 (after p. 26)	7/00
470-2666 (after p. 36)	7/00

The following PROMISE JOBS Memos should also be removed from reference and destroyed: 43, 52, 72, 80, 82, 145, 146, and 158.

Additional Information

Use up remaining supplies of the previous versions of forms 470-2666 and 470 3096, and reorder them in the usual manner.

Refer questions about this general letter to your Department of Human Services regional benefit administrator or to your Iowa Workforce Development PROMISE JOBS Coordinators.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

December 4, 2001

GENERAL LETTER NO. 4-AP-153

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Title page, corrected; Contents (pages 1, 2, 7, and 8), revised; pages 1 through 18, 22, 23, 24, 34, 37 through 64, 199, 200, 202, 203, 207, 208, 210, 212, 213, 234a, 235 through 239, 242, 248, and 257 through 266, revised; and pages 24a, 64a, 234b, 234b, 248a, 248b, and 267 through 296, new;

PROMISE JOBS PROVIDER MANUAL APPENDIX, Title page, corrected; Contents (pages 1 and 2), revised, pages 13, 14, and 21, revised; pages, 26a through 26e, 32a, 54a, and 54b, new; and the following forms:

470-0010	*Adjustment to Overpayment Balance*, revised
470-2598	*Expense Allowance Authorization*, revised
FaDSS-00-01-R	*FaDSS Universal Referral*, revised
470-3876	*Hardship Exemption Determination*, new
470-3884	*Hardship Exemption: Service Information*, new
RC-0040	*Income Maintenance Discussion of PROMISE JOBS*, revised
470-3099	*Job Search Record*, revised
595-1489	*Non-Law Enforcement Record Check Request Form A*, revised
470-3897	*Notice of Appointment to Write a Family Investment Agreement*, new
470-0820	*Notice of Employment*, revised
RC-0008	*Overpayment Recovery Codes*, revised
470-0464	*Overpayment Recovery Input*, revised
470-3102	*Referral to Community Agencies*, revised
470-3826	*Request for FIP Beyond 60 Months*, new
470-0806	*Self-Assessment*, revised
470-2617	*Time and Attendance*, revised
470-0805	*Work Experience Participant Evaluation*, revised

Summary

This general letter:

- Explains the 60-month lifetime limit on FIP and, therefore, PROMISE JOBS assistance. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Public Law 104-193, imposes a 60-month lifetime limit on the time that families can receive assistance funded through the Temporary Assistance for Needy Families (TANF) block grant program. In Iowa, this affects the Family Investment Program (FIP) and the PROMISE JOBS program.

The 60-month limit applies to a family that includes:

- A parent on the FIP grant with his or her child.
- An incapacitated stepparent who is included in the FIP grant.
- A minor parent who is payee and on the FIP grant with his or her child.
- A needy nonparental specified relative who is included in the FIP grant with the nonparental child.

In two-parent households, the 60-month limit is determined when either parent has received assistance for 60 months. The 60-month limit also applies to a family that includes a parent in the home who is excluded from the FIP grant for his or her child.

TANF allows states to establish their own state time limit and count months against that limit, as they deem appropriate. However, only cash assistance that meets the federal definition of "assistance" can be counted toward the 60-month federal limit.

Since there is no national tracking system, states do not have a way of correctly tracking out-of-state assistance. Therefore, until federal guidance is received, FIP-like payments from other states are not being considered as counting toward the 60-month limit.

The 60-month period need not be consecutive. Iowa started the 60-month limit January 1, 1997. As of January 1997, any month for which the adult or minor parent head of household receives assistance in Iowa is counted toward the 60-month limit. Assistance received for a partial month counts as a full month.

♦ Implements Iowa's exemption to the federal 60-month lifetime limit on the receipt of FIP benefits to allow for FIP assistance beyond the 60-month limit for families with hardship conditions.

The Department conducted a number of field forums across the state and internally to discuss the impact of the 60-month FIP limit and seek input from all interested parties on the criteria to be considered in developing hardship exemption criteria. Much time was spent seeking input from the Welfare Advisory Group, DHS and provider agency staff, and constituents. The new hardship exemption policies reflect the outcome of these forums and discussions.

Families that are subject to the 60-month FIP limit may receive FIP for more than 60 months if they request and are granted a "hardship exemption" and meet all other FIP eligibility requirements. "Hardship" is defined as a circumstance that is preventing the family from being self-supporting. The hardship exemption eligibility determination is a two-step process:

- Based on supporting evidence, the local IM worker determines whether the family has a hardship condition that affects its ability to be self-supporting.
- If so, the adults in the family must meet with PROMISE JOBS to develop and sign a six-month Family Investment Agreement that addresses the family's hardship condition.

The family has to meet both steps before the hardship exemption request can be granted. References to the hardship exemption are added to relevant topics throughout the chapter.

- Introduces four new forms used in processing a hardship exemption request:
  - Form 470-3826, *Request for FIP Beyond 60 Months*, is completed by the family to request more than 60 months of FIP benefits and as a release of information between the family, DHS, IWD, and FaDSS.
  - Form 470-3876, *Hardship Exemption Determination*, is used to document the approval or denial of a family's request for a hardship exemption and to transmit information between IM and PROMISE JOBS.
  - Form 470-3884, *Hardship Exemption: Service Information*, is completed by the DHS Service Unit when a family applying for the hardship exemption has an open service case.
  - Form 470-3897, *Notice of Appointment to Write a Family Investment Agreement*, is used to schedule an appointment to develop and sign an FIA as an eligibility factor for FIP. This notice of appointment can also be used when scheduling an appointment to develop and sign an FIA when a family is reconsidering the choosing of a limited benefit plan.
- Removes references to the Iowa Mentoring Program. Effective July 1, 2001, IWD and DHS discontinued funding to the seven Iowa Volunteer Mentor Program sites because the program did not meet the required performance measure for mentor-participant matches.

  To meet the performance measurement of 25 matches per site per fiscal year, 475 matches needed to have been made for the last three fiscal years. Only 206 matches were made, or 43% of the total match requirement.
- Transmits an alternative to the use of form FaDSS-00-02-M, *FaDSS Monthly Report to PROMISE JOBS*, which was created in a joint effort between the PROMISE JOBS and the FaDSS program to facilitate communication between the programs.

  Good communication is as essential as ever, but the PROMISE JOBS service delivery region administration and the FaDSS grantee can now agree to alternative methods of monthly communication at the local level. For example, an e-mail correspondence sent from the FaDSS grantee to the PROMISE JOBS worker may replace the use of form FaDSS-00-02-M.
- Incorporates the information contained in the following PROMISE JOBS Memos:
  - 111, Suggested Text for Supervisory Letter for Persons Who Appear to be Choosing a Second LBP Before Meeting with PROMISE JOBS Staff.
  - 151, Family Violence Implementation. Protocol has also been added to assist PROMISE JOBS staff when they have reason to believe that a family is experiencing domestic violence.

- Provides information on the following form changes:
  - Revision of the *Adjustment to Overpayment Balance* to remove language about Transitional Child Care and add Child Care Assistance.
  - Removal of form 470-2674, *Employment Follow-Up Questionnaire*. The federal government no longer requires TANF reporting of this information. PROMISE JOBS staff should confer with the participant and Income Maintenance staff regarding employment information.
  - Change in form FaDSS-00-01-R, *FaDSS Universal Referral*, from three sections to two sections. The FaDSS grantee will notify PROMISE JOBS regarding the status of the referral to FaDSS within 10 days of the referral to the FaDSS program and will forward a completed form FaDSS-00-01-R within 20 working days of the date of the referral.
  - Update of Department of Public Safety form 595-1489, *Non-Law Enforcement Record Check Request Form A*, to remove the evening phone number and clarify the instructions.
  - Update of reference card RC-0008, *Overpayment Recovery Codes*, to include coding for the Child Care Assistance program.
  - Revision of the *Overpayment Recovery Information Input* to clarify that item 17a is used for food stamp claims only.
- Provides updates to the following forms to replace an incorrect logo:
  - 470-2598, *Expense Allowance Authorization*
  - 470-3099, *Job Search Record*
  - 470-0820, *Notice of Employment*
  - 470-3102, *Referral to Community Agencies*
  - 470-0806, *Self-Assessment*
  - 470-2617, *Time and Attendance*
  - 470-0805, *Work Experience Participant Evaluation*
- Make additional changes throughout the manual to clarify current policies.

Implementation Instructions for the 60-Month Limit

Discuss the 60-month limit during Orientation and during family contacts. Stress to clients the importance of planning early how to become self-supporting by the end of the 60-month FIP period. Let them know that PROMISE JOBS staff can help them prepare for that time.

Iowa started the 60-month limit January 1, 1997. Families that have received a FIP grant every month since then will reach their 60-month limit December 31, 2001. They will be ineligible for FIP effective January 1, 2002, unless they request and are determined eligible for a hardship exemption.

The Department of Human Services is tracking the 60-month limit via the Eligibility Tracking System (ETS). IWD is provided a copy of this listing showing all active FIP cases that have used FIP for 36 or more months. Each adult's FIP months are counted toward the family's 60-month limit.

A hardship exemption cannot begin until a family has received FIP for the entire 60-month period. Because one period follows the other, the respective policies are very much interactive. Although no hardship exemption can start before January 1, 2002, Income Maintenance staff must take FIP case actions before that date to be able to timely cancel FIP for families that have reached their 60-month limit and act on any hardship exemption requests that may be received.

Ongoing Cases

For ongoing cases, beginning November 2001, income maintenance workers will:

1. Access the "Active Cases That Have Used FIP For 36 or More Months" report on ETS to obtain a listing of participant families that have received FIP for 59 months.

2. Send to these families form 470-3826, *Request for FIP Beyond 60 Months*, together with form 470-3851, *Important Information About Your FIP Case*, and Comm. 137, *5-Year Limit on FIP Assistance*. It's up to the families to consider their circumstances and decide whether to request a hardship exemption or not.

3. Cancel FIP assistance for the listed families after system cut-off in November effective January 1, 2002, because they will have received FIP for 60 months, using case notice reason code 360 (on ABC TD02). This notice informs the family that it will get another notice about the status of its hardship exemption request. Timely notice is required.

   FIP will be cancelled even if a family has filed a valid form 470-3826, as there is no way of knowing whether the family's request for hardship exemption will be granted. If the exemption is granted, the FIP case will be reopened.

IM will complete all FIP cancellations of families that will become ineligible effective January 1, 2002, by timely notice December 20, 2001. PROMISE JOBS will follow usual procedures as it applies when a case is cancelled for FIP. The FIP cancellation notice will also give notice that PROMISE JOBS services are cancelled.

If timely notice cannot be met, PROMISE JOBS services will be cancelled effective the second month. Excess assistance for the first month is subject to recoupment unless the family requests and is determined eligible for a hardship exemption that includes the first month.

On November 10, the IM worker checks the "Active Cases That Have Used FIP For 36 or More Months" report on ETS and finds that Mrs. A has received FIP for 59 months. After system cutoff in November, the IM worker takes action to timely cancel Mrs. A's FIP case effective January 1, because she has reached the 60-month limit. PROMISE JOBS follows the usual procedures as when FIP is cancelled for any reason.

If the family returns form 470-3826 before the effective date of the FIP cancellation and is approved for a hardship exemption, FIP may be reopened as of the effective date of the FIP cancellation. A *Public Assistance Application* is not required to reopen the FIP case. In this situation, the status on PJOB "B" screen will show as DHS REF – REACTIVATED or DHS REF – CHANGE TO ADC ACTIVE.

If the family returns form 470-3826 on or after the effective date of the FIP cancellation, a *Public Assistance Application* is required for the family to regain FIP eligibility and to be considered for a hardship exemption. In this situation, the status on PJOB "B" screen will show as DHS REF – REREFERRAL.

Income Maintenance and PROMISE JOBS will follow the same instructions every month from now on, because every month will be a month 58, 59, or 60 for some families.

Applications

When a family reapplies for FIP, the IM worker checks ETS to determine the family's 60-month count. If the family is close to the limit, the IM worker will explain the hardship provisions and provide form 470-3826, *Request for FIP Beyond 60 Months*, to the family.

An applicant who is close to the 60-month limit may be eligible for some, but not all, months in the application period. IM must make sure not to approve FIP for more months than are left in the family's 60-month period. PROMISE JOBS must make sure that the dates included on an FIA are in accordance with the number of FIP months the family has left to use, to avoid including months beyond the 60-month limit.

As new referrals are received, determine the number of months of FIP eligibility remaining. Refer to ETS reports or confer with the IM worker.

When Another Adult Joins an Ongoing Case

Parents in two-parent families may not have received the same number of months of FIP assistance. For example, families sometimes separate and rejoin. Or one parent was on SSI while the other parent was not. Therefore, when a parent who has received FIP for 60 months joins a participant family that has not received FIP for 60 months, FIP must be cancelled effective the first day of the next calendar month.

When the FIP participant reports that the absent parent has returned to the home, the IM will check ETS for the status of the returning parent's number of FIP months. If ETS indicates the parent has received FIP for 60 months, the IM worker will timely cancel the existing FIP case effective the first day of the next month.

FIP eligibility can continue only if the participant family submits form 470-3826, *Request for FIP Beyond 60 Months*, and is approved for a hardship exemption.

Mrs. A and her two children have been on FIP for 34 months. On January 5, Mr. G, one of the children's fathers, returns to the home. Mrs. A reports Mr. G's return the next day.

The IM worker checks ETS and finds that Mr. G has received FIP for 60 months on two other FIP cases. Even though Mrs. A has received FIP for only 34 months, FIP must be cancelled, because Mr. G has received FIP for 60 months. The IM worker issues timely notice and cancels Mrs. A's FIP case effective February 1.

PROMISE JOBS should consult with IM when:

- Another adult who is subject to the 60-month limit joins an existing FIP household.
- Questions arise regarding a family's months of FIP eligibility.

Mrs. D is receiving FIP for herself and her two children whose father is absent. Also in the home is Mr. W, the father of Mrs. D's expected child. One June 1, Mrs. D has received FIP for 13 months. On June 10, Mrs. D reports the birth of her new child on June 9, resulting in Mr. W now being a mandatory household member. Mr. W is a mandatory referral to the PROMISE JOBS program.

The IM worker adds the baby and Mr. W to the FIP case effective June 17. Mr. W was a parent on another FIP case for 17 months. June will be month 18 for the family because June is the month for which Mr. W is added to this FIP case.

While together, the family's FIP eligibility is based on the higher of the two parent's FIP months. PROMISE JOBS needs to take the number of months counting toward the 60-month lifetime FIP limit into account when amending the FIA to include steps for Mr. D. Mrs. D's FIA steps may need to be amended in accordance to the new number of months counting toward the 60-month FIP limit.

Hardship Exemption

The family requesting the hardship exemption has primary responsibility for identifying hardship barriers and providing supporting documentation of the barriers and their impact on the family's ability to be self-supporting.

IM needs to make the final hardship exemption decision as soon as possible but no later than 30 days after the date a valid form 470-3826, *Request for FIP Beyond 60 Months*, is received in any DHS or PROMISE JOBS office. Therefore, good and thorough communication between you and the IM worker is imperative. Families whose request for a hardship exemption is denied are afforded appeal rights.

PROMISE JOBS provides supportive services and monitors the FIA. Adults in families that are approved for a hardship exemption are mandatory PROMISE JOBS participants. They must be involved in activities reasonably expected to lead to self-sufficiency. Adults that fail to follow the terms of the six-month FIA will have chosen a limited benefit plan.

A hardship exemption is limited to six consecutive calendar months. Families may request and be granted more than one hardship exemption if warranted by their hardship circumstances, provided that they otherwise qualify for the exemption and meet FIP eligibility requirements. A new six-month FIA and a new hardship exemption determination are required for each subsequent hardship exemption period.

Federal regulations require that a hardship exemption must not begin until the adult in the family has received FIP for at least 60 months.

Note: The Department is prohibited from using public funds for cash assistance or PROMISE JOBS services for nonqualified aliens whose classification is not listed at 8 United State Code (U.S.C.) Section 1641. Therefore, families with parents whose alien classification is not listed at 8 U.S.C. Section 1641 are not eligible for FIP beyond the 60-month limit.

Processing Hardship Exemption Requests

When you receive a signed form 470-3826, *Request for FIP Beyond 60 Months*, date-stamp the form to preserve the date of the request and promptly fax a copy to the local Income Maintenance office. Forward the original *Request for FIP Beyond 60 Months* to the local IM office within the next working day.

The IM worker is responsible for determining whether the family has a hardship condition. It is important that you and the IM worker coordinate your respective responsibilities and activities.

The IM worker will check the family's FIP and limited benefit plan status to determine whether the hardship exemption request is appropriate for the case circumstances. The family may currently be on FIP and PROMISE JOBS, have a closed PROMISE JOBS case, or never have been referred to the PROMISE JOBS program.

There are some situations when a determination for an exemption due to hardship is not needed. For example, IM will deny the request if:

- The family has received FIP for 57 months or less.
- The family is exempt from the 60-month limit because the only parent in the home is on SSI. In this case, the family does not need a hardship exemption to qualify for FIP.
- The family has received FIP for 58 or more months but is in a six-month period of ineligibility of a subsequent limited benefit plan. In this situation, the family is ineligible for FIP rather than hardship.

In these examples, no involvement from PROMISE JOBS is needed.

IM will proceed if the timing of the hardship exemption request appears appropriate for the FIP case circumstances, meaning:

- The family has received FIP for 58 or more months.
- If the family is in a limited benefit plan, it is either:
  - A first limited benefit plan, or
  - A subsequent limited benefit plan where the six-month period of ineligibility has ended.

IM will promptly issue a *Public Assistance Application* to the family if necessary. A letter will be enclosed that will explain the reason why the application is needed and that the hardship request will be denied if the family fails to return the application by the stated due date, allowing the family 10 calendar days to return the application. IM will also request supporting hardship evidence from the family.

If the family has an active service case, IM will forward a copy of form 470-3826, *Request for FIP Beyond 60 Months*, to the service worker along with a copy of form 470-3884, *Hardship Exemption: Service Information*, for the service worker to complete.

The primary purpose for the service information is to help ensure that the hardship FIA will not conflict with a service plan already in place. IM may also use the service information to substantiate the family's hardship claim.

IM will deny the hardship exemption request if the family fails to return the application or documentation to support the need for a hardship exemption by the due date (or the extended due date if an extension was requested and granted). No involvement from PROMISE JOBS is needed in this situation.

Referral for Six-Month FIA

If the family provides the FIP application and the supporting hardship documentation, IM will determine whether the family meets hardship criteria. If the family does not meet hardship criteria, IM will deny the hardship exemption request and no involvement from PROMISE JOBS is needed.

If the family does meet hardship criteria, IM will promptly forward to PROMISE JOBS:

- Form 470-3826, *Request for FIP Beyond 60 Months*.
- Form 470-3884, *Hardship Exemption: Service Information*, if appropriate.
- Any supporting evidence from the family.
- Form 470-3876, *Hardship Exemption Determination*, with all items in part A completed except Section 2.

The documents notify you that IM has determined the family to have a hardship condition and that they must now complete a six-month FIA. Form 470-3876, *Hardship Exemption Determination*, acts as the referral to PROMISE JOBS and lists all adults that are required to participate with the PROMISE JOBS program.

Use form 470-3897, *Notice of Appointment to Write a Family Investment Agreement*, within 24 hours to schedule an appointment to develop and sign an FIA. Schedule this appointment at the earliest possible date, giving at least five working days before the scheduled appointment. At the same time, send a copy to the FaDSS worker if the family is enrolled in the FaDSS program and to the IM worker listed on form 470-3876.

Form 470-3826, *Request for FIP Beyond 60 Months*, is also an authorization for release of information that allows local office IM, PROMISE JOBS, Service, and FaDSS staff to share information, including substance abuse, mental health and AIDS/HIV-related information.

Document in Part B of form 470-3876 whether the family has met the FIA requirement. Return this form to IM and keep a copy in the case file. Also, note in Part B if 20 hours of work or other approvable PROMISE JOBS activities are required before FIP approval in the instance of reconsidering a subsequent limited benefit plan.

Final Decision

IM will forward a copy of form 470-3876 that reflects the final hardship exemption determination to PROMISE JOBS, the identified service worker, and the administrator of the Division of Economic Assistance.

If the request for a hardship exemption is approved, appropriate system referrals will be received. Resume or begin case management including issuing expense allowances as appropriate. Make appropriate computer entries.

Transmit copies of the FIA to the administrator of the Division of Economic Assistance, IM, FaDSS if FaDSS is involved with the family, and the DHS service worker identified on form 470-3884.

Effective Date

Upon receipt.

Material Superseded

Remove the following pages from Employees' Manual, Title 4 Appendix, ***PROMISE JOBS Provider Manual***, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
Title page	Undated
Contents (pages 1 and 2)	December 19, 2000
Contents (page 7)	August 22, 2000
Contents (page 8)	July 6, 1999
1	June 19, 2001
2	December 19, 2000
3	June 19, 2001
4	December 19, 2000
5-9	August 22, 2000
10-12	December 19, 2000
13	November 14, 2000
14	October 15, 1996
14a	November 14, 2000
15	June 19, 2001
16	August 22, 2000
17	December 19, 2000
18	August 22, 2000
22, 23	June 19, 2001
24	August 22, 2000
34	December 19, 2000
37	August 22, 2000
38, 41	December 19, 2000
42	June 19, 2001
43-55	August 22, 2000
56	June 15, 1997
57-59	December 19, 2000
60, 61	June 19, 2001
62	October 15, 1996
63	December 19, 2000
64	October 15, 1996
199, 200	October 15, 1996
202, 203	December 19, 2000
207	August 22, 2000
208, 210	June 19, 2001
212-214	August 22, 2000
234a	June 19, 2001
235	December 19, 2000
236-239	July 6, 1999

242	August 22, 2000
248, 256a	July 6, 1999
256b	November 14, 2000
257, 258	July 6, 1999
259	August 22, 2000
260	December 19, 2000
261	July 6, 1999
262	November 14, 2000
263	December 19, 2000
264	July 6, 1999
265, 266	October 15, 1996
PROMISE JOBS Provider Manual	
Appendix	
Title page	Undated
Contents (pages 1 and 2)	December 19, 2000
470-0010	7/00
13, 14	December 19, 2000
470-2674	7/93
470-2598	12/00
FaDSS-00-01-R	Undated
21	December 19, 2000
RC-0040 (before p. 27)	5/99
470-3099	1/00
595-1489 (after p. 30)	12/98
470-0820 (after p. 34)	11/99
RC-0008 (before p. 39)	4/00
470-0464	10/00
470-3102 (before p. 51)	1/01
470-0806 (after p. 56)	7/00
470-2617	1/01
WI-1103-5	12/92

PROMISE JOBS Memos #111 and #151 are now obsolete and should be destroyed.

Additional Information

Form 470-3897, *Notice of Appointment to Write a Family Investment Agreement*, is the only new form that needs to be stocked in PROMISE JOBS offices. The others are included for information only. In the future, a template may be available for on-line completion of this form, but at present, obtain supplies by printing to form from the on-line manual or copying the sample in the printed manual.

You will also need to print supplies of revised forms 470-2598, FaDSS-00-01-R, and RC-0008 from the manual as needed. (Revised reference card RC-0040 is provided for information only.)

Revised forms 470-0010, 470-3099, 595-1489, 470-0820, 470-0464, 470-3102, 470-0806, 470-2617, and 470-0805 are available at Anamosa. Use up remaining supplies of the previous versions of these forms before reordering in the usual manner.

Forms 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*; 470-2925, *Notice of Waiting List Placement*; 470-2604, *Transfer Between PROMISE JOBS Agencies*; 470-3097, *Unpaid Community Service Monthly Report*; and 470-3300, *Your Family Investment Agreement Reminder*, also have the wrong logo and will be corrected when they come up for reprint.

Refer questions about this general letter to your Department of Human Services regional benefit payment administrator or your Iowa Workforce Development PROMISE JOBS coordinators.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

December 26, 2001

GENERAL LETTER NO. 4-AP-154

ISSUED BY: Bureau of Family Investment, Division of Economic Assistance

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS Provider Manual***, Table of Contents (page 3) revised; pages 86, 87, 88, 114, 115, 116, and 126 revised; and page 88a, new.

PROMISE JOBS Provider Manual Appendix, forms 470-3104, *Your FIA Rights and Responsibilities*, and 470-3103, *Your PROMISE JOBS Reminder*, revised**.**

Summary

This manual is revised to:

- Eliminate references to the contract between the Department of Human Services and the Institute for Social and Economic Development (ISED) to provide entrepreneurial training to PROMISE JOBS participants. The existing contract expires effective January 1, 2002, and will not be renewed.
- Add a new section to the Manual under **Monitored Employment** to describe participation requirements for self-employment as an activity in the FIA, and how to follow up on people who choose to include self-employment in their FIA

Due to the elimination of the ISED contract, entrepreneurial training is now to be treated the same as any other type of short-term classroom training. All policies and procedures that apply to short-term classroom training now apply to entrepreneurial training.

This change allows participants and PROMISE JOBS staff the flexibility to choose any approvable entrepreneurial training provider available that best meets the participant's needs to become self-employed and moves families to self-sufficiency in the quickest and most effective way possible.

As of January 1, 2002, begin informing people who wish to include entrepreneurial training and self-employment in the FIA about the existence of FIP waiver policy for entrepreneurial training participants. Inform participants that if they want FIP waiver policy applied, they must contact their income maintenance worker directly to request waivers. In the past, as part of the ET contract, ISED helped facilitate the waiver request.

Short-term training funds may not be used for people who were enrolled in ISED's entrepreneurial training program before January 1, 2002. These people are not eligible for short-term training tuition payments from PROMISE JOBS, since their training will be paid under the contract with ISED.

Form 470-3104, 470-3104, *Your FIA Rights and Responsibilities*, has been revised to eliminate a reference to the FIP unemployed parent work program.

Form 470-3103, *Your PROMISE JOBS Reminder,* has been revised to add a blank for the date by which a person must respond.

Effective Date

January 1, 2002

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, PROMISE JOBS Provider Manual, and destroy them:

Page	Date
PJPM text	
Contents (page 3)	November 14, 2000
86	December 19, 2000
87	August 22, 2000
88	July 6, 1999
114	November 12, 1997
115	December 19, 2000
116	November 12, 1997
126	June 19, 2001
PJPM Appendix	
470-3104 (after p. 66)	4/99
470-3103	4/99

Additional Information

New rules have been developed to eliminate FIP waivers. If these rules are adopted, **no new FIP waivers** will be granted to entrepreneurial training participants **effective April 1, 2002.** Participants granted FIP waivers before this date will be allowed to continue under waiver policy until their 12-month waiver period expires.

Use up existing supplies of forms 470-3103 and 470-3104 before reordering in the usual manner.

Refer questions about this general letter to your Department of Human Services regional benefit payment administrator or your Iowa Workforce Development PROMISE JOBS coordinators.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

March 19, 2002

GENERAL LETTER NO. 4-AP-155

ISSUED BY: Bureau of Financial and Work Supports,
Division of Financial, Health, and Work Supports

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Contents (pages 2 and 7), revised; pages 18, 19, 20, 63, 64, 64a, 65, 72, 72a, 72b, 87, 88a, 89, 90, 90a, 130 through 138, 144, 197, 206, 212 through 228, 233, and 235 through 241, revised; and pages 64b, 88b, and 228a through 228d, new.

PROMISE JOBS PROVIDER MANUAL APPENDIX, page 67, revised; and form 470-3103, *Your PROMISE JOBS Reminder*, revised.

Summary

This chapter is revised to:

- Shorten the limited benefit plan resolution process by:
  - Eliminating requirements for the PROMISE JOBS supervisor.
  - Requiring the PROMISE JOBS worker to attempt to resolve FIA participation issues at the time of the first occurrence.
- Incorporate PROMISE JOBS MEMO #152, "Drug Felons and PROMISE JOBS."
- Clarify procedures for participants who appear to have chosen the limited benefit plan.

Resolving an LBP Choice

Under current policy, when a FIP person's participation in the activities of the FIA has become an issue, the PROMISE JOBS supervisor is involved as follows:

- The supervisor reviews the case situation to determine if there are other efforts that will bring the person back into the FIA process or if the supervisor agrees that the person has chosen the limited benefit plan.
- The supervisor sends a letter to specify the participation issue, clarify expectations, attempt to identify problems or barriers to participation, offer supervisory intervention, inform the participant of the consequences of the limited benefit plan, and give the participant another opportunity to resume participation.

When a recently referred FIP person fails to schedule or attend orientation and has chosen an limited benefit plan before, the PROMISE JOBS supervisor sends a letter to announce that the person is choosing a subsequent limited benefit plan and the consequences of that choice. The letter also attempts to identify problems or barriers to participation, offers supervisory intervention, and gives the participant another opportunity to schedule and attend orientation.

Under the revised policy:

- The PROMISE JOBS supervisor is no longer routinely required to provide input and review the case of each person who is choosing a limited benefit plan by abandoning the activities of the FIA.
- The choice of the limited benefit plan no longer needs to be approved by the supervisor.
- The supervisor is no longer required to send a letter to the participant in this situation.
- The supervisor is no longer required to send a letter to a recently referred participant who is choosing a subsequent limited benefit plan by not scheduling or attending orientation.

PROMISE JOBS workers shall make every effort to resolve a participation issue when an issue first occurs. The PROMISE JOBS worker shall send the participant a written reminder, request, or letter. The written reminder, request, or letter shall:

- Specify the participation issue.
- Clarify expectations.
- Attempt to identify problems or barriers.
- Offer supervisory intervention.
- Inform the participant of the consequences of the limited benefit plan.
- Give the participant an opportunity to resume participation.

If a participant does not resolve an FIA participation issue after receiving a written reminder, request, or letter, the participant is considered to have chosen a limited benefit plan, unless the participant has problems or barriers to participation.

PROMISE JOBS workers will attempt to resolve the issue at the time that the participant first fails to schedule or attend orientation by sending form 470-3103, *Your PROMISE JOBS Reminder*. The form explains the consequences of a subsequent LBP, attempts to identify problems and barriers to participation, offers supervisory intervention, and gives the participant another opportunity to schedule and attend orientation.

If a participant does not schedule or attend orientation after receiving *Your PROMISE JOBS Reminder*, the participant is considered to have chosen a subsequent limited benefit plan, unless the participant has problems or barriers to participation.

The PROMISE JOBS supervisor will continue to be available to participants who want to discuss problems or questions. Offer this service in writing.

The PROMISE JOBS supervisor will continue to be available to workers who want input or support with cases with difficult or exceptional circumstances, and cases with problems or barriers to participation.

A state-level or local review of the case of a person choosing a limited benefit plan will continue to occur. There is no change to this policy. A review must concur that a participant has chosen a limited benefit plan before entry to establish the limited benefit plan is made.

Effective Date

April 1, 2002.

Implementation

When a FIP person's participation in the activities of an FIA becomes an issue and the first occurrence happens **on or after April 1, 2002**, send a written reminder, request, or letter to attempt to resolve the issue.

If the person does not resume participation after receiving a written reminder, request, or letter, refer the case for the proper review unless the participant has problems or barriers to participation. You do not need to refer the case to the PROMISE JOBS supervisor for a review, or for a letter to be sent, unless you believe the supervisor needs to be involved due to the specific case circumstances.

When a FIP person who has not signed an FIA does not schedule or attend orientation, and the person is referred **on or after April 1, 2002**, send *Your PROMISE JOBS Reminder*, form 470-3103, to attempt to resolve the issue.

If the person does not schedule or attend orientation after receiving *Your PROMISE JOBS Reminder*, refer the case for the proper review unless the participant has problems or barriers to participation. The PROMISE JOBS supervisor does not need to send a letter unless you believe one is needed due to specific case circumstances.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, PROMISE JOBS Provider Manual, and destroy them:

Page	Date
PJPM text	
Contents (pages 2 and 7)	December 4, 2001
18	December 4, 2001
19, 20	December 19, 2000
63, 64, 64a	December 4, 2001
65	July 15, 1997
72, 72a, 72b	August 22, 2000
87, 88a	December 26, 2001

89	August 22, 2000
90, 90a	July 6, 1999
130	August 22, 2000
131	June 19, 2001
132-134	November 12, 1997
135-137	June 19, 2001
138	October 15, 1996
144, 197	August 22, 2000
206	June 19, 2001
212, 213	December 4, 2001
215	July 6, 1999
216-218	August 22, 2000
219	October 15, 1996
220	August 22, 2000
221, 222	October 15, 1996
223	November 12, 1997
224	October 15, 1996
225	December 19, 2000
226	October 15, 1996
227, 228, 233	July 6, 1999
234a, 234b, 235-239	December 4, 2001
240	July 6, 1999
240a-240c, 241	August 22, 2000
PJPM Appendix	
470-3103	7/01
67	December 19, 2000

PROMISE JOBS Memo #152, “Drug Felons and PROMISE JOBS,” dated March 31, 1999, is now obsolete and should be destroyed.

Additional Information

Destroy existing supplies of form 470-3103, *Your PROMISE JOBS Reminder*, dated 7/01. Order supplies of the revised form 470-3103, *Your PROMISE JOBS Reminder*, from Iowa State Industries at Anamosa in the usual manner. Print the form from the on-line manual until you receive your supply.

Refer questions about this general letter to your IWD PROMISE JOBS coordinator or your DHS service area manager.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

July 2, 2002

GENERAL LETTER NO. 4-AP-156

ISSUED BY: Bureau of Financial and Work Supports,
Division of Financial, Health, and Work Supports

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Contents (pages 1, 5, 7, and 8), revised; pages 12, 13, 14, 25, 33, 58, 82, 161, 162, 162a through 162h, 167, 168, 172a, 180, 181, 182, 201, 207, 222, 223, 224, 231, 232, 235, 243, 249, 250, 258, 259, 287, and 288, revised; and pages 162i, 162j, and 162k, new.

PROMISE JOBS PROVIDER MANUAL APPENDIX, Contents (pages 1 and 2), revised; Contents (page 3), new; pages 3, 6, 8, 9, 10, 12, 29, 30, 31, 33, 36, 40, 44, 52, and 53, revised; and pages 32b through 32f, 48a, and 48b, new.

470-0487	*Appeal and Request for Hearing*, revised
470-3871	*Child Care Assistance Provider Agreement*, new
470-3915	*Notice of Decision: Child Care Assistance*, new
470-2666	*Notice of Overpayment PROMISE JOBS Expense Allowances*, revised
RC-0008	*Overpayment Recovery Codes*, revised
470-3896	*PROMISE JOBS Child Care Attendance and Invoice*, new
470-0809	*Sponsor's Request for Work Experience (WEP) Participant*, revised

Summary

This letter transmits revisions to:

- Explain and implement changes to the Child Care Assistance program. These include obsoleting the *Child Care Certificate*, forms 470-2959 and 470-2959(S), and introducing the following new forms:
  - *Child Care Assistance Provider Agreement*, form 470-3871
  - *Notice of Decision: Child Care Assistance*, form 470-3915
  - *PROMISE JOBS Child Care Attendance and Invoice*, form 470-3896
- Clarify overpayment recovery procedures for Child Care Assistance.
- Expand the requirement to apply for and accept benefits from sources other than FIP to include SSI.

- Eliminate the exemption of people with disabilities from referral to the PROMISE JOBS program except when the person is receiving SSI due to disability or blindness.
- Add procedures for sharing disability information with IM staff.
- Remove references to well-being visits. Previously, DHS contracted with the Iowa Department of Public Health to make visits to families choosing a subsequent limited benefit plan. These visits ended April 1, 2002. No action is required of PROMISE JOBS staff.
- Remove the instructions to use 470-0429, *Consent to Obtain and Release Information*, form any time form 470-0447, *Report on Incapacity*, is used. Form 470-0447 has consent language in it, so no additional form is necessary.
- Reflect that electronic versions of the following forms are available for on-line completion:
  - *Appeal and Request for Hearing*, form 470-0487
  - *Authorization for Examination and Claim for Payment*, form 470-0502
  - *Consent to Obtain and Release Information*, form 470-0429
  - *Overpayment Recovery Supplemental Information*, form 470-0465
  - *Request for Child Abuse Information*, form 470-0643
- Include a sample of 470-2666, *Notice of Overpayment PROMISE JOBS Expense Allowances*, revised to show the correct logo.
- Include a sample of *Sponsor's Request for Work Experience (WEP) Participant* revised to update the form number (470-0809 instead of WI-3302-0).

Child Care Assistance Program

Child Care Assistance rules were revised effective April 1, 2002. These rule changes replaced form 470-2959, *Child Care Certificate*, with two new forms, 470-3871, *Child Care Assistance Provider Agreement*, and 470-3915, *Notice of Decision: Child Care Assistance*. Each provider will have only one agreement with DHS, instead of a separate agreement for each client.

There is no need to do desk reviews. Do not initiate or renew a *Child Care Certificate* after receipt of this General Letter. As existing *Child Care Certificates* expire or need to be modified, use the new *Child Care Assistance Provider Agreement*. A flowchart outlining the phase-out of form 470-2959 is attached.

Additional procedural changes have been made for efficiency. Currently, PROMISE JOBS staff negotiate provider rates via the *Child Care Certificate*. DHS Child Care Assistance staff will now approve all providers, including providers who are not licensed or registered, and approve provider rates via the *Child Care Assistance Provider Agreement*. Refer to the flowchart at the end of this letter for more information about implementing child care assistance changes.

Child Care Assistance program overpayment instructions have been added to DHS Employees' Manual, 13-G, ***CHILD CARE ASSISTANCE***. Refer to 13-G for information.

RC-0008, *Overpayment Recovery Codes*, is revised to reflect the appropriate program codes to be entered on the *Overpayment Recovery Information Input*, form 470-0464, when notifying DIA of any child care overpayments. Five new Child Care Assistance program overpayment codes have been assigned.

PROMISE JOBS staff no longer send *Notice of Overpayment: PROMISE JOBS Expense Allowances*, form 470-2666, for overpayments completed for the Child Care Assistance program only. Demand letters will automatically be sent using applicable coding as listed on RC-0008.

Requirement to Apply for and Accept Other Benefits

Under current policy, every person in the FIP eligible group must apply for and accept other income benefits for which that person may be qualified, except for Supplemental Security Income (SSI). The needs of any person who refused to cooperate in applying for or accepting benefits from other sources were removed from the eligible group.

Under revised policy:

- Every person in the eligible group and any parent living in the home of a child on FIP must apply for and accept other income benefits, including SSI benefits.
- The entire eligible group is ineligible for FIP when a person refuses to apply for or to accept Social Security or SSI benefits. The IM worker will deny or cancel FIP for the entire eligible group.

A person or someone acting responsibly on the person's behalf must apply for SSI when:

- The person is aged 65 or older.
- The person is blind.
- The person claims a physical or mental disability that is expected to last continuously for 12 months from the time of the claim or that which is expected to result in death and the person is unable to engage in substantial activity due to the disability.

Eliminating the Referral Exemption for People with Disabilities.

Under current policy, IM exempts from referral to the PROMISE JOBS program, people who are disabled according to the Americans with Disabilities Act and who are unable to participate because they are:

- Physically disabled to such an extent that they are unable to attend and participate in orientation and assessment without risk to health or safety, or
- Mentally disabled to such an extent that they are unable to comprehend and participate in orientation and assessment.

Under revised policy, people who are disabled must be referred to the PROMISE JOBS program except when they are receiving SSI due to disability or blindness.

Implementation

Desk reviews will not be conducted for the new referral policy. IM will refer people who are currently exempt from PROMISE JOBS participation and who no longer meet exemption criteria:

- At the time of the next semiannual or annual review, or
- When a change affecting the current referral status occurs, but
- No later than June 30, 2003.

IM will apply these referral policies to applicants who apply on or after July 1, 2002.

Effective Date

Child care changes are effective upon receipt.

Referral changes are effective July 1, 2002.

Material Superseded

Remove the following pages from the Employees' Manual, Title 4 Appendix, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
Contents (page 1)	December 4, 2001
Contents (page 5)	December 19, 2000
Contents (page 7)	March 19, 2002
Contents (page 8)	December 4, 2001
12-14	December 4, 2001
25	August 22, 2000
33	December 19, 2000
58	December 4, 2001
82	December 19, 2000
161, 162	July 6, 1999
162a	November 14, 2000
162b-162d	July 6, 1999
162e, 162f	December 19, 2000
162g, 162h	July 6, 1999
167	June 20, 2000
168	July 6, 1999
172a	June 19, 2001
180	July 6, 1999
181, 182, 201	December 19, 2000

207	December 4, 2001
222-224	March 19, 2002
231	July 15, 1997
232	October 15, 1996
235	March 19, 2002
243	July 6, 1999
249, 250	July 6, 1999
258, 259, 287, 288	December 4, 2001
PROMISE JOBS Provider Manual Appendix	
Contents (pages 1 and 2)	December 4, 2001
470-0487	5/00
3, 6, 8-10, 12, 29-31, 33, 36, 40, 44, 52, 53	December 19, 2000
470-2666	4/01
470-0809	6/97

Additional Information

Destroy any remaining supplies of form 470-2959, *Child Care Certificate*. Order supplies of new forms 470-3871, *Child Care Assistance Provider Agreement*, and 470-3896, *PROMISE JOBS Child Care Attendance and Invoice*, from Anamosa in the usual manner.

Use up remaining supplies of forms 470-2666, *Notice of Overpayment PROMISE JOBS Expense Allowances*, and WI-3302-0, *Sponsor's Request for Work Experience (WEP) Participant* before reordering from Anamosa in the usual manner. You may also use up existing supplies of the previous version of form 470-0487, *Appeal and Request for Hearing.*

Refer to PJPM-Appendix for revised instructions for 470-0447, *Report on Incapacity* and 470-0429, *Consent to Obtain and Release Information*.

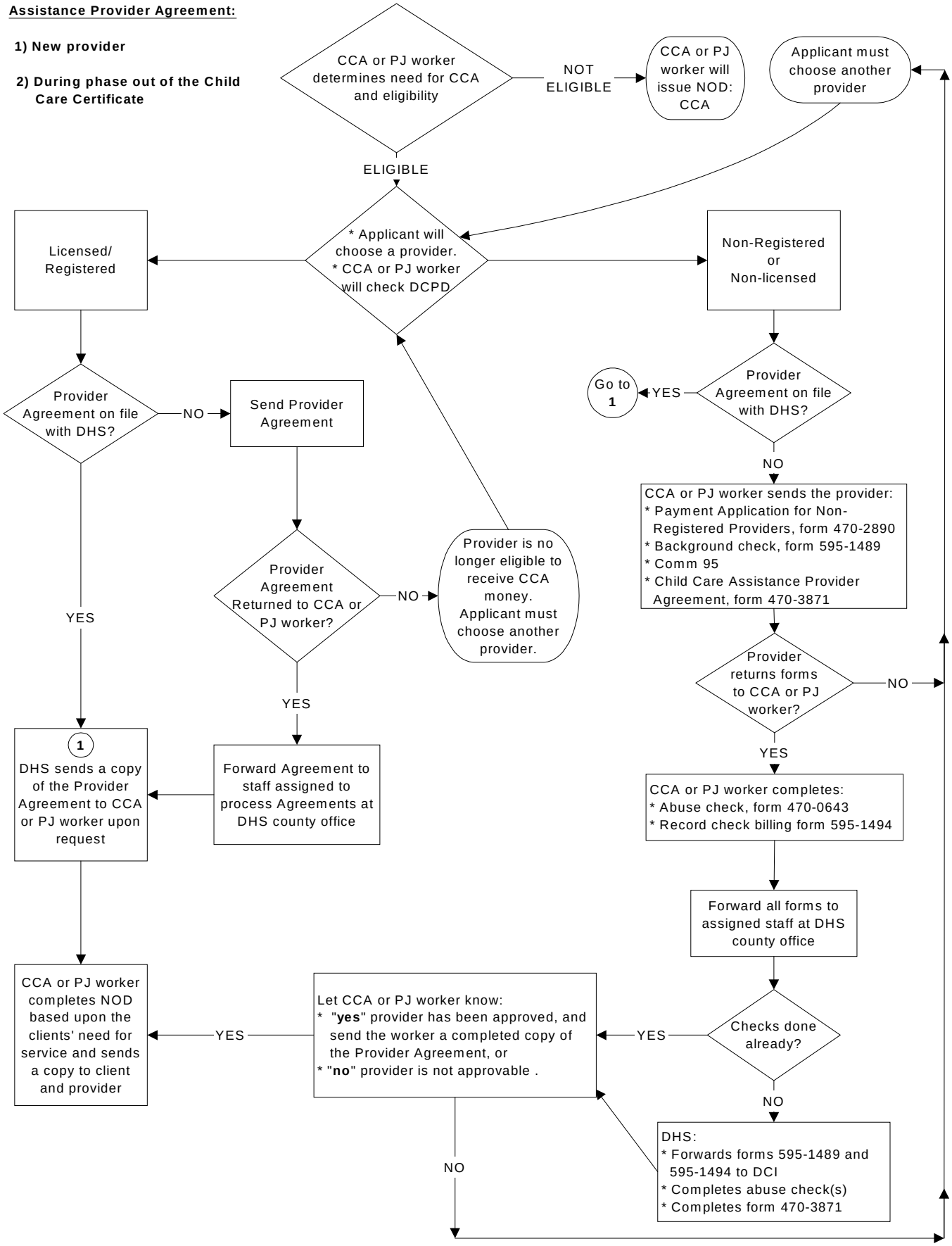
Refer questions about this general letter to your Iowa Workforce Development PROMISE JOBS Coordinators or your Department of Human Services Income Maintenance Supervisor II.

IMPLEMENTATION

Reasons to Initiate a Child Care Assistance Provider Agreement:

1) New provider

2) During phase out of the Child Care Certificate



Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

April 15, 2003

GENERAL LETTER NO. 4-AP-157

ISSUED BY: Bureau of Financial Support
Division of Financial, Health and Work Supports

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS PROVIDER MANUAL***, pages 9, 10, 21, 22, 36, 78, 100, 114, 115, 147, 150, 167, 168, 172a, 179, 180, and 207, revised.

PROMISE JOBS PROVIDER MANUAL APPENDIX, Contents (pages 1 and 2), revised; pages 1, 2, 3, 8, 9, 10, 12, 14, 17, 22, 26, 26b, 28, 30, 32, 32a, 36, 39, 40, 41, 42, 43 through 48, 48a, 51, 52, 53, 56, 58, 60, 63, and 66, revised; pages 42a through 42d, new; and the following forms:

470-3871	*Child Care Assistance Provider Agreement*, revised
470-3095	*Family Investment Agreement*, revised
470-3096	*FIA Steps to Achieve Self-Sufficiency*, revised
470-3876	*Hardship Exemption Determination*, revised
470-0813	*Notice of Appointment or Participation*, revised
470-3897	*Notice of Appointment to Write a Family Investment Agreement*, updated
470-2666	*Notice of Overpayment: PROMISE JOBS Expense Allowances*, revised
RC-0008	*Overpayment Recovery Codes*, revised
470-0464	*Overpayment Recovery Information Input*, revised
470-2890	*Payment Application for Nonregistered Providers*, revised
470-0447	*Report on Incapacity*, revised
470-0643	*Request for Child Abuse Information*, revised
470-2617	*Time and Attendance*, updated
470-2604	*Transfer Between PROMISE JOBS Offices*, revised
470-0805	*Work Experience Participant Evaluation*, updated
470-3104	*Your FIA Rights and Responsibilities*, updated

Summary

This general letter transmits:

- New categories for registered child care providers. All of the previous registration categories, including the pilot home categories, are being phased out as families renew their registrations.
- Information regarding the referral of aliens who have been determined by the INS as battered aliens.
- Clarification about entrepreneurial training. FIP rules have been revised to eliminate 12-month income and resource policy waivers that were previously allowed for entrepreneurial training participants for business start or expansion. These waivers are no longer effective and seldom used, so they have been eliminated.
- Changes to forms:
  - 470-3871, *Child Care Assistance Provider Agreement*.
  - RC-0008, *Overpayment Recovery Codes*.
  - 470-0464, *Overpayment Recovery Information Input*.
  - 470-2890, *Payment Application for Nonregistered Providers*.
  - 470-0447, *Report on Incapacity*.
- Deletion of form 470-2598, *Expense Allowance Authorization*.

Child Care Assistance Program

Child care provider registration rules were revised creating three new categories for registered providers and ending the pilot level home categories. The new categories are:

- Child development home category A,
- Child development home category B, and
- Child development home category C.

These new categories are used when a provider begins or renews a registration certificate after December 1, 2002. The new categories will be phased in over the next year as providers who are currently registered as a family or group home, or are registered as one of the four pilot level homes, renew their registration certificates.

Providers who are currently registered as a family home will choose to register as either a child development home category A or category B. Providers who are currently registered as a group home will register as a child development home category C.

The reimbursement rate ceiling tables will not be changing. The rates for a child development home category A and B will be the same as the rates for a family home. The rates for a child development home category C will be the same as the rates for a group home.

This change will not affect the way child care invoices are entered into the system. Continue to use the half-day rates that apply to registered family homes with the new child development home category A and B. Continue to use the half-day rates that apply to registered group homes with the new child development home category C.

This change applies to both the basic care rates and the special needs rates. The table for basic care has been modified and is shown below as an example.

Table I. Half-Day Rate Ceilings for Basic Care

Age Group	Child Care Center	Registered Group Home Child Development Home Category C	Registered Family Home Child Development Home Category A or B	Nonregistered Family Home
Infant and Toddler	$12.45	$9.00	$10.00	$8.19
Preschool	$ 10.50	$ 8.55	$ 9.00	$7.19
School Aged	$ 9.00	$ 8.33	$ 9.00	$7.36

Battered Aliens

Only aliens with one of the classifications described at 8 United States Code (USC) Section 1641 are considered for FIP eligibility, and certain classifications of these aliens cannot be included in the FIP grant for five years from the date they entered the United States. An alien who meets the federal criteria of a battered alien is exempt from the five-year bar if a state chooses to provide assistance from state-only funds.

House File 2623, passed in the 2002 Iowa legislative session, directed the Department to provide FIP assistance to battered aliens without regard to the five-year bar. People applying for FIP assistance under these provisions are subject to all FIP eligibility requirements, except that the requirement to provide a social security number will be waived until the alien receives employment authorization from the Immigration and Naturalization Service (INS).

Battered aliens are subject to the same PROMISE JOBS and Family Investment Agreement requirements as any other FIP participant. If the person already has a social security number, referrals will be made in the normal manner, through the ABC system. If the person does not yet have a social security number, ABC cannot be used to transmit the referral to PROMISE JOBS. PROMISE JOBS will receive these referrals manually.

It is possible for an alien who has received an INS determination of battered alien to possess employment authorization. Contact IWD/PROMISE JOBS central office staff for assistance with the authorization of expense allowances that are problematic.

Form Changes

Form 470-3871, *Child Care Assistance Provider Agreement*, has been revised to add a place for providers to give information about any special rates they offer for part-time children, more than one child in a family, discounts for employees, etc. A space has also been added to the last page for providers to print their name above their signature and to provide their agreement number. The source information has also been changed due to a change in the number of forms on a pad.

Due to the new categories for child care provider registration, form 470-2890, *Payment Application for Nonregistered Providers*, has been revised to change language regarding requirements about the number of children that a nonregistered provider is authorized to care for.

The source information for form 470-3896, *PROMISE JOBS Child Care Attendance and Invoice*, is changed to indicate a change in the number of forms on a pad.

Forms 470-3095, *Family Investment Agreement*, and 470-3096, *FIA Steps to Achieve Self-Sufficiency*, have been revised to update the nondiscrimination statement. Form 470-3096 has also been revised to update the appeal rights information on legal services.

Form 470-2604 was revised to replace the word "agency" with the word "office" to make the form more flexible.

Form 470-2598, *Expense Allowance Authorization*, has been removed, as the form is obsolete. Document all expense allowances in the case record narrative.

Form 470-0447, *Report on Incapacity*, was revised to add "Information Due By". Complete form 470-0447 on-line using the template provided by DHS.

Form 470-3876, *Hardship Exemption Determinatio*n, has been revised to update the template features and replace references to "worker signature" with "worker name."

Form 470-0464, *Overpayment Recovery Information Input*, has been revised to accommodate federal requirements in the food stamp program. Form RC-0008, *Overpayment Recovery Codes*, has been revised to reflect changes in the numbering of the Case Status field.

Form 470-0643, *Request for Child Abuse Informatio*n, has been revised to eliminate one copy of the form as a cost-savings measure.

The source information for the following forms has been changed to indicate that no printed supply is available:

- *FIA Steps to Achieve Self-Sufficiency*, form 470-3096
- *Notice of Appointment or Participation*, form 470-0813
- *Notice of Appointment to Write a Family Investment Agreement*, form 470-3897
- *Notice of Overpayment: PROMISE JOBS Expense Allowances*, form 470-2666
- *Self-Assessment*, form 470-0806
- *Time and Attendance*, form 470-2617

- *Work Experience Participant Evaluation*, form 470-0805
- *Your FIA Rights and Responsibilities*, form 470-3104

The source information for the following forms has been revised to indicate that the form is now available as a template as well as in the printed version:

- *Adjustment to Overpayment Balance*, form 470-0010
- *Appeal and Request for Hearing*, form 470-0487
- *Consent to Obtain and Release Information*, form 470-0429
- *Family Investment Agreement*, form 470-3095
- *Non-Law Enforcement Record Check Request Form A*, form 595-1489
- *Overpayment Recovery Supplemental Information*, form 470-0465
- *Referral to Community Agencies*, form 470-3012
- *Report on Incapacity*, form 470-0447
- *Transfer Between PROMISE JOBS Offices*, form 470-2604

Effective Date

Upon receipt.

Implementation

Desk reviews are not required due to these changes. For Child Care Assistance, apply these new categories when a provider begins or renews a registration certificate.

Order a new supply of revised form 470-3871, *Child Care Assistance Provider Agreement*, from Anamosa. Order a new supply of revised form 470-2890, *Payment Application for Nonregistered Providers*, from Anamosa. Destroy remaining supplies of the previous versions of these forms when you receive the revised version.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, PROMISE JOBS Provider Manual, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
9, 10	December 4, 2001
21	December 19, 2000
22	December 4, 2001
36	December 19, 2000
78	June 19, 2001
100	December 19, 2000
114, 115	December 26, 2001
147, 150	December 19, 2000
167, 168, 172a	July 2, 2002
179	July 6, 1999

180, 207	July 2, 2002
PROMISE JOBS Provider Manual Appendix	
Contents (pp. 1 and 2)	July 2, 2002
1, 2	December 19, 2000
3, 8, 9, 10, 12	July 2, 2002
470-3871	4/02
14	December 4, 2001
15-17, 22, 26	December 19, 2000
470-3095	7/00
470-3096	5/01
470-3876	10/01
26b	December 4, 2001
28	December 19, 2000
30	July 2, 2002
32	December 19, 2000
470-0813	4/99
470-3897	12/01
32a	December 4, 2001
36, 39, 40	July 2, 2002
470-2666	9/01
RC-0008	6/02
470-0464	10/01
41-43	December 19, 2000
44	July 2, 2002
45-47	December 19, 2000
470-2890	7/00
48	December 19, 2000
48a	July 2, 2002
51	December 19, 2000
52, 53	July 2, 2002
470-0447	5/98
470-0643	4/00
56, 58, 60, 63, 66	December 19, 2000
470-2617	9/01
470-2604	8/97
470-0805	9/01
470-3104	4/01

Additional Information

Use up remaining supplies of the previous versions of all of the revised forms except 470-3871, *Child Care Assistance Provider Agreement*, and form 470-2890, *Payment Application for Nonregistered Providers*.

Refer questions about this letter to your Iowa Workforce Development coordinator or your Department of Human Services area income maintenance supervisor 2.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

September 30,2003

GENERAL LETTER NO. 4-AP-158

ISSUED BY: Bureau of Financial Supports, Division of Financial, Health and Work Supports

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Contents (pages 2 and 6), revised; pages 22, 23, 39, 54, 58, 59, 63, 64, 64a, 64b, 103, 104, 161, 162, 162a through 162e, 173 through 188, 206, 229, and 279, revised; and page 64c, new.

PROMISE JOBS PROVIDER MANUAL APPENDIX, Contents (pages 1, 2, and 3), revised; and pages 1, 3, 4, 12, 14 through 17, 22, 33, 35, 36, 40, 53, 66, and 67, revised; and the following forms:

470-0487	*Appeal and Request for Hearing*, revised
470-3990	*Demand Letter for PROMISE JOBS Agency Error Overissuance*, new
470-3991	*Demand Letter for PROMISE JOBS Client Error Overissuance*, new
470-3992	*Demand Letter for PROMISE JOBS Provider Error Overissuance*, new
FaDSS-00-01-R	*FaDSS Universal Referral*, revised
470-3105	*FIA Referral for Mandatory Participants (IWD)*, revised
470-3106	*FIA Referral for Mandatory Participants (BRS)*, revised
470-3096	*FIA Steps to Achieve Self-Sufficiency*, revised
470-3915	*Notice of Decision: Child Care Assistance*, revised
RC-0014	*PROMISE JOBS Data Codes*, revised
RC-0038	*Worker's Guide to the Appeals Process*, revised
470-3103	*Your PROMISE JOBS Reminder*, revised

Summary

This general letter:

- Transmits changes to the process for the recovery of PROMISE JOBS expense allowance overpayments:
  - Offsetting of participant allowances is being discontinued as a method of recovery.
  - Form 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*, is deleted, since it is being replaced by system-generated *Demand Letters*.

- Implements the authorization of PROMISE JOBS expense allowances for substance abuse and mental health issues that are required to make participation possible when the treatment plan is included in the FIA.
- Removes the requirement that FaDSS needs to exit a FIP/FaDSS participant from the FaDSS program before a chosen limited benefit plan is implemented.
- Clarifies:
  - Situations when short-term FIAs may be appropriate.
  - Procedures for reporting workers' compensation claims.
  - Component coding for FaDSS services, deleting obsolete coding.
  - Procedures when discussing the use of non-registered child care providers.
- Replaces references to the Division of Economic Assistance and with "Division of Financial, Health and Work Supports."

Short-Term FIAs

Currently, upon initial writing of a family's FIA, time frames are established, with specific ending dates, as to when the FIA family expects to become self-sufficient. The FIA includes a plan, appropriate referrals, and supportive services necessary to eliminate the family's barriers.

This procedure remains in place but for families who have extenuating circumstances that make long-term planning impossible, a short-term FIA may be utilized.

FaDSS Enrollees Choosing a Limited Benefit Plan

Currently, when a FaDSS participant fails to follow the terms of the FIA, FaDSS issues an exit form if a participant is refusing to amend or renegotiate the FIA. A FaDSS participant may not be placed in a limited benefit plan without a FaDSS exit form except during a six-month hardship exemption FIA.

Under new procedures, an exit form is not needed when a FaDSS participant is refusing to amend or renegotiate the FIA for cases who have not used 60 months of FIP benefits as well as during a six-month hardship exemption FIA.

PROMISE JOBS Expense Allowances

When a referred applicant or participant reveals substance abuse or mental health issues that are affecting the family's ability to be self-supporting and the treatment plan is incorporated into the FIA, PROMISE JOBS can now authorize necessary expense allowances for transportation and child care.

PROMISE JOBS Expense Allowance Overpayments

Currently, when the PROMISE JOBS worker establishes the existence of an overpayment for PROMISE JOBS expense allowances, the worker sends form 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*, to the party responsible at the same time that the Iowa Department of Inspections and Appeals (DIA) is notified.

The notification process is now automated. DIA will issue notifications of overpayments upon receipt of a properly completed form 470-0464, *Overpayment Recovery Information Input*, from the PROMISE JOBS worker.

References to the offsetting process have been removed, and the manual has been repaged. Although the process remains in the Iowa Administrative Code, the process is cumbersome, time consuming, and error-prone and therefore is not utilized.

Form 470-2666, *Notice of Overpayment: PROMISE JOBS Expense Allowances*, has been removed, as the form is obsolete. The following forms will be used to inform debtors of the amount and reason for a PROMISE JOBS overpayment:

- 470-3990, *Demand Letter for PROMISE JOBS Agency Error Overissuance*
- 470-3991, *Demand Letter for PROMISE JOBS Client Error Overissuance*
- 470-3992, *Demand Letter for PROMISE JOBS Provider Error Overissuance*

Other Form Changes

A section has been added to form 470-0487, *Appeal and Request for Hearing*, to indicate whether or not the appellant needs an interpreter for an appeal hearing. Also, the source information is revised to reflect that the form can be completed electronically at www.dhs.state.ia.us/appeals.asp. The form is still available at Anamosa and as a template in Outlook.

RC-0038, *Worker's Guide to the Appeals Process*, is updated to revise the mailing addresses for the DHS Appeals Section and the DIA Division of Administrative Hearings.

The "Appeals and Hearings" chapter of the DHS Employees' Manual is removed from the handbook, since PROMISE JOBS staff can now access the chapter on line at the DHS policy web site: http://www.dhs.state.ia.us/policyanalysis.

The appeal rights sections on forms 470-3076, *FIA Steps to Achieve Self-Sufficiency*, and 470-3915, *Notice of Decision: Child Care Assistance*, have been updated. Appeals can be filed electronically at the DHS web site. The address for the Iowa Civil Rights Commission and the policy on nondiscrimination has been revised. Also, the reference to the Legal Services Corporation of Iowa is changed to reflect its new name.

Form FaDSS-00-01-R, *FaDSS Universal Referral*, has been revised to add a section regarding placing the family on the FaDSS waiting list.

RC-0014, *PROMISE JOBS Data Codes*, is revised to remove codes that are no longer being used and provide clarification on some existing codes.

Form 470-3103, *Your PROMISE JOBS Reminder*, is revised to update how the form is to be distributed.

Forms 470-3105, *FIA Referral for Mandatory Participants (IWD)*, and 470-3106, *FIA Referral for Mandatory Participants (BRS)*, are updated to add the rest of the DHS letterhead (the names of the governor, lieutenant governor, and Department director).

The instructions for form 470-3095, *Family Investment Agreement*, are change to indicate that the FaDSS case worker assists the family with the FIA when the family is enrolled in the FaDSS program.

Instructions for the following forms are changed to reflect that printed supplies are no longer available from Iowa Prison Industries:

- 470-0010, *Adjustment to Overpayment Balance*
- 470-0820, *Notice of Employment*
- 470-3103, *Your PROMISE JOBS Reminder*

The source information for form 470-0429, *Consent to Obtain and Release Information*, is changed to correct a typographical error.

The source information for the following forms is changed to reflect that a printed supply is available from Anamosa.

- 470-0510, *Estimate of Cost*
- 470-0464, *Overpayment Recovery Information Input*
- 470-0643, *Request for Child Abuse Information*
- 470-3104, *Your FIA Rights and Responsibilities*

The source information for form 470-0602, *Notice of Decision: Services*, is changed to indicate that the form can be completed on-line using the template provided by DHS. The form is still available to order from Iowa Prison Industries at Anamosa.

Effective Date

October 1, 2003

Implementation

Desk reviews are not required due to these changes.

No retroactive expense allowance eligibility exists for expenses incurred before October 1, 2003.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, PROMISE JOBS Provider Manual, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
Contents (page 2)	March 19, 2002
Contents (page 6)	December 19, 2000
22	April 15, 2003
23, 39, 54	December 4, 2001
58	July 2, 2002
59	December 4, 2001
63, 64, 64a, 64b	March 19, 2002
103, 104	October 15, 1996
161, 162, 162a-162e	July 2, 2002
172a	April 15, 2003
172b	July 6, 1999
173, 174	June 19, 2001
175	November 12, 1997
176	October 15, 1996
177	July 6, 1999
178	December 19, 2000
179, 180	April 15, 2003
181, 182	July 2, 2002
183-188	December 19, 2000
206	March 19, 2002
229	August 22, 2000
279	December 4, 2001
PROMISE JOBS Provider Manual Appendix	
Contents (pp. 1 and 2)	April 15, 2003
Contents (p. 3)	July 2, 2002
1	April 15, 2003
470-0487	4/03
3	April 15, 2003
4	December 19, 2000
12, 14, 17 *	April 15, 2003
FaDSS-00-01-R (before p. 21)	9/21/01
22	April 15, 2003
470-3105; 470-3106 (before p. 23)	3/98
470-3096 (after p. 26)	4/03
470-3915 (after p. 32b)	6/02
33	July 2, 2002
35	December 19, 2000
36	April 15, 2003
470-2666	4/03

40	April 15, 2003
RC-0014 (before p. 49)	1/99
53	April 15, 2003
RC-0038 (after p. 64)	1/98
66	April 15, 2003
470-3103	2/02
67	March 19, 2002
69	December 19, 2000
Employees' Manual Chapter 1-E	
Title page	May 18, 1999
Contents (pp. 1 and 2)	May 18, 1999
1-44	May 18, 1999

* Form 470-2598, dated 9/01, is also obsolete, but was omitted from the instructions in General Letter 4-AP-157. Form 470-5018 should continue to be filed in front of page 17.

Additional Information

Use up existing supplies of form 470-0487, *Appeal and Request for Hearing*, before reordering from Anamosa in the usual manner. Revised forms will be issued when the current supply is exhausted.

Use up remaining printed supplies of the following forms, as no further supplies will be printed:

- 470-0010, *Adjustment to Overpayment Balance*
- 470-0820, *Notice of Employment*
- 470-3103, *Your PROMISE JOBS Reminder*

Refer questions about this letter to your Iowa Workforce Development coordinator or your Department of Human Services area income maintenance supervisor 2.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

May 18, 2004

GENERAL LETTER NO. 4-AP-159

ISSUED BY: Bureau of Financial Support Programs, Division of Financial, Health and Work Supports

SUBJECT: Employees' Manual, Title 4, Appendix, ***PROMISE JOBS PROVIDER MANUAL***, pages 162a and 162c, revised.

PROMISE JOBS PROVIDER MANUAL APPENDIX, Contents (page 2), revised; pages 32b through 32f and 52, revised; pages 32g, 32h, and 32i, new; and the following forms:

470-0487 *Appeal and Request for Hearing*, revised
470-4053 *Notice of Child Care Assistance Provider Sanction*, new
470-0820 *Notice of Employment*, revised
470-0464 *Overpayment Recovery Information Input*, revised
470-0806 *Self-Assessment*, revised

Summary

The ***PROMISE JOBS PROVIDER MANUAL*** is revised to add information on approvable child care providers due to implementation of the new Child Care Assistance Sanctions for providers that have been convicted of fraudulent billing practices.

The ***PROMISE JOBS PROVIDER MANUAL APPENDIX*** is revised to:

- Update forms 470-0487, *Appeal and Request for Hearing*, and 470-0464, *Overpayment Recovery Information Input*, to remove references to "food stamps" and replace them with "Food Assistance."
- Add form, 470-4053, *Notice of Child Care Assistance Provider Sanction*, which is used to inform families that their child care provider has been sanctioned by the Child Care Assistance program.
- Add new language to the *Notice of Decision: Child Care Assistance* for the new Child Care Assistance sanctions for providers who have been convicted of fraudulent billing practices.
- Change form 470-0820, *Notice of Employment*, and source information for form 470-0447, *Report on Incapacity*, to reflect that printed supplies of these forms are no longer available from Iowa Prison Industries.
- Update form 470-0806, *Self-Assessment*, to remove the family profile section and other questions that were not necessary.

Effective Date

Upon receipt.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, and destroy them:

Page	Date
PROMISE JOBS Provider Manual	
162a, 162c	September 30, 2003
PROMISE JOBS Provider Manual Appendix	
Contents (p. 2)	September 30, 2003
470-0487 (before p. 3)	7/03
32b-32f *	July 2, 2002
470-0820 (before p. 35)	9/01
470-0464 (after p. 40)	1/03
52	April 15, 2003
470-0806 (after p. 56)	9/01

* Move the sample of form 470-3915 to follow page 32d instead of page 32b.

Additional Information

Refer questions about this general letter to your Iowa Workforce Development PROMISE JOBS coordinator or to your Department of Human Services area income maintenance supervisor 2.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

October 29, 2004

GENERAL LETTER NO. 4-AP-160

ISSUED BY: Bureau of Financial Support Programs
Division of Financial, Health & Work Supports

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Contents (pages 1 through 8), revised; pages 1 through 296, revised; and pages 297 through 336, new.

PROMISE JOBS PROVIDER MANUAL APPENDIX, Contents (pages 1 and 2), revised; pages 7 through 10, 12, 22 through 26, 26b, 27, 32, 32a through 32g, 33 through 37, 48a, 49, 51, 52, 53, 54b, 56, 60, and 62 through 66, revised; and the following forms:

470-3871	*Child Care Assistance Provider Agreement*, revised
470-0429	*Consent to Obtain and Release Information*, revised
470-3095	*Family Investment Agreement*, revised
470-3897	*FIA Appointment*, revised
470-3096	*FIA Steps to Achieve Self-Sufficiency*, revised
470-0813	*Notice of Appointment or Participation*, revised
470-3915	*Notice of Decision: Child Care Assistance*, revised
470-0602	*Notice of Decision: Services*, revised
RC-0008	*Overpayment Recovery Codes*, revised
RC-0014	*PROMISE JOBS Data Codes*, revised
470-3102	*Referral to Community Agencies*, revised
470-2604	*Transfer Between PROMISE JOBS Offices*, revised
470-3300	*Your Family Investment Agreement Reminder*, revised
470-3104	*Your FIA Rights and Responsibilities*, revised

Summary

This general letter:

- Implements the policy that a self-sufficiency agreement is now required as a Family Investment Program (FIP) eligibility requirement for FIP households that contain mandatory PROMISE JOBS members.
- Adds a requirement that appointments to write and sign a family investment agreement for FIP applicants be offered within ten calendar days from the date of referral to the PROMISE JOBS program.

- Allows the ability to schedule appointments to meet with PROMISE JOBS in less than five working days when agreed to by the applicant or participant.
- Changes the definition of a PROMISE JOBS participant.
- Requires that Assessment I be offered in one individual session along with writing the family investment agreement and that Assessment II and III will be included as family investment agreement options when appropriate.
- Removes the requirement that FaDSS program participants not be referred for assessment until approval is given by the FaDSS grantee.
- Institutes FIP ineligibility for assistance units that contain a member who is enrolled in an educational program leading to a degree beyond a bachelor's degree and removes work toward a graduate degree as a family investment agreement option.
- Removes the ability to volunteer for PROMISE JOBS services.
- Changes the procedure that refugees who have obtained U.S. citizenship are referred to IWD instead of BRS for PROMISE JOBS services.
- Removes the penalty for participants who choose a limited benefit plan while enrolled in the classroom training component
- Clarifies that tracking and verifying a client's 60 months of TANF/FIP usage is DHS's responsibility.
- Allows for flexibility in the reviews of subsequent limited benefit plans.
- Adds subcontractor provider agencies to the list required to safeguard confidential client information.
- Adds applicants as subject to recovery of PROMISE JOBS expense allowances paid in error.
- Clarifies that:
  - Limited benefit plans are considered imposed as of the date that a timely and adequate notice is issued to the participant establishing the limited benefit plan; and
  - Reinstatement provisions do not apply when assistance is canceled due to the imposition of a subsequent limited benefit plan.
- Clarifies that accepting services from the Division of Vocational Rehabilitation Services is optional, but once chosen as a family investment agreement activity, services become subject to all family investment agreement and limited benefit plan policies and procedures.
- Clarifies existing policies.
- Incorporates Manual Letter No. 4-AP-9, Family Self-Sufficiency Grants.
- Transmits changes to some forms.

Self-Sufficiency Agreement Required Before the Receipt of FIP

Currently, FIP recipients who are not exempt from participating in employment and training services are referred to the PROMISE JOBS program. A family investment agreement (FIA) is written, after the family has been approved to receive a FIP cash grant.

Beginning November 1, 2004, as an eligibility requirement for the approval of FIP, valid family investment agreements will be required for all FIP applicant households containing mandatory adult members. The requirement that FIP recipients who lose their exempt status be required to obtain a family investment agreement as a condition for continuing to receive FIP remains unchanged.

This change also provides the ability to write and sign a family investment agreement in a timely manner. Appointments to write and sign a family investment agreement need to be offered to be held within ten calendar days from the date of referral and can be scheduled in less than five working days when the time and date is agreed to by the client.

These rule changes also change the definition of a PROMISE JOBS participant from an individual who attends the first day of the assessment component to a current FIP recipient who has signed a family investment agreement or who is reconsidering the choice of a subsequent limited benefit plan.

Orientation and Assessment Services

Currently, orientation to PROMISE JOBS is provided by a group session or individually by PROMISE JOBS staff. This procedure has been changed so that:

- The income maintenance unit will provide portions of the orientation component through the DHS InfoShare interactive computer system during the IM worker's face-to-face interview with the applicant before a determination of FIP eligibility.
- PROMISE JOBS staff will complete the orientation process during the appointment to write and sign a family investment agreement.

PROMISE JOBS will use the *Self-Assessment*, form 470-0806, as a basis for the writing and signing of a family investment agreement. Additional assessment activities will be provided as separate action steps in a family investment agreement, up to the level necessary for participant and worker decisions, and while amending or renegotiating the family investment agreement.

FaDSS Referrals

Currently, FaDSS program participants attend orientation but are not referred to assessment activities until the FaDSS grantee approves the assignment of the FaDSS participant to other PROMISE JOBS activities. Program changes necessitate the removal of this rule, since orientation to the PROMISE JOBS program and Assessment I are offered in one session, before FIP approval and usually within ten calendar days from the date of referral.

Referrals to the FaDSS program need to be offered whenever PROMISE JOBS determines that a family would benefit from intensive family services through initial and ongoing assessments, when a family is having difficulty participating in the PROMISE JOBS program successfully, or when there is a prior history of limited benefit plans.

Referrals are communicated by the *FaDSS Universal Referral*, form FaDSS-00-01-R. Participation in FaDSS begins when a family accepts FaDSS services and that date is communicated through the return of the *FaDSS Universal Referral* form.

Once an applicant or participant chooses to participate in FaDSS, the family investment agreement reflects this choice, and therefore may need to be amended when FaDSS is chosen or when a family no longer chooses to participate in FaDSS services.

Students Enrolled in Educational Program Leading to Degree Beyond a Bachelor's Degree

Because the FIP program is not intended as a subsidy for students who are enrolled in classes leading to professional degrees, but as short-term assistance to help a family in crisis, rules have been changed instituting FIP ineligibility for family units who contain such a member. Student enrollment status is determined by the educational institution and is not affected by the summer break.

Eligibility for other assistance programs such as Food Assistance and Medicaid may exist according to current policy.

- **New applications**: IM staff will deny FIP assistance to family units containing students enrolled in educational programs leading to degrees beyond a bachelor degree. PROMISE JOBS will no longer allow work leading to degrees beyond a bachelor degree as a family investment agreement option.
- **Ongoing cases**: By timely notice in August 2004, IM staff sent *Notices of Cancellation* of FIP eligibility effective September 1, 2004, to all FIP assistance units containing students enrolled in educational programs leading to degrees beyond a bachelor degree.

Volunteering for PROMISE JOBS

Currently, an SSI parent of a FIP-eligible child is not mandatory to cooperate with the PROMISE JOBS program but can volunteer for PROMISE JOBS services. Rules now remove the option to volunteer for PROMISE JOBS services because of the duplication of services offered by both the PROMISE JOBS program and the Department of Education's Division of Vocational Rehabilitation Services (DVRS).

The assistance an SSI recipient can receive as a volunteer from PROMISE JOBS can be obtained through DVRS. DVRS offers counseling and guidance in choosing vocational training and educational assistance to persons who receive SSI and want to remain employed or pursue employment.

DHS/PROMISE JOBS will continue to make referrals to Vocational Rehabilitation when appropriate, as DVRS is designed to provide services for persons having a physical or mental impairment that constitutes or results in substantial impediment to employment.

Refugees Who Obtain U.S. Citizenship

Currently, the Bureau of Refugee Services (BRS) provides PROMISE JOBS services for all referred individuals who enter the United States as a refugee. Rule changes provide that BRS provides PROMISE JOBS services to refugees only until the refugee attains U.S. citizenship. At that time, the refugee has proven competency in English-speaking skills.

The IM worker will change referral coding once notified that U.S. citizenship has been attained.

Effect of Limited Benefit Plan on Future Classroom Training Plans

Currently, when a participant enrolled in the classroom-training component chooses the limited benefit plan, the person is denied additional PROMISE JOBS-funded classroom training services for a minimum of one year from the effective date of the limited benefit plan. In the context of the 60-month lifetime limit on FIP benefits, it has been determined that this penalty is no longer required and can hamper a family's efforts to becoming economically self-supporting.

Tracking Months of Assistance

PROMISE JOBS has access to the DHS Eligibility Tracking System (ETS), which tracks months of assistance for the FIP 60-month limit. This system should be accessed on a regular basis to verify a particular case's remaining time on FIP when writing a family investment agreement and in ongoing case management.

PROMISE JOBS staff should consult with the IM worker on any discrepancies they find on ETS, but the information contained on ETS is the responsibility of DHS/IM and should be considered as accurate.

Form Changes

Form 470-3987 has been revised and renamed *FIA Appointment*. The IM worker will give FIP applicants this form to inform them of the initial appointment scheduled using the PJCase Calendar option. Instructions for its new use have been added to the ***PJPM APPENDIX***.

Changes have been made to the design or instructions of the following forms:

- *Child Care Assistance Provider Agreement*, form 470-3871
- *Consent to Obtain and Release Information*, form 470-0429
- *Family Investment Agreement*, form 470-3095
- *FIA Steps to Achieve Self-Sufficiency*, form 470-3096
- *Hardship Exemption Determination*, form 470-3876
- *Notice of Appointment or Participation*, form 470-0813
- *Notice of Decision: Child Care Assistance*, form 470-3915
- *Notice of Decision: Services*, form 470-0602
- *Overpayment Recovery Codes*, RC-0008
- *PROMISE JOBS Data Codes*, RC-0014
- *Referral to Community Agencies*, form 470-3102
- *Report on Incapacity*, form 470-0447

- *Request for FIP Beyond 60 Months*, form 470-3826
- *Self-Assessment*, form 470-0806
- *Transfer Between PROMISE JOBS Offices*, form 470-2604
- *Your Family Investment Agreement Reminder*, form 470-3300
- *Your FIA Rights and Responsibilities*, form 470-3104

Due to changes in rules that remove the ability to volunteer for PROMISE JOBS services and change the timing of PROMISE JOBS referrals, the following forms are no longer required and, therefore, are deleted from the ***PJPM APPENDIX***:

- *Change FIA Voluntary Status to Mandatory*, forms 470-3109 (IWD) and 470-3110 (BRS)
- *FIA Referral for Reconsideration of LBP*, forms 470-3610 (IWD) and 470-3611 (BRS)
- *FIA Referral for Voluntary Participants*, forms 470-3107 (IWD) and 470-3108 (BRS)
- *Income Maintenance Discussion of PROMISE JOBS*, Reference Card RC-0040
- *Notice of Potential Loss of Priority Service-Exempt Volunteers*, form 470-3116
- *Volunteer Requests Not to Participate*, form 470-2759
- *Your Right to Volunteer for PROMISE JOBS*, form 470-2761

Effective Date

November 1, 2004

The effective date for FIP ineligibility of students enrolled in an educational program leading to a degree beyond a bachelor's degree was September 1, 2004. Effective September 1, 2004, IM staff began denying FIP applications for households containing a student enrolled in an educational program leading to a degree beyond a bachelor's degree and canceled FIP for such households.

The requirement to sign a family investment agreement before FIP is approved applies to FIP applications received November 1, 2004, and after and the referrals resulting from these applications.

Applications received before November 1, 2004, are not subject to the new requirements. Therefore, dual referral procedures will be in effect through the transition. Follow the former procedures for applications received before November 1, 2004, and the PROMISE JOBS referrals that result from these applications.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, and destroy them:

PROMISE JOBS PROVIDER MANUAL (entire front section)

Page	Date	Page	Date
Manual Letter 4-AP-9	October 7, 1997	Contents (p. 4)	June 19, 2001
Contents (p. 1)	July 2, 2002	Contents (p. 5)	July 2, 2002
Contents (p. 2)	September 30, 2003	Contents (p. 6)	September 30, 2003
Contents (p. 3)	December 26, 2001	Contents (pp. 7 and 8)	July 2, 2002

Page	Date	Page	Date
1-8	December 4, 2001	106	December 19, 2000
9, 10	April 15, 2003	107-109	November 12, 1997
11	December 4, 2001	110	December 19, 2000
12, 13	July 2, 2002	111-113	June 19, 2001
14	June 25, 2002	114, 115	April 15, 2003
15-17	December 4, 2001	116	December 26, 2001
18-20	March 19, 2002	117, 118	December 19, 2000
21	April 15, 2003	119	November 12, 1997
22, 23	September 30, 2003	120, 121	June 19, 2001
24, 24a	December 4, 2001	123-125	November 12, 1997
25	July 2, 2002	126	December 26, 2001
26-32	August 22, 2000	127, 128	June 19, 2001
33	July 2, 2002	129	August 22, 2000
34	December 4, 2001	130-138	March 19, 2002
35	December 19, 2000	139	October 15, 1996
36	April 15, 2003	140-143	December 19, 2000
37, 38	December 4, 2001	144	March 19, 2002
39	September 30, 2003	145, 146	December 19, 2000
41-53	December 4, 2001	147	April 15, 2003
54	September 30, 2003	148	July 6, 1999
55-57	December 4, 2001	149	October 15, 1996
58, 59	September 30, 2003	150	April 15, 2003
60-62	December 4, 2001	151	June 19, 2001
63, 64, 64a-64c	September 30, 2003	152, 153	October 15, 1996
65	March 19, 2002	154-156	June 19, 2001
66	July 15, 1997	157, 158	August 22, 2000
68-71	August 22, 2000	159	October 15, 1996
72, 72a, 72b	March 19, 2002	160	June 19, 2001
73-77	December 19, 2000	161, 162	September 30, 2003
78	April 15, 2003	162a-162c	May 18, 2004
79, 80	October 15, 1996	162d, 162e	September 30, 2003
81	December 19, 2000	162f-162k	July 2, 2002
82	July 2, 2002	163-166	July 6, 1999
83, 84	October 15, 1996	167, 168	April 15, 2003
85	December 19, 2000	169	June 20, 2000
86	December 26, 2001	170-172	July 6, 1999
87	March 19, 2002	173-188	September 30, 2003
88	December 26, 2001	189, 190	July 6, 1999
88a, 88b, 89, 90, 90a	March 19, 2002	191	October 15, 1996
91-93	October 15, 1996	192-194	December 19, 2000
94	December 19, 2000	195, 196	October 15, 1996
95	October 15, 1996	197	March 19, 2002
96	July 6, 1999	198	August 22, 2000
97	December 19, 2000	199, 200	December 4, 2001
98	October 15, 1996	201	July 2, 2002
99	December 19, 2000	202, 203	December 4, 2001
101, 102	April 15, 2003	204	December 19, 2000
103, 104	September 30, 2003	205	June 19, 2001
105	July 6, 1999	206	September 30, 2003

Page	Date	Page	Date
207	April 15, 2003	242	December 4, 2001
208	December 4, 2001	243	July 2, 2002
209	December 19, 2000	244-246	December 19, 2000
210	December 4, 2001	247	July 6, 1999
211	August 22, 2000	248, 248a, 248b	December 4, 2001
212-221	March 19, 2002	249, 250	July 2, 2002
222-224	July 2, 2002	251-256, 256a	July 6, 1999
225-228, 228a-228d	March 19, 2002	256b	November 14, 2000
229	September 30, 2003	257	December 4, 2001
230	July 6, 1999	258, 259	July 2, 2002
231, 232	July 2, 2002	260-278	December 4, 2001
233	March 19, 2002	279	September 30, 2003
234	June 19, 2001	280-286	December 4, 2001
235	July 2, 2002	287, 288	July 2, 2002
236-241	March 19, 2002	289-296	December 4, 2001

PROMISE JOBS PROVIDER MANUAL APPENDIX

Page	Date	Page	Date
Contents (p. 1)	September 30, 2003	470-3915	9/03
Contents (p. 2)	May 18, 2004	32b-32i	May 18, 2004
Contents (p. 3)	September 30, 2003	470-0602	10/04
470-3109	6/99	33	September 30, 2003
470-3110	6/99	34 *	December 19, 2000
7	December 19, 2000	35, 36	September 30, 2003
8	April 15, 2003	470-3116	1/94
470-3871	7/04	37	December 19, 2000
9, 10	April 15, 2003	RC-0008	1/03
470-0429	4/04	48a	April 15, 2003
12, 22	September 30, 3003	RC-0014	9/03
470-3095	4/02	49	December 19, 2000
23, 24 *	December 19, 2000	470-3102	9/01
470-3610	6/99	51	April 15, 2003
470-3611	6/99	52	May 18, 2004
470-3107	11/96	53	September 30, 2003
470-3108	11/96	54b	December 4, 2001
25	December 19, 2000	56, 60	April 15, 2003
26	April 15, 2003	470-2604	9/01
470-3096	9/03	62	December 19, 2000
26b	April 15, 2003	470-2759	1/94
26e	December 4, 2001	63 *	April 15, 2003
RC-0040	10/01	64, 65	December 19, 2000
27	December 19, 2000	470-3300	9/01
32	April 15, 2003	66, 67	September 30, 2003
470-0813	10/02	470-3104	4/03
470-3897	12/01	68	December 19, 2000
32a *	April 15, 2003	470-2761	9/99

* As forms are added and removed, existing pages are renumbered to eliminate or consolidate gaps. To accommodate these changes, the following form samples need to be refiled:

- Move forms 470-3105 and 470-3106 to precede page 25 instead of page 23.
- Move form 470-4053 to precede page 32a instead of following page 32b.
- Move form 470-0820 to follow page 36 instead of page 34.
- Move RC-0038 to precede page 63 instead of following page 64.

Additional Information

Destroy existing supplies of the following forms and use the revised versions that have been provided by DHS:

- 470-3095, *Family Investment Agreement*
- 470-3102, *Referral to Community Agencies*
- 470-2604, *Transfer Between PROMISE JOBS Offices*
- 470-3300, *Your Family Investment Agreement Reminder*
- 470-3104, *Your FIA Rights and Responsibilities*

Use up existing supplies of the following forms before reordering from Anamosa in the usual manner:

- 470-3871, *Child Care Assistance Provider Agreement*
- 470-0429, *Consent to Obtain and Release Information*

Use up existing printed supplies of form 470-0602, *Notice of Decision: Services*, as no further supplies will be printed.

Refer questions about this general letter to your Iowa Workforce Development PROMISE JOBS coordinator or to your Department of Human Services Area Income Maintenance Supervisor 2.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

October 28, 2005

GENERAL LETTER NO. 4-AP-161

ISSUED BY: Bureau of Financial Support Programs,
Division of Financial, Health and Work Supports

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, Contents (pages 1, 7, and 8), revised; pages 17, 18, 170, 172, 173, 174, 178, 179, 263, 264, 265, 269 through 275, 288, 289, 290, 322, and 323, revised; and pages 18a, 274a, 274b, 322a, and 322b, new.

Summary

Revisions to this chapter:

- Remove PROMISE JOBS exemption criteria for a child aged 16-19 who is not a parent and who is referred to PROMISE JOBS for not attending school and signs a family investment agreement.

  Currently, a child aged 16-19 who is not a parent and who is not enrolled in school is referred to PROMISE JOBS to sign a family investment agreement. If the child signs a family investment agreement and returns to school, the child becomes exempt from PROMISE JOBS and the family investment agreement.

  Under new policy, once a child is referred to PROMISE JOBS for not attending school and signs a family investment agreement, the child remains referred to the PROMISE JOBS program and obligated to the family investment agreement even if the child returns to school.

- Change the impact of a limited benefit plan chosen by a needy specified relative.

  Currently, the entire FIP grant is canceled when a needy specified relative chooses a limited benefit plan.

  Under new policy, the limited benefit plan applies to only the needy specified relative when the relative chooses a limited benefit plan.

- Increase the mileage rate for transportation allowance from $0.21 per mile to $0.30 per mile, effective November 1, 2005, through June 30, 2006.

- Clarify existing policy.

Effective Date

November 1, 2005

Implementation Instructions

PROMISE JOBS Participation for Children 16 to 19:

For a child aged 16 to 19 who is not a parent and who is referred to PROMISE JOBS on November 1, 2005, or after for not attending school:

- IM will not exempt the child if the child has signed a family investment agreement and the child returns to school. If the child does not follow the steps of the family investment agreement, the child will enter an individual limited benefit plan.
- IM will exempt the child if the child returns to school before signing a family investment agreement.
- IM will consider the date that the mandatory JOBS code processes in ABC as the date of referral. Use the HISTORY option in the child's PJCase Person screen to determine the date of referral.

Examples:

1. Child A, age 17, is referred to PROMISE JOBS on October 31, 2005, for not attending school. Child A signs a family investment agreement on November 8, 2005, and begins a GED program on November 11, 2005. Since Child A was referred to PROMISE JOBS before November 1, 2005, Child A becomes exempt under former policy. IM will change child's JOBS code on TD03 of ABC to the exempt code of "1."

2. Child B, age 16, is referred to PROMISE JOBS on November 2, 2005, for not attending school. Child B returns to school on November 9, 2005, before signing a family investment agreement. Child B is exempt from PROMISE JOBS participation for returning to school. IM will change Child B's JOBS code on TD03 of ABC to the exempt code of "1."

3. Child C, age 17, is referred to PROMISE JOBS on November 1, 2005, for not attending school. Child C signs a family investment agreement on November 10, 2005. On November 20, 2005, Child C returns to school. Child C remains referred to PROMISE JOBS and obligated to the family investment agreement.

Limited Benefit Plan Chosen by a Needy Specified Relative

When a needy specified relative who is not a parent chooses a limited benefit plan effective **November 1, 2005, or later**, the limited benefit plan will apply only to the needy specified relative. Enter the limited benefit plan as an **individual** in this situation. The children continue to receive FIP if other eligibility criteria are met.

When a needy specified relative who is not a parent has chosen a limited benefit plan effective October 1, 2005, or earlier, the **normal** limited benefit plan continues to apply to the entire FIP household so long as the household lives together except when:

- The limited benefit plan is a first, or a subsequent beyond the six-month period of ineligibility, and the relative takes action to reconsider the limited benefit plan.
- The limited benefit plan is a first, or a subsequent beyond the six-month period of ineligibility, and the relative applies for the needs of the children only.
- PROMISE JOBS or IM determines the limited benefit plan to be in error.

Increase in Transportation Reimbursement

The PROMISE JOBS program provides transportation allowances as a supportive service when needed to participate in an approvable PROMISE JOBS activity other than orientation or employment and when not available from another source. July 1, 2001, marks the last increase in the mileage allowance, from $.16 a mile to $.21 a mile.

Due to the large rise in gasoline costs from 2001 to 2005, we are increasing the mileage allowance from $.21 a mile to $.30 a mile.

This increase is effective for the participation days of November 1, 2005, through June 30, 2006. This increase has a sunset provision to end June 30, 2006. Unless legislation is passed that allows for a permanent increase, the rate will go back to $.21 a mile for participation days beginning July 1, 2006.

PROMISE JOBS policy stipulates that approvable transportation allowances are issued before the initial date of participation, so PROMISE JOBS staff will use $.30 per mile when computing transportation allowances issued in October 2005 for November 2005 participation. Transportation allowances computed for participation through the month of June 2006 will allow for the rate of $.30 per mile.

Material Superseded

Remove the following pages from Employees' Manual, Title 4, Appendix, and destroy them:

Page	Date
Contents (1, 7, and 8)	October 29, 2004
17, 18, 170, 172-174, 178, 179, 263-265, 269-275, 288-290, 322, 323	October 29, 2004

Additional Information

Refer questions about this general letter to your Iowa Workforce Development PROMISE JOBS Coordinator or to your Department of Human Services area income maintenance administrator.

Fields of Opportunities

STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

September 15, 2006

GENERAL LETTER NO. 4-AP-162

ISSUED BY: Bureau of Financial and Work Supports,
Division of Financial, Health and Work Supports

SUBJECT: Employees' Manual, Title 4 Appendix, ***PROMISE JOBS PROVIDER MANUAL***, page 180, revised.

Summary

The ***PROMISE JOBS PROVIDER MANUAL*** is revised to remove the exception allowing child care payment for children aged 13 or older. Children ages 13 through 18 qualify for Child Care Assistance only when they meet the definition of a "special-needs child." The previous exception was in conflict with the statute authorizing Child Care Assistance.

Effective Date

Upon receipt.

Material Superseded

Remove from Employees' Manual, Title 4, Appendix, page 180, dated October 29, 2004, and destroy it.

Additional Information

Refer questions about this general letter to your Iowa Workforce Development PROMISE JOBS Coordinator or to your Department of Human Services area income maintenance administrator.

1305 E WALNUT STREET - DES MOINES, IA 50319-0114