Welfare-to-Work Handbook :. 42-7.38 Welfare-to-Work Case Management

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Update:

The purpose of this update is to incorporate the business process of the new Career Pathways and Employment Training (CPET) centers, previously known as Career Employment Center (CEC).

Summary:

The purpose of this handbook is to inform Workforce and Benefits Administration staff about upfront ongoing Case Management in Welfare-to-Work (WTW). This handbook will outline the requirements and process of conducting case management with a participant.

I. General:

The Department of Workforce and Benefit Administration of the Alameda County Social Services Agency uses the Career Pathway Employment and Training (CPET) to conduct its WTW upfront activities through contracted service providers. All participants will be assigned to an Employment Counselor (EC) that will provide case management including participants who are referred to the CPET Service Provider (SP).

Case Management is where the EC will develop a healthy and positive working relationship with the participant in order to meet established participation requirements and move the participant to self-sufficiency within time limits.

An EC will monitor and manage the WTW case ensuring that, a participant makes progress with their WTW2 Plan, the plan is amended as needed and the participant meets minimum hours of required participation.

The CalWORKs 2.0 (CW 2.0) approach incorporates strategies and tools that help families set and achieve reachable goals while considering participant's strengths and any barriers they may face. These approaches and tools aid staff in increasing client engagement, applying more intentional service selection, addressing whole family needs and shifting to more "client-led" and goal-oriented case management.

The CPET centers provide on-going career counseling and intensive supportive case management services offering employment preparatory training workshops for participants who are seeking employment opportunities or who will participate in an unpaid or subsidized work experience program that allow CalWORKs participants to gain basic employment skills at a private or public work sites. Components of CPET include the incorporation of the Program Support Team (PST), which is designed to have ECs involved earlier and throughout the participant's progress in the WTW program. This meeting will incorporate the CW 2.0 approach of helping families set and achieve reachable goals while encouraging continuous engagement and contact between employment services staff and all registered WTW participants.

Note: One-On-One Orientation - On occasion (and per SEIU Section 13-c of MOU), the EC may conduct a One-on-One Orientation. The following are examples when an EC may conduct a One-on-One orientation:

- Case is pulled for Work Participation Rate (WPR) review and the client has to complete orientation to move to the next appropriate WTW activity.
- Participant calls and states that they can only come in on a certain day or time due to their work schedule.

EC shall confer with their supervisor before conducting a One-on-One Orientation. The EC Supervisor shall exhaust all other options before approving a One-on-one orientation. Options may include, but are not limited to:

- Rescheduling client for another orientation date and time,
- Having CPET SP conduct a One-on-One Orientation

EC supervisor shall track the number of days and dates of one-one one orientations conducted by the EC.

Please Note: Participants who are employed with sufficient hours to meet the minimum hours of participation are required to sign a WTW2 Plan.

Case Management will include the following:

- Providing high quality services to participants;
- Developing a positive and productive working relationship with participants;
- Incorporating PST meetings into the case management processes and schedules to discuss a participant's progress, status and needs throughout their on-going program;
- Evaluating and addressing possible barriers to a participant's employability and self-sufficiency;
- Authorizing requested supportive services as needed to participate in the WTW program;
- Referring participant to internal services and/or community-based resources as needed.
- Promoting the "Work Focused" and CW 2.0 family centered approach to the WTW program;
- Encouraging and motivating participants to strive for self-sufficiency;
- Monitoring progress on a **monthly** basis and amending a participant's WTW2 Plan as circumstances change; and
- Ensuring that participant meets weekly participation hours;
    - One-parent families with a child under six years old: 20 hours per week
    - One-parent families with no child under six years old: 30 hours per week
    - Two-parent families: 35 hours per week
- Review Emploment Servcies Case Management Check List Form 42-126

Employment Services Case Management Check List form 42-126 is a tool to ensure all components of Case Management related to Employment Services - are completed. The EC can use this tool as a guide anytime they are managing a case.

II. Components of Case Management

A. Newly Assigned WTW Case

1. EC(s) of the day (who may be available at a cubicle in the waiting room) shall:

- Monitor the ES Engagement email inbox for emails without an attached 50-20 for clients who need to be seen.
- Receive ES Engagement emails from Clerical Staff, with the email subject line indicating "client in the waiting room waiting for EC information", for clients who have been assigned an EC and need to be seen.
- Meet with client in the designated area and conduct a one-on-one ES introductory meeting with participant(s).
- EC will also respond to ES related inquiries, initiate immediate referrals, provide guidance on sanction related matters and how to cure sanction, and promote the various programs provided by Social Services Agency Employment Services.

The ES introductory meetings are intended to encourage participant to attend orientation and all other activities including upfront and establish/develop EC's relationship with participant for potential ES inquiries and needs. Meeting topics can include, but are not limited to the following:

- *Introduction of WTW upcoming activities with an overview of the variety of employment services opportunities and supportive services available through participation;*
- *Identify availability and needs for supportive services;*
- *EC may introduce CW 2.0 Goal Plan Do Pocket Reminder tool; the tool can help the EC guide conversation and can be used during upfront activities.*
- *Provide contact information and point of contact for Employment Services; and*
- *Enter case comments.*

2. When a new case is assigned, the EC of record shall

- Receive an email with Form 50-20e attached from clerical staff notifying them of the case assignment and verify in CalWIN alerts.
- Review the assigned case for acceptability. CalWIN system needs to be reviewed to make sure that the following are current and updated correctly and as needed:
  - Alerts;
  - Activity statuses;
  - Case comments;
  - All APR and ASM CalWIN screens as applicable;
  - Supportive services (child care, transportation, ancillary, referrals to external agencies) authorized for current month;
  - WTW2 Plan entered as applicable; and
  - All documents related to case imaged
.

- Refer to Generic Processes Handbook 50-5.4e and Welfare-to-Work Handbook 42-7.39 - Transferring and Rejecting Cases in Welfare-to-Work

- Reach out to all new participant(s) to schedule the EC Introduction meeting in CalWIN. During the meeting the EC shall review the WTW workflow and discuss any subsequent meetings to take place (i.e. Program Support Team meeting, CW 2.0 Interview).
    - The EC introduction meeting shall be scheduled and conducted prior to ORE, if possible

B. Program Support Team Meeting

The purpose of this meeting is to have ECs involved earlier and throughout the participant's progress in the WTW program.

- The EC will lead the coordination of scheduling the PST meeting(s).

  Note: After completion of APR the CDS I will check if a same day/initial PST meeting has been scheduled. If so, the CDS I will notify the EC and SP once the APR has been completed. The CDS I may attend if available.
- In order to engage the client timely before other scheduled activities, the initial PST meeting should be scheduled by the EC within one week of being notified by the SP. The PST meeting should occur within 30 days from the completion of the WTW plan (if not the same day as APR), when possible.
- Once upfront activities are completed, the SP will provide an upfront activity summary document to the EC with the following information:
    - Client Information
    - Identified barriers / recommendations (from OCAT)
    - Identified goals and plan (from CW 2.0 interview)
    - Any recommendations for EC review

Note: The SP will assist the EC with scheduling the initial PST meeting if the PST has not been scheduled after one week.

- Once the initial summary document, provided by the SP, is received and reviewed by the EC, the EC shall include any additions or make any necessary changes to the summary document.
    - The EC shall sign off on the final summary and obtain the EC Supervisor initials.

      Note: Although the PST is part of the WTW process, the participant cannot be penalized for not attending the PST meeting. If the PST cannot take place after several attempts by the EC, the EC shall move forward with the next scheduled activity.
- The EC shall schedule all follow up PST meetings (via phone/video/in-person/ *email meeting if client is unavailable). Meetings will be scheduled weekly or monthly based on need.
- If needed, the PST will meet at least monthly for the purpose of discussing a participant's progress and status as well as to review the WTW and Family Self-Sufficiency plan goals, coordinate future services and offer support throughout the participant's time in the program.
- The initial PST team meetings shall include the EC and SP. Career Development Specialists I (CDS I) and Job Developers can be included as needed. Subsequent PST meetings shall include the EC and all the aforementioned employment services staff as appropriate.
- The PST meeting will be established after the participant completes the appraisal. The PST meeting will ensure that the Employment Counselor, SP and the participant are aware of and understand the participant's goals and objectives of the CalWORKs 2.0 Self-Sufficiency Plan and Employment Plan.
- The PST will ensure that all information regarding a participant's status is shared and communicated clearly to all involved SP & above-mentioned Alameda County Social Services Agency (ACSSA) staff.
- The EC and SP will develop and propose the meeting agenda items. The EC will make modifications as needed and finalize the agenda prior to the meeting.

- Meeting topics shall include but are not limited to the following:
  - Purpose of meeting;
  - Supportive Services;
  - CW 2.0 Goal Achievement / Status & Progress;
  - Opportunities / Changes;
    - Job Opportunities;
    - WEN/CS;
    - Amendments to WTW2; and
    - Revision to Goals (CW 2.0 tools e.g. Goal, Plan. Do, Review/Revise tool)

In addition to staff, the SP can also provide and initiate referrals for participants when requested by the participant. Any referral made shall include the case manager on it.

C. Monitoring

The SP will be responsible for entering attendance, case comments and all relevant entries in CalWIN when they conduct Orientation, four weeks of Job Club/Job Search and Assessment. Internal staff (i.e. CDS') in collaboration with the staff of the Service Provider will do an Appraisal. The SP and CDSs are responsible for entering the appropriate CalWIN entries for the Appraisal and/or Assessment. Refer to WTW Overview Handbook 42-7.0 for detailed information.

It is the responsibility of the EC to monitor the participant's activities and attendance hours to ensure that the participant is currently meeting the 20/30/35 WTW required hours of participation and making satisfactory progress. After an activity has been scheduled, the status and attendance must be tracked monthly. Ongoing supportive services payments shall be issued and child care is authorized, as necessary. Monitoring cases is especially important as it impacts the county's WPR. Whenever a participant's activity status is changed, the EC will need to review and determine if the participant is meeting the required hours. If they are not meeting the 20/30/35 required weekly hours of participation, the EC will need to determine the next step, i.e. schedule an appropriate activity, amend the WTW2 Plan, refer to WTW Support Service Specialist for any potential Behavior Health Care Services referrals, initiate non-compliance, and/or apply a sanction.

Monitoring can be accomplished through several means within the CalWIN system and Power BI.

- Review of alerts for the specified case will inform EC of any pending actions needed, barrier reviews, when an individual has been discontinued from assistance and if the individual has a new exemption. The Alert subsystem provides timely indicators as to actions that are pending or need to be taken;

- Universal Engagement is another tool that can be used to track progress of lifetime 12-month limit on vocational education and the 24-month time clock; and
- Case Management Report (608) lists all cases in EC caseloads. EC shall use this report to monitor, review case statuses, and annotate actions taken regarding the below five (5) main categories:
  - Cases discontinued;
  - Cases with no current activity;
  - Cases approaching or at 20-day Good Cause period;
  - Case with no current activity update; and
  - Cases with past overdue non-compliance.

Note: Once logged in to Power BI the EC shall select "Apps" on the left, choose 7 WBA Daily Analysis and then Case Management Report (608).

D. Case Dictation in CalWIN Case Comments

Case dictation is an essential part of case management. Documenting and recording case activity is important to ensure that the reason(s) behind any action taken on a case are clear and concise. This is of most importance when cases are transferred or when an EC is out on vacation or extended absences. Extended absences can leave gaping holes of information if case comments are not current. The EC should dictate each participant contact. Case dictation is entered into CalWIN Case Comments under WTW program. Case dictation shall include, at minimum, the following:

- Date of contact;
- Type of contact (face-to-face or telephone);
- Purpose of contact;
- Results of contact;
- Forms completed (when appropriate); and
- Documents received.

Example:

On 01/15/2020 Ms. Smith called to report an address and telephone number change. Ms. Smith is now living at 123 Hickory Lane, Oakland, CA 94544 and her new telephone number is (510) 123-4567. I indicated that I would make sure the necessary changes were made to her case record. I provided the information to Eligibility Services Technician (EST) to make appropriate changes to reflect new information.

E. Exempt Volunteers

The EC will assess and develop a WTW 2 Plan when Orientation has been completed and an exempt individual wishes to participate. Refer to Welfare to Work Handbook 42-7.32 Exempt Volunteers in the Welfare-to-Work Program for detailed information.

F. Amending a WTW2 Plan

An amended WTW2 Plan is completed when a participant begins any new activity other than indicated in the original plan, when a concurrent activity is being added to an existing activity, or when there is any change within the existing activity. For example, a change in participation hours, locations, activity start time, exempt participant wants to become an exempt volunteer or an exempt individual becomes mandatory. When amending a WTW2 Plan the EC shall meet with the participant to review, discuss, and sign an amended WTW2 Plan. A copy of the completed and signed amended WTW2 Plan shall be given to the participant. The Maintain Employment Services window, Plan tab in CalWIN shall be used to create or amend a WTW2 Plan. Refer to CalWIN How To #302 - Amend a Welfare-To-Work Plan.

Example:

Two months ago a participant signed a WTW2 Plan, which indicates that they are attending an approved vocational training program for 24 hours a week and is concurrently in an approved internship program for 8 hours a week, total 32 hours of weekly participation. Today, the participant notifies the EC that they have dropped out of the vocational training program and does not intend to continue. In this instance since there is already a WTW2 Plan in place, the EC would meet with the participant and reappraise for appropriate activity and amend the WTW2 Plan.

When amending a WTW2 Plan the participants shall be informed of the following grace periods:

- The participant has **3- working days** after amendments to the plan to request changes to the WTW2 Plan; and
- The participant has **30- calendar days** from the beginning of the initial training or education activity to request a change or reassignment to another activity.

Below are some examples of situations when a plan shall be amended:

- Participants that are no longer employed full-time.
- Participants who have completed their Self-Initiated Program (SIP) or

- Participants that are no longer attending school, and not employed full-time.

G. Exemption

When an individual is exempted from WTW, the EC will do the following:

1. Verify that the exempt status and exemption reason are correct on the Maintain Employment Services Participation window;
2. Refer the participant to the appropriate internal provider if the exemption is related to permanent disability.
    - If the participant is permanently disabled, refer them to the SSI advocacy unit.
    - If the participant is needed to care for a disabled spouse or child, refer them to IHSS.
3. Ensure CalWORKs 48-month clock has stopped ticking if appropriate;
4. Enter Case Comments indicating length of exemption; and
5. Monitor exemptions for review and expiration dates.

H. Sanction

The EC is responsible for the following when an individual has been sanctioned from WTW.

1. Verify WTW sanction is imposed correctly;
2. Make sure the registration status is Sanction in the Maintain Employment Services Participation window;
3. Review activity participant is sanctioned in to make sure the status is End-Unsatisfactory Participation in the Maintain Status window in CalWIN;
4. Review other activities to ensure that they have been end dated;
5. Ensure that supportive services have ended, and notification sent to individual;
6. Enter Case Comments; and
7. Contact client on a monthly basis to determine if the participant's circumstances have changed and the benefits of participating (i.e. CalWIN shows earnings, barrier that may need to be addressed).

I. Closed Files Bank

A case will close when the following occurs:

- The CalWORKs cash aid has been closed;
- The participant has exhausted their CalWORKs 48-month Time On Aid;
- The participant has been removed from CalWORKs cash aid for other reasons.

1. The EC is responsible for the following when a case or individual has been in discontinued for more than 30 days:
   a. Verify discontinued status in CalWIN Inquiry subsystem;
   b. Identify cases that will receive CalFresh which may include Transitional CalFresh (TCF) or Non-Assistance CalFresh (NACF) and send an informing notice Form 63-62 CalFresh Employment & Training Option to Continue Employment Services to inform TCF and NACF recipients about the option available to them under the CF E&T program. Refer to CalFresh E&T Handbook 90-2.40 -.CalFresh Employment and Training Program.
   c. Review activities to ensure that they have an end dated;
   d. Ensure that supportive services have ended and notification sent to individual;
   e. Enter Case Comments concerning the closing of the ES with the reason leading to closure of case;
   f. Verify individual's case status is "**Closed**" on the Maintain Participant Registration Status window in CalWIN; and

g. Complete Form 50-20e annotating that the case is to be routed to closed files and submit to the EC Supervisor.

2. **Employment Counselor (EC) Supervisor:**

   EC Supervisor is responsible for the following when form 50-20e is received form the EC:

   a. Perform case review ensuring all screens in CalWIN Employment Services subsystem have been updated appropriately and case comments are complete;
   b. Check eligibility status to ensure the case status is not active;
   c. Change case status to "Closed" on the Registration tab, if necessary.
   d. Forward Form 50-20e to clerical staff for routing to closed files bank number.

3. **Clerical Staff:**

   Clerical is responsible for the following when form 50-20e has been approved and forwarded by EC Supervisor:
   a. Receive form 50-20e and route case to closed files bank number; and

   - **Closed Bank**
     - Hayward P999
     - Eastmont V999
     - North Oakland N999

   b. Complete Case Comments.

Important note: Cases in which participants require Good Cause/Deferral from WTW participation for any duration of time will remain with the EC of record. Refer to Welfare-to-Work Handbook 42-7.2 - Exemptions and Good Cause Reasons for WTW.

III. Case Management Process

A. Employment Counselor (EC):

The EC shall complete the following actions for assigned cases in their caseload:

1. Review newly assigned cases for acceptability according to the process described in the Generic Processes Handbook 50-5.4e and Welfare-to-Work Handbook 42-7.39 - Transferring and Rejecting Cases in Welfare-to-Work;
2. Schedule EC introduction meeting in CalWIN. Schedule meeting prior to ORE, if possible;
3. Review and monitor attendance/progress reports on a monthly basis;
4. Update activity status in the CalWIN Maintain Status History window;
5. End date and verify terminated activities.
6. Make contact with participant no less than once a month and the EC may review OCAT and use the CW 2.0 CalMap Tool and My Road Map Tool to discuss changes and progress; document contact in CalWIN case comments;
7. Calculate and annotate total hours of participation, excused/unexcused attendance hours on attendance reports and/or pay stubs and enter into in monthly attendance screens in CalWIN;
8. Authorize, Issue, Deny, or Discontinue supportive services as needed;
9. Review Time on Aid (TOA);
10. Make sure the WTW2 Plan is being followed and the required weekly participation hours are being met;

11. Review concurrently scheduled activities of participant so that they will not interfere with each other;
12. Review case to ensure SB 1041 24-month rule and new hours of participation has been provided for each participant (At Orientation effective 1/1/13, or SB 1041 appointment if a WTW 2 plan is on file);
13. Create or amend WTW2 Plan as needed;
14. Schedule participant to activities within WTW2 Plan in CalWIN system;
15. Initiate Noncompliance through Sanction process as needed and notify ET of record using form 42-6;
16. Discuss future plans and goals with participant; EC may use CW 2.0 My Road Map Tool to identify new goals or changes addressed in monthly contact.
17. Schedule PST meeting in CalWIN weekly/monthly based on need;
    - Meetings can be conducted via phone/video/in-person
      Note: email meeting can be conducted if client is unavailable to do the above
18. Provide/Initiate referrals for participant when requested;
    - Domestic Violence
    - Mental Health
    - Substance Abuse
    - Learning Disability Screening
    - SSI Advocacy
    - Child care
    - IHSS
    - Family Stabilization
    - CalWORKs Starting Out Strong Program
19. Send necessary Notice of Actions to participant;
20. Delete unnecessary Notice of Actions in CalWIN system;
21. Submit documents in designated box to image into WebFiles;
22. Resolve CalWIN Alerts;
23. Update other CalWIN windows when relevant to the participant's WTW situation;
24. Review/Update second parent registration status as necessary; and
25. Conduct WPR advance reviews for WPR on randomly selected cases by the State. Refer to CalWORKs Welfare to Work Handbook 42-7.24 - Alameda County Work Participation Rate Advance Reviews and Reporting Process.

Non-Compliance:

For participants who fail to make satisfactory progress and/or complete assigned WTW activity (ies) without good cause, the non-compliance process shall be completed.

- Refer to CalWORKs Handbook 42-7.11 Noncompliance, Cause Determination and Sanction Process in Welfare to Work and the below attachments for detailed information.

B. Employment Counselor Supervisor (EC Supervisor):

The EC Supervisor shall do the following to ensure that workers are managing cases appropriately:

1. Hold regularly scheduled conferences with ECs to discuss unengaged cases;
2. Assist ECs in troubleshooting cases when needed;
3. Complete four (4) supervisory case reviews per EC per month to ensure accuracy in case management and engagement of participants in WTW activities;
4. Review form 50-20e for all cases being transferred out of unit to ensure correct destination; and
5. Ensure ECs complete WPR advance reviews timely and correctly. Refer to CalWORKs-Welfare to Work Handbook 42-7.24-Alameda County Work Participation Rate Advance Reviews and Reporting Process.

Clerical Staff:

Clerical staff shall do the following when form 50-20e is received:

- Route case to appropriate location as specified on form 50-20e; and
- Complete CalWIN case comments.

Attachments:

- Employment Services Case Management Check List form 42-126
- CalWIN How To #202-Initiate the Non-Compliance Process
- CalWIN How To #203-Record Cause Determination Outcome
- CalWIN How To #204-Initiate a Sanction
- CalWIN How To #206-Develop a Compliance Plan
- CalWIN How To #206A-Complete a Compliance Plan and Resolve Non-Compliance
- CalWIN How To #234-Cure, Remove, or Delete WTW Sanction
- CalWIN How To #234A-Cure, Remove, or Delete WTW Sanction prior to December 2005
- CalWIN How To #302-Amend a Welfare-To-Work Plan

References:

EAS Manual Sections: 42-701, 42-711, 42-712, 42-713, 42-714, and 42-116

CalWIN Best Practice Guide Case Manager ET/EC guide, July 2009

Generic Processes Handbook 50-5.4 Transferring and Rejecting Cases in the Employment Services Department

Employment Programs Newsletter 06-10 Closing Cases in Employment Services

Employment Program Newsletter 07-03 CalWIN Auto Close Feature

Welfare-to-Work Handbook 42-7.2 Exemptions and Good Cause Reasons for WTW

Welfare-to-Work Handbook 42-7.32 Exempt Volunteers in the Welfare-to-Work Program

Welfare-to-Work Handbook 42-7.39 Transferring and Rejecting Cases in Welfare-to-Work.

CalWORKs Handbook 42-7.11 Noncompliance, Cause Determination and Sanction Process in Welfare to Work

CalWORKs Welfare-to-Work Handbook 42-7.24 Alameda County Work Participation Advance Reviews& Reporting Process

SEIU Section 13-c of MOU

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CW 2.0 CalMap

My Road Map Tool (Potholes + Detours)

CW 2.0 Goal Plan Do Pocket Reminder tool

Obsolete:

Employment Program Newsletter 08-13-Transferring Employment Cases from Ongoing Case Management to Upfront Activities