

October 3, 2025

GENERAL LETTER NO. 4-AP-168

ISSUED BY: Bureau of Financial, Food, and Work Supports
Division of Community Access and Eligibility

SUBJECT: Employees' Manual, Title 4 Appendix, **PROMISE JOBS Provider Manual**, Contents Page 5, 1-6, 12-30, 32-35, 39-41, 45 and 46, 55, 59, 64, 66, 73, 77, 82, 84, 93, 95, 97, 104, 106, 108, 111-121, 128, 131-136, 138 and 139, 141, 143, 145, 148-157, 160-162, 165 and 166, 174 and 175, 192, 195 and 196, 198-200, 210, 215, 222, 239 and 240, 246, 251-254, 257 and 258, 261, 264 and 265, 272, 274, 282, 285-289, 293, 295-297, 301, 304 and 305, 307-319, 324-328, 333-339, 341, 343-346, 348 and 349, 353 and 354, 356-358, 362, revised; 363, new.

Summary

This chapter is revised to

- Legal and Administrative Updates
 - Updated legal citations
 - Updated language to reflect agency realignment
 - Removed gender and gender identity references
- FIA Appointment, Orientation, and Referral Procedures
 - Clarified procedures for FIA appointments
 - Removed certain explanation requirements from PROMISE JOBS orientation
 - Clarified procedures for conducting the initial assessment
 - Clarified the referral process for family planning counseling
- Supportive Services and Expense Payment Policies
 - Updated approvable family development services, other than FaDSS
 - Corrected form name: 470-3099 is now titled Job Search Activity Log
 - Updated transportation expense policy for unplanned job opportunities
 - Clarified that PROMISE JOBS funds cannot be used to purchase supplies to start a private business
 - Updated policy on support expense payments for clothing and equipment needed for Work Experience Program (WEP) participants
 - Clarified procedures requiring medical documentation for supplemental transportation costs for disabled participants
 - Updated policy on payment for supplies for participants enrolled in high school completion or equivalency, ABE, ESL, or short-term training (under 30 weeks)

- Updated mileage rate policy
 - Increased from \$.30 per mile to the current state employee reimbursement rate (currently \$.50 per mile)
 - Updated related examples accordingly
- Updated Family Self-Sufficiency Grant (FSSG) policies:
 - Updated annual \$1,000 annual limit to per participant
 - Clarified procedure to follow when barrier costs exceed the FSSG limit
 - Removed a specific requirement from the FSSG evaluation process
- Participation and Compliance
 - Updated LBP policy to apply when a participant is more than 15 minutes late for a second time, after receiving written reminder following the first lateness.
 - Corrected response time to 10 working days for participants to reply to:
 - Letters regarding physical threats
 - Missed WEP assignments
 - Removed policy defining misconduct in the context of refusing, ending, or reducing employment or other work activities
 - Removed references to Job Corps and the Job Corps Solo Parent Program
- Education and Training
 - Updated approvable training providers
 - Clarified that distance learning providers may use form 470-2617, Time and Attendance, to verify actual hours of participation
 - Updated policy regarding disposal of supplies when a training plan ends
 - Administrative and Appeal Updates
 - Corrected case file retention policy
 - Removed policy on appealing acts of discrimination through the HHS Appeals Unit.

Effective Date

July 1, 2025.

Material Superseded

Remove the following pages from Employees' Manual, Title 4 Appendix, and destroy them:

| Page | Date |
|--|----------------|
| Contents Page 5 | March 28, 2025 |
| 1-6, 12-30, 32-35, 39-41, 45 and 46, 55, 59, 64, 66, 73, 77, 82, 84, 93, 95, 97, 104, 106, 108, 111-121, 128, 131-136, 138 and 139, 141, 143, 145, 148-157, 160-162, 165 and 166, 174 and 175, 192, 195 and 196, 198-200, 210, 215, 222, 239 and 240, 246, 251-254, 257 and 258, 261, 264 and 265, 272, 274, 282, 285-289, 293, 295-297, 301, 304 and 305, 307-319, 324-328, 333-339, 341, 343-346, 348 and 349, 353 and 354, 356-358, 362 | March 28, 2025 |

Additional Information

Refer questions about this general letter to your IWD PROMISE JOBS Quality Assurance staff.

| | <u>Page</u> |
|---|-------------|
| Timing of Payments | 223 |
| Participant Responsibilities | 224 |
| Procedure for Lost, Stolen, or Missing EAC or PROMISE JOBS Warrants | 225 |
| Recovery of PROMISE JOBS Supportive Payment Overpayments | 225 |
| Notification of PROMISE JOBS Overpayment | 226 |
| Collection of Overpayments | 228 |
| DIAL Recovery Procedures | 229 |
| Case Management | 231 |
| Electronic Searches of Applicants and Participants | 231 |
| Required Verification and Documentation | 233 |
| Verifying Problems or Barriers to Participation | 233 |
| FIA Activities Provided by PROMISE JOBS | 235 |
| FIA Activities Provided by Other Providers | 236 |
| Distance Learning | 237 |
| Job Search Documentation | 238 |
| Verifying and Projecting Employment Hours | 240 |
| Written Notice to Participant | 244 |
| Written Notice to Verify Employment Hours | 248 |
| Notice of Decision | 250 |
| Adequate Notice | 251 |
| Timely Notice | 252 |
| Records Maintenance | 253 |
| Reporting Requirements | 257 |
| Reporting Participation Hours | 257 |
| Reporting Excused Absence and Holiday Hours | 259 |
| Reporting Employment to EBS | 261 |
| Reporting Disability Information to EBS | 261 |
| FIA Participation Issues | 262 |
| Identifying Participation Issues | 263 |
| Problems With Participation | 278 |
| Barriers to Participation | 281 |
| Limited Benefit Plan (LBP) | 282 |
| Choices Resulting in an LBP | 284 |
| To Whom the LBP Is Applied | 285 |
| Attempting to Resolve Participation Issues | 287 |
| Person Does Not Attend Orientation or Does Not Sign FIA | 287 |
| Person Signs FIA and Abandons the FIA Responsibilities | 289 |
| Review of Limited Benefit Plan Recommendation | 290 |
| Limited Benefit Plan Variations | 292 |
| Children Who Are FIA-Responsible | 292 |
| Minor Parents Living with FIP Parent or Needy Caretaker Relative | 293 |

Overview

The Iowa Department of Health and Human Services (HHS) administers an employment and training program known as “PROMISE JOBS.” The PROMISE JOBS program assists Family Investment Program (FIP) recipients in achieving economic self-sufficiency by increasing the availability of employment and training opportunities.

Only people applying for or receiving FIP are eligible for PROMISE JOBS assistance. The following definitions apply to the PROMISE JOBS program.

Definitions

“Applicant” means a child for whom FIP assistance is being requested, any parent living in the home with the child, and any nonparental relative who is requesting assistance for the child.

“Eligibility Benefits Specialist (EBS)” is the HHS worker who determines eligibility for FIP.

“FaDSS” means the HHS Family Development and Self-Sufficiency program which provides family development services to families at risk of instability or long-term FIP dependency. FaDSS prioritizes PROMISE JOBS participants who require concentrated services to overcome severe or multiple barriers in order to become self-sufficient.

“Family investment agreement” or **“FIA”** is an individualized agreement between the FIP applicant or recipient and PROMISE JOBS that outlines the family's needs, the actions the family will take, the services to be provided by PROMISE JOBS, and the time frames to be met by the family so they can become economically self-supporting.

“FIA-responsible person” means any member of the FIP family who is required to sign an FIA, participate in FIA activities, and is not exempt from participation in the PROMISE JOBS program.

“FIP” means the HHS Family Investment Program which provides cash assistance to needy families with children.

“Limited benefit plan” or **“LBP”** means a period of time that an FIA-responsible person or their family is ineligible for FIP or eligible for reduced assistance due to an FIA-responsible person's failure to meet FIA requirements.

“Participant” for purposes of the PROMISE JOBS program means a person who has signed an FIA and is receiving FIP, an FIA-responsible parent living in the home of a child receiving FIP, or a person reconsidering a subsequent limited benefit plan.

“PROMISE JOBS program or “PJ” means the HHS **P**romoting Independence and **S**elf-Sufficiency through **E**mployment, **J**ob **O**pportunities, and **B**asic **S**kills program.

All FIP applicants must meet with a PROMISE JOBS case manager to develop and sign an FIA as a condition of FIP eligibility, unless exempt. FIP recipients initially determined to be exempt from FIA requirements and who lose exempt status must sign an FIA to continue receiving FIP.

Continued FIP eligibility is contingent upon the family following the steps in their FIA and failure to comply may result in a loss or reduction of FIP for the family.

Though the program goal for all participants is to be involved in PROMISE JOBS activities on a full-time basis, defined as an average of 30 hours per week, PROMISE JOBS case managers must balance this goal with the needs and skills of each individual family. Participants are expected to participate to the highest level possible given their individual situation.

PROMISE JOBS FIA services and activities include:

- Orientation
- Assessment
- Job Search/Job Readiness Activities:
 - Job readiness skills training
 - Individual and structured job search
 - Mental health, substance abuse and other rehabilitative treatments.
- Work Activities:
 - Monitored employment, including full or part-time, subsidized and self-employment
 - On-the-Job Training
 - Work Experience Placement
 - Unpaid Community Service
- Education and Training, including:
 - High school completion
 - High School equivalency
 - Adult basic education
 - English as a second language
 - Postsecondary training
- Family Violence Option
- Family Development and Self-Sufficiency (FaDSS) services and other family development services
- Parenting skills training

- Referral for Family Planning Counseling

HHS Eligibility Benefits Specialists (EBS) determine the PROMISE JOBS referral status (FIA-responsible or exempt) of FIP applicants and recipients. EBS refer FIA-responsible applicants and FIP recipients who lost their exempt status to PROMISE JOBS through entry into the HHS eligibility system.

The following sections give information about the administration of the PROMISE JOBS program:

- [Legal Basis](#)
- [Agencies Responsible for Provision of Services](#)
- [Availability of PROMISE JOBS Services](#)
- [Limit on PROMISE JOBS Assistance](#)
- [Determining the 60-Month Limit](#)
- [Reporting Child Abuse](#)
- [Confidentiality](#)

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, 47 and 93.

Iowa's FIP and PROMISE JOBS programs implement and are funded by the federal Temporary Assistance for Needy Families (TANF) program. TANF is:

- Initially authorized under Title I of the Personal Responsibility and Work Opportunities Reconciliation Act of 1996 (PRWORA),
- Reauthorized on February 8, 2006, through the Deficit Reduction Act of 2005, Public Law 109-171.

Agencies Responsible for Provision of PROMISE JOBS Services

Legal reference: 441 IAC 93.2(239B)

Iowa Workforce Development (IWD), through a contract with HHS, provides PROMISE JOBS services statewide.

Iowa Department of Health and Human Services (HHS), administers the PROMISE JOBS and Family Development and Self-Sufficiency (FaDSS) program. FaDSS is available statewide by public and private agencies under contract with HHS and is considered a supportive service to the PROMISE JOBS program.

Availability of PROMISE JOBS Services

Legal reference: 441 IAC 93.2(1)

The PROMISE JOBS program is available statewide, subject to sufficient funding.

HHS reserves the authority to prioritize the availability of services to FIP applicants and participants due to state and federal budgetary limitations, federal mandatory work requirements, requirements for minimum participation rates, and other TANF requirements imposed on the PROMISE JOBS program.

This includes the authority to:

- Determine agency and geographical breakdowns for service;
- Designate specific groups of applicants or participations for priority services; and
- Designate specific PROMISE JOBS components or supportive payment levels for a waiting list.

HHS will notify PROMISE JOBS and FaDSS staff if an administrative need develops that requires services to be prioritized or limited.

Limit On PROMISE JOBS Assistance

Legal reference: 441 IAC 41.30(239B) and 93.11(1)"b"

Federal law imposes a 60-month lifetime limit on the amount of time that families with adults can receive TANF-funded assistance. This limit applies to FIP since it is TANF-funded. PROMISE JOBS services are also subject to a family's 60-month FIP limit. See [Hardship Exemption](#) for FIP/PROMISE JOBS eligibility beyond 60 months.

Determining the 60-Month FIP Limit

Legal reference: 441 IAC 41.30(1) and (2)

HHS EBS staff determine when a family has reached the 60-month limit.

The entire family is ineligible when the person who has received assistance for 60 months is:

- The adult parent of the child on FIP, or
- The stepparent who is in the home with the parent and child, on the grant.
- The minor parent of the child on FIP when the minor parent is payee.

In a nonparental case, only the needy specified relative becomes ineligible at the end of the 60-month period. Assistance for the children may continue.

Procedure: See [4-C, Limit on FIP Assistance](#) for more information on how HHS determines the 60-month limit.

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, SNAP, or Child Care Assistance.

HHS tracks the 60-month limit via the FIP Eligibility Tracking System (FET), which obtains the information from entries made on the HHS eligibility system and from the Issuance Verification (ISSV) system. FET tracks months of assistance for each adult whose assistance must be counted.

PROMISE JOBS staff have access to FET through the HHS WISE system.

FET reflects the 60-month count for each adult whose assistance must be counted toward the limit regardless of current FIP status or case number in which the FIP was received.

Routinely access FET to determine the 60-month FIP count for applicants and participants. For example, access FET:

- When receiving a referral and writing the initial FIA.
- When renegotiating and amending FIA's.
- When conducting the six-month FIA progress review.
- At any other time when determining the family's 60-month FIP status is pertinent.

At a minimum, discuss the 60-month limit during orientation while writing or renegotiating the FIA and during family contacts when appropriate. Stress to participants 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.

When a member of a family reaches the 60-month limit, the EBS will send a timely *Notice of Decision* to cancel FIP at the end of the family's 60-month period. EBS 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 following the end of the 60-month period. FIP and PROMISE JOBS assistance issued 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.

The EBS is responsible for establishing the FIP overpayment. PROMISE JOBS is responsible for establishing the PROMISE JOBS overpayment.

If PROMISE JOBS learns that a FIP applicant or participant has received assistance in another state, the District of Columbia, or a United States territory, contact the EBS or team, not the other state.

The EBS 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 EBS will record each countable month in the FET “FIP Individual History” screen. When EBS records out-of-state months in FET, FET considers them, in addition to any Iowa months received, in determining the number of months the person has used and has remaining. FET reports reflect that combined total.

The EBS will notify PROMISE JOBS when 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 FIA 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 EBS 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.

Reporting Child Abuse

Legal reference: 441 IAC 175.23(2)

PROMISE JOBS staff who, in the course of employment, believes a child has been abused must make an oral report of the abuse allegations to HHS within 24 hours of suspecting the 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 HHS Abuse Hotline at 1-800-362-2178 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.

Confidentiality

Legal reference: Iowa Code Section 217.30; 441 IAC 9.7(17A, 22, 228); 441 IAC 9.10

Policy: All agencies involved in the provision of PROMISE JOBS services shall safeguard participant information in conformance with Iowa Code Section 217.30.

HHS EBS determine whether each member of a FIP household must sign and participate in FIA activities or if any member meets one of the exemption criteria described under [Who is Exempt from PROMISE JOBS Participation](#).

EBS refer the following persons to the PROMISE JOBS program unless they are exempt from participation:

- All FIP applicants who appear eligible for FIP.
- Each person in the FIP eligible group receiving FIP.
- Any parent living with a child applying for or receiving a FIP grant.

Persons Who Must Be Referred to PROMISE JOBS as FIA-Responsible (Unless Exempt)

All applicants **who appear eligible for FIP** and all persons included in the FIP grant, specifically:

- Any parent
- Any needy specified relative
- Any child aged 16 or older who is not in school
- Any minor parent, whether or not in school

Any ineligible parent living with a child applying for or receiving FIP, such as a:

- Parent ineligible for failure to provide a social security number (SSN)
- Parent ineligible for failure to apply for all benefits
- Qualified alien parent ineligible due to the five-year bar
- Parent receiving a foster care or subsidized adoption payment or a Preparation for Adult Living (PAL) stipend

Iowa Workforce Development (IWD) provides PROMISE JOBS services to FIP applicants and participants. The EBS refers the FIA-responsible person to IWD.

Procedure: EBS refer applicants and participants who are not exempt to PROMISE JOBS through entry of an FIA-responsible JOBS code in the ABC system, by scheduling an FIA appointment for applicants, and by taking other actions as specified in the following sections.

To share referral information, Department of Management (DOM), Division of Information Technology (DoIT) staff provide a daily data file to IWD. The data file includes new PROMISE JOBS referrals and updated information on existing and recently closed referrals. IWD processes the data file into their case management system. Some items included in the daily data file are:

- Applicant/participant name, address, State ID, and SSN.
- EBS or team worker number.

- Referral status/JOBS code.
- FIP and SNAP Status and amount of benefit.

NOTE: The ABC system only processes PROMISE JOBS referrals for persons who have a valid social security number. EBS must manually refer persons who do not have a SSN. This includes aliens who are not exempt whose SSN has been entered as 999-99-9999 pending application for or receipt of a number. See [Referring Persons Without a Social Security Number](#) for more information.

Local PROMISE JOBS offices are responsible for managing and tracking new applicant referrals and for distributing the referral appointments to a PROMISE JOBS worker.

PROMISE JOBS is also responsible for managing and tracking participants who lose exempt status while receiving FIP and whether the participant contacts PROMISE JOBS to schedule an FIA appointment.

See [Service Upon Referral](#) for more information regarding PROMISE JOBS procedures.

Communicate with EBS supervisory staff to determine any needed local referral procedures beyond those specified in this chapter. For example, PROMISE JOBS may need immediate notification when EBS schedules an FIA appointment for the same day.

The EBS makes referrals to PROMISE JOBS differently for applicants than for FIP participants who become FIA-responsible while on FIP. Procedures also differ for referring persons in an LBP, persons in a grace period, and persons requesting FIP beyond 60 for a hardship exemption.

The following sections give more information on referring applicants and participants:

- Referring Applicants
- Referring Participants
- Who is Exempt From PROMISE JOBS

Referring Applicants

Legal reference: 441 IAC 41.24(239B), and 93.3(239B)

Policy: Applicants who are not exempt must meet with PROMISE JOBS to write and sign an FIA as a condition of FIP eligibility.

The FIA must be signed before FIP approval. Failure to write and sign an FIA results in denial of FIP for the entire family or for the person who failed and any of their children, depending on the relationship of the person who failed to the rest of the FIP household. An applicant's failure to write and sign an FIA does not result in imposition of an LBP.

Once FIP is approved, as a FIP participant, the person must follow the requirements of the FIA to continue receiving FIP. Failure to follow the requirements of the FIA results in imposition of a limited benefit plan (LBP) as described at [Limited Benefit Plan \(LBP\)](#).

Procedure: The EBS refers FIP applicants who are FIA-responsible to PROMISE JOBS by:

- Accessing PJCase Calendar and scheduling an appointment for the applicant to meet with PROMISE JOBS to write and sign an FIA for the earliest time possible based upon a schedule provided by the local PROMISE JOBS office;
- Completing form 470-3897, *FIA Appointment*, and issuing a copy to the applicant; and
- Pending the case on ABC no later than the day of the FIP interview;
- Entering the applicable “applicant” JOBS referral code in ABC after the FIP interview.

EBS will make referrals no earlier than the date of the application interview. They will only refer applicants who appear to be eligible for FIP.

For an alien applicant, EBS will not refer the alien to PROMISE JOBS until they’ve determined from the alien documentation if the alien is potentially eligible for FIP and PROMISE JOBS services. See [Alien Exemption](#) for more information.

The EBS must schedule all FIA appointments at the earliest time available and within ten calendar days of the date of referral unless the applicant asks for an appointment outside of this time frame.

For this reason, when providing the local FIA appointment schedule, PROMISE JOBS must provide enough appointment times to:

- Accommodate the number of FIP applications filed and
- To allow all applicants to be offered an appointment with 10 calendar days of the referral.

PROMISE JOBS is responsible for any rescheduling of the FIA appointment after the initial appointment is scheduled by EBS.

Allow applicants at least 15 minutes from the scheduled appointment start time to appear for the FIA appointment before considering that the applicant has failed to attend the appointment.

If the applicant signs an FIA, PROMISE JOBS will report this through entry in the PJCase system. EBS will proceed with the FIP eligibility determination.

If the applicant does not appear for the FIA appointment or fails to sign an FIA, PROMISE JOBS will report this through entry in the PJCase system. If the person is a FIP parent and the EBS pended the application in ABC, PJCase will generate entries to deny the FIP application. Otherwise, the EBS must make entry in ABC to deny the application.

See [Service Upon Referral](#) for more information.

If an FIA-responsible applicant fails to sign an FIA, FIP eligibility is affected as follows:

| Person who failed to sign an FIA | EBS Action |
|---|--|
| Parent | In two-parent households with a common child, if both parents are FIA-responsible and either fails to sign the FIA, EBS denies FIP for the entire household. |
| | In two-parent households with no common child, if both parents are FIA responsible and one fails to sign the FIA, EBS denies FIP for only the parent who fails and their children. |
| Child (not a parent) | EBS denies FIP for the child. The other household members may be eligible if there is an eligible child. |
| Minor Parent | EBS denies FIP for the minor parent and any child of the minor parent. The other household members may be eligible if there is an eligible child. |
| Needy specified relative | EBS denies FIP for the specified relative. The children may be eligible. |
| Stepparent included as an optional household member | EBS denies FIP for the stepparent. The other household members may be eligible. |

Adding a New Person to An Active FIP Household

Legal reference: 441 IAC 41.24(239B), 93.3(239B)

Policy: When a participant family requests to add a new person, who is not exempt from PROMISE JOBS referral, to the FIP eligible group, the new person must sign an FIA before being approved for FIP.

A written FIP application and eligibility interview is not required for EBS to add a new person to the active FIP household.

Procedure: If the new person is FIA-responsible, it appears the person is potentially eligible for FIP, and the existing household will remain eligible with the person included, EBS will follow the same steps described at [Referring Applicants](#) to schedule the FIA appointment and to refer the new FIA-responsible person to PROMISE JOBS:

- ABC will not allow EBS to pend the applicant when the case is active, and
- EBS will not discuss PROMISE JOBS program requirements with the applicant since EBS does not complete an eligibility interview in this situation. PROMISE JOBS will provide the requirements during orientation.

Failure to attend the FIA appointment and write and sign an FIA results in denial of FIP for the person. If the new person is a parent, failure to attend the FIA appointment or to write and sign an FIA may result in cancellation of the active FIP case.

See [14-O, Pre-FIP Entries](#) for more information on PJCase entries.

Referring Participants

Legal reference: 441 IAC 41.24(239B), 93.3(239B)

Policy: Participants who lose exempt status and become FIA-responsible while receiving FIP must meet with PROMISE JOBS to write and sign an FIA to continue receiving FIP. Failure results in imposition of an LBP for the entire family or for the person who failed and any of their children, depending on the relationship of the person who failed to the rest of the FIP family.

An exempt person becomes FIA-responsible while on FIP when:

- A person aged 16 to 18 who is not a parent drops out of school, or
- A minor becomes a parent, or
- An SSI recipient loses eligibility for SSI.

Procedure: The EBS refers participants who lose exempt status while receiving FIP by changing the JOBS referral code in the ABC system to the applicable “participant” code.

EBS' entry causes the PJCase system to send form **470-3106, FIA Referral for Mandatory Participants**. This form explains that the person must:

- Comply with the PROMISE JOBS program to continue receiving FIP and
- Contact PROMISE JOBS within 10 days to schedule an appointment to begin the FIA process.

Upon receipt of a referral of a participant who becomes FIA-responsible, PROMISE JOBS must track the referral and the 10-day period.

If the participant contacts PROMISE JOBS within 10 days, PROMISE JOBS must schedule the FIA appointment. If the participant does not contact PROMISE JOBS within 10 days, PROMISE JOBS must send the participant a reminder. See [FIP Participants Whose Referral Status Changes to FIA-Responsible](#) for more information.

The following sections give more information on the procedures for referring applicants and participants in specific situations:

- [Referring battered aliens](#)
- [Referring persons in a limited benefit plan](#)
- [Referring persons during FIP grace period](#)
- [Referring families who are requesting FIP beyond 60 months](#)
- [Referring persons without social security numbers](#)
- [Referring persons with disabilities](#)

Referring Battered Aliens

Legal reference: 441 IAC 41.23(4)-(5), 41.24(239B), 93.3(239B)

Policy: Battered aliens are subject to the same PROMISE JOBS and FIA requirements as other FIP applicants and participants. See [4-L, Battered Aliens](#).

Procedure: EBS will make the referral to PROMISE JOBS in the same way as any other FIP applicant or participant. See [Referring Applicants](#) and [Referring Participants](#).

EXCEPTION: If the person does not yet have a social security number, the ABC system will not be able to transmit the referral information to PROMISE JOBS. Follow the procedures described at [Referring Applicants](#) and [Referring Participants](#). The EBS will note in the Comments section of the PJCase Calendar Appointment screen that the person is a battered alien who does not yet have a social security number. EBS will include the person's address and date of birth and the names and ages of the children in the home (regardless of their FIP status) or send you a copy of form **470-3897, FIA Appointment**.

Referring Persons in a Limited Benefit Plan

Legal reference: 441 IAC 41.24(239B), 93.16(239B)

Policy: A person who chooses a **first** limited benefit plan (LBP) may reconsider and end the LBP at any time from the date of the *Notice of Decision* imposing the LBP. To reconsider, the person who chose the LBP must sign another FIA. The family must reapply for FIP if the person who chose the LBP cannot sign an FIA prior to the effective date of the LBP.

When a person chooses a **subsequent** LBP, the family members impacted by the LBP are ineligible for FIP for a minimum of six months. Once the *Notice of Decision* to impose a subsequent LBP is issued, the LBP cannot be reconsidered until the six-month period of ineligibility has expired.

Procedure: To reconsider an LBP, the person may contact PROMISE JOBS or the EBS. The needed action varies with the specific situation.

First LBP:

When a person contacts PROMISE JOB before the effective date of a **first** LBP and there is an available **FIA** appointment that the person can attend before the effective date of the LBP:

- Schedule an FIA appointment for the person using the PJCase Calendar,
- Complete and provide form 470-3897, *FIA Appointment* to the person.
- Inform EBS so they can enter the applicable “JOBS” referral code in ABC.

If there is not an available appointment before the effective date of the LBP or the person makes contact on or after the effective date of the LBP, do not schedule the person for an FIA appointment. Tell the person that they must reapply for FIP. Document and report the contact to the EBS. They will send the person an application. If the person reapplies for FIP, the EBS will refer the applicant to PROMISE JOBS as described at [Referring Applicants](#).

Subsequent LBP:

When a person in a **subsequent** LBP makes contact after the *Notice of Decision* has been issued:

- If the contact is made before month 6 of the ineligibility period, explain that the LBP cannot be reconsidered and FIP eligibility does not exist.

- If the contact is made in month 6 of the ineligibility period or after the six-month ineligibility period of a subsequent LBP has ended, tell the person that they must reapply for FIP with HHS. EBS will do the same if the person contacts HHS. Do not schedule the person for an FIA appointment until the person files an application.

If the person reapplies for FIP, the EBS will refer the applicant to PROMISE JOBS as described at [Referring Applicants](#).

If the person reapplies for FIP in month 6 of the ineligibility period, EBS will schedule an appointment that is after the last day of the six-month ineligibility period.

Refer to [Reconsidering an Active Limited Benefit Plan \(LBP\)](#) for more information on actions a person must take to reconsider an LBP.

Referring Persons During FIP Grace Period

Legal reference: 441 IAC 40.22 (5), 41.24(239B), 93.3(239B)

Policy: When EBS denies a FIP application for failure to provide requested information or for failure to attend the FIP application interview, they will allow the applicant a 14 calendar day “grace period” to correct the reason for denial. They will reconsider FIP eligibility without a new application if the applicant corrects the reason for denial and takes all action to establish eligibility within 14 days of the date on the Notice of Decision denying the application. This includes:

- Providing all necessary information to establish eligibility, including verification of any changes,
- Signing the required FIA if one has not yet been signed,

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. The grace period **does not** apply when a FIP application is denied for failure to attend an FIA interview or for failure to complete the required hours of activity needed to end a subsequent LBP.

Procedure: When EBS denies a FIP application for failure to provide requested information or for failure to attend the application interview, consider the specific situation as follows to determine how to proceed:

FIA Signed Prior to Denial (No Subsequent LBP):

EBS will not re-refer the applicant to PROMISE JOBS during the grace period if the applicant signed an FIA before the application was denied. Reinstate the FIA if the applicant corrects the reason for the denial, takes all other necessary action within the grace period, and EBS determines FIP eligibility exists.

EXAMPLE:

FIP applicant Ms. A signs an FIA on November 30. PROMISE JOBS enters that an FIA was signed in PJCase and PJCase sends an email to the EBS. Ms. A fails to provide requested verification of income.

On December 1, the EBS issues a notice denying the application and PJCase notifies PROMISE JOBS of the FIP denial. The denial notice is dated December 2. The grace period ends December 16.

Ms. A provides the verification to EBS on December 10 and there have been no other changes in the family's circumstances. On December 11, the EBS reprocesses the application and approves FIP effective December 10. PJCase sends an email to the PROMISE JOBS worker as listed in PJCase to inform the worker of the FIP approval. On December 11, PROMISE JOBS begins case management of the FIA.

FIA Not Signed Prior to Denial (No Subsequent LBP) – Available Appointment Within Grace Period:

EBS will schedule the FIA appointment and refer the applicant to PROMISE JOBS as described at [Referring Persons to PROMISE JOBS](#).

Exception: During the application grace period, EBS is not required to re-pend the application or to enter an applicant JOBS referral code in the ABC system. However, both of these actions are recommended.

If EBS re-pends FIP and enters an applicant JOBS referral code in ABC:

- ABC sends a system referral to the PJCase system.
- PROMISE JOBS will enter that an FIA was signed or not signed in PJCase.
 - PJCase will send an email to inform you if the FIA-responsible person signed an FIA or did not sign an FIA.
 - PJCase will deny the FIP application in ABC if the FIA-responsible person fails to appear for the appointment or does not sign an FIA.

If EBS does not re-pend FIP:

- The ABC system will not allow EBS to enter an applicant JOBS referral code for the FIA-responsible person or send a system referral to the PJCase system. EBS will explain that FIP is not pending in ABC and that a system referral will not be sent in the Comment section of the PJCase Calendar Appointment Screen.

- PROMISE JOBS will not be able to use PJCase to inform EBS if the FIA-responsible person signed an FIA or did not sign an FIA. Instead, PROMISE JOBS will send EBS an email to report that:
 - The FIA-responsible person signed an FIA and to provide the date the FIA was signed, or
 - The person did not sign an FIA.
- If the person does not sign an FIA, EBS will need to make entry in ABC to deny FIP.

FIP applicant Ms. B fails to provide verification of income that was requested by EBS. The EBS issues a notice denying the application on December 1. The date on the denial notice is December 2. The grace period ends December 16. EBS 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 was not referred to PROMISE JOBS.

Ms. B provides the missing verification on December 5 and appears eligible for FIP. The EBS schedules an FIA appointment for December 15.

Scenario A. EBS re-pends FIP with applicable applicant JOBS code in ABC and one of the following applies:

- Ms. B appears for the FIA appointment and signs an FIA. PROMISE JOBS enters the FIA Signed date in PJCase. PJCase sends an e-mail to notify EBS. On December 7, EBS approves FIP as of December 5, the date Ms. B provided the missing verification.
- Ms. B does not appear for the FIA appointment. PROMISE JOBS makes entry that an FIA was not signed in PJCase. PJCase denies the FIP application and sends an e-mail to notify EBS.

Scenario B. EBS does not re-pend FIP in ABC and one of the following applies:

- Ms. B appears for the FIA appointment and signs an FIA. PROMISE JOBS sends EBS an e-mail that an FIA was signed. On December 7, EBS approves FIP as of December 5, the date she provided the missing verification. PROMISE JOBS enters the FIA signed date in PJCase.
- Ms. B does not appear for the FIA appointment. PROMISE JOBS sends EBS an email to report the failure. The EBS makes entry to deny the application.

Active Subsequent LBP:

EBS determines if it is reasonable for the applicant to cure the reason for denial and complete the actions needed to end the subsequent LBP by the end of the 14-day grace period, including:

- Signing an FIA if one has not yet been signed and
- Completing any remaining hours of PROMISE JOBS activity as stated in the FIA. EBS may contact PROMISE JOBS for help with this determination.

FIA not signed prior to denial:

- EBS determines if there is an FIA appointment available early enough in the 14-day period that the applicant will still have enough time to complete the required 20 hours of activity.
- PROMISE JOBS may require fewer than 20 hours of activity if the applicant has problems or barriers that prevent them from participating at that level.
- EBS will tell the applicant to reapply if it is not reasonable for the applicant to complete all needed action by the end of the 14-day period.
- If EBS determines it is reasonable for the applicant to complete all needed action within the 14-day period:
 - EBS will schedule the FIA appointment and refer the applicant to PROMISE JOBS as described at Referring Persons in a Limited Benefit Plan (LBP).
Exception: During the application grace period, EBS is not required to re-pond the application or enter the JOBS referral code in the ABC system. However, both of these actions are recommended.
 - EBS 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 notify EBS of the applicant's LBP status as follows:
 - If the applicant signs an FIA and completes the required activity, PROMISE JOBS will make entry in PJCase to stop the LBP. PJCase will send an email to EBS. EBS will redetermine FIP eligibility.
 - If the applicant abandoned their reconsideration and EBS referred the applicant with a reconsideration JOBS code, PROMISE JOBS will make an Abandon Reconsideration entry in PJCase. The PJCase email will explain if the system denied the application, or if the EBS needs to deny the application.
 - If the applicant abandoned their reconsideration and is not referred with a reconsideration JOBS code, PROMISE JOBS will send an email to EBS. EBS needs to deny the application.

FIA signed prior to the FIP denial and the applicant has not yet completed hours of activity needed to end the LBP:

EBS will not re-refer the applicant to PROMISE JOBS during the grace period if the FIA was signed before the application was denied. The FIA will be reinstated if the applicant corrects the reason for the denial, takes all other necessary action within the grace period, and EBS determines eligibility exists.

EBS will determine if it is reasonable for the applicant to cure the reason for denial and complete the remaining hours of activity within the 14-day period. EBS may contact PROMISE JOBS for help with this determination:

- If EBS determines it is not reasonable for the applicant to complete all needed action by the end of the 14-day period, EBS will tell the applicant to reapply.
- If EBS determines it is reasonable for the applicant to complete all needed action within the 14-day period, EBS will send PROMISE JOBS an email that explains that the application is being reconsidered and gives PROMISE JOBS the last day of the grace period.

PROMISE JOBS will notify EBS of the applicant's status as follows:

- If the applicant signs an FIA and completes the required activity, PROMISE JOBS will make entry in PJCase to stop the LBP. PJCase will send email to EBS. EBS will redetermine FIP eligibility.
- If the applicant abandoned their reconsideration, PROMISE JOBS will send EBS an email. EBS needs to deny the application.

Remember: The grace period does not apply when the application was denied for failure to sign an FIA or for failure to complete the required hours of activity needed to end a subsequent LBP.

1. Ms. C chose a subsequent LBP with a six-month period of ineligibility that ended March 31. Ms. C reapplies for FIP on May 1. On May 4, EBS 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 authorizing a transportation payment and child care if needed for the 20 hours of activity. On May 15, EBS 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. EBS 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 EBS to reconsider the application. EBS also informs PROMISE JOBS via e-mail that the May 1 application is being reconsidered and that Ms. C needs to complete her 20 hours of PROMISE JOBS activity by May 30 or the application will be denied. EBS does not re-pond FIP. PROMISE JOBS resumes case management.

- If Ms. C completes her 20 hours of activity, PROMISE JOBS will stop the LBP in PJCase, which sends an email to EBS. EBS will redetermine FIP eligibility.
 - If Ms. C does not complete her 20 hours of activity, PROMISE JOBS will notify EBS via email that the applicant abandoned their reconsideration. EBS will issue an NOD saying that the application remains denied due to the LBP.
2. Ms. D chose a subsequent LBP with a six-month period of ineligibility that ended May 31. Ms. D reapplies for FIP on June 7. On June 9, EBS refers Ms. D to PROMISE JOBS and schedules an FIA appointment for June 14 and requests that Ms. D 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.

Referring Hardship Exemption Families

Legal reference: 441 IAC 41.24(239B), 41.30(3)"g", 93.3(239B)

Policy: Families that are subject to the 60-month FIP limit may receive FIP beyond that limit only if they request and are determined eligible for a hardship exemption and meet all other FIP requirements.

The hardship determination is a one or two-step process:

- The EBS is responsible for determining whether the family has a hardship condition that affects its ability to be self-supporting.
- For FIA-responsible "adults", PROMISE JOBS is responsible for determining how the hardship issues will be addressed in the six-month FIA.

An "adult" is:

- A parent in the home with the child, even if excluded from the FIP grant.
- The parent's spouse in the home with the parent and child, whether or not the stepparent is included in the grant.
- A needy non-parental specified relative included in the FIP grant with the child.
- A minor parent in the home who is payee for the minor's own FIP case, even if the parent is excluded from the grant.

A family:

- Without an FIA-responsible person has to meet step 1.
- With an FIA-responsible person has to meet both steps before the exemption request can be granted.

A hardship exemption is limited to six consecutive calendar months. Families may request and be granted more than one hardship exemption period if they otherwise qualify for the exemption and meet FIP eligibility requirements. A new FIA and a new hardship exemption determination are required for each subsequent hardship exemption period.

The family is required to develop and sign a six-month FIA **before** FIP can be approved. Therefore, failure to develop and sign an FIA results in denial of the family's hardship exemption request and the FIP application if applicable rather than imposition of an LBP.

Procedure: If the EBS determines the family meets hardship criteria, the EBS refers the FIA-responsible adults of the family by following the procedures described in [Referring Applicants](#) or [Referring Participants](#) within one working day. EBS will use the JOBS referral codes that identify hardship “applicants” and “participants” and whether the applicant is in an active LBP. In addition, the EBS will send the following to PROMISE JOBS:

- Form 470-3876, *Hardship Exemption Determination*, with Part A completed.
- A copy of form 470-3826 or 470-3826(S), *Request for FIP Beyond 60 Months*.
- Evidence to support the hardship determination.
- If the family has an active service case, the completed form 470-3884, *Hardship Exemption: Service Information*.

Families that are applying or approved for a hardship exemption must meet all other FIP requirements. Therefore, in addition to the adults in the home, other FIA-responsible persons in the home must sign a six-month FIA and participate in PROMISE JOBS activities; e.g., a minor parent who is a child on the adult’s FIP case, or a 16 to 18-year-old who is not in school.

If the family is applying for an FIA-responsible minor parent, the minor parent must sign a separate FIA as a condition of FIP eligibility for the minor parent and any child of the minor parent. EBS will refer the minor parent as described in [Referring Applicants](#). If EBS approves a hardship exemption for the adult and the remainder of the family:

- Include the minor parent and any child of the minor parent in the eligible group if the minor parent signs an FIA and is otherwise eligible.
- Deny FIP for the minor parent and any child of the minor parent if the minor parent does not sign an FIA.

If the family is applying for an FIA-responsible child who is not a parent, the child must sign a separate FIA as a condition of FIP eligibility. EBS will refer the child as described at [Referring Applicants](#). If EBS approves a hardship exemption for the adult and the remainder of the family:

- Include the minor parent and any child of the minor parent in the eligible group if the minor parent signs an FIA and is otherwise eligible.
- Deny FIP for the minor parent and any child of the minor parent if the minor parent does not sign an FIA.

If any of the FIA-responsible adults or other persons do not appear for the FIA appointment or fail to sign an FIA, PROMISE JOBS must report this through entry in the PJCase system. If the person is a FIP parent and the EBS pended the application in ABC, PJCase will deny the FIP application. Otherwise, the EBS must make entry in ABC to deny the FIP application. Refer to [Hardship Exemption](#) for more information.

Referring Persons Without a Social Security Number

Legal reference: 441 IAC 41.24(239B), 93.3(239B)

Policy: If a person does not have an SSN, the ABC system **will not** be able to transmit PROMISE JOBS referral information to IWD. , EBS must manually refer persons who don't have an SSN. This includes aliens who are not exempt whose SSN has been entered in ABC as 999-99-9999 pending application for or receipt of a number, such as:

- New alien arrivals
- Battered aliens
- Refugees

Procedure: To refer an FIA-responsible person who does not yet have an SSN, the EBS will follow the procedures described at [Referring Applicants](#) and [Referring Participants](#). However, PROMISE JOBS will not receive a systematic referral in the daily data file described at [Referring Persons to PROMISE JOBS](#).

The EBS will inform you if a person does not yet have an SSN by making a note in the Comments field of the PJCase Calendar Appointment screen when scheduling the FIA appointment. If needed, establish any additional procedures locally. This may consist of a phone call, an email, 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 as described at [Referring Applicants](#).
- For participants whose referral status has changed from exempt to FIA-responsible, send the referred person a copy of *FIA Referral for Mandatory Participants*, form 470-3105. Track the 10-day response due date as described at [Referring Participants](#).

Referring Persons With Disabilities

Legal reference: 441 IAC 41.24(239B), 93.3(239B)

Policy: Persons who claim a disability are subject to the same PROMISE JOBS and FIA requirements as other FIP applicants and participants unless exempt.

Procedure: EBS will refer persons who claim a disability to PROMISE JOBS in the same manner as for any other FIP applicant or participant, unless they are exempt due to receipt of Supplemental Security Income (SSI) benefits for their own disability or blindness. EBS will refer disabled persons who are not receiving SSI even when they claim that they are not able to participate with PROMISE JOBS.

When a person on FIP claims to be unable to engage in substantial activity due to a disability that is expected to last for 12 consecutive months or expected to result in death, the EBS will require the person to apply for and accept Social Security Disability (SSD) and SSI benefits. For more information, see 4-C, [Benefits From Other Sources](#).

The EBS will use local communication procedures to inform PROMISE JOBS when a referred person:

- Claims a disability, or
- Applies for SSD or SSI benefits.

PROMISE JOBS staff will help referred persons with a disability to develop an FIA that meets their individual needs and abilities. If a person claims a limitation due to a disability, ask the person to provide medical evidence of the limitation. PROMISE JOBS will consider the limitation and any other problems or barriers resulting from the disability when determining the person's level of participation. For information regarding PROMISE JOBS sharing disability information with EBS, see [Reporting Disability Information to EBS](#).

Who Is Exempt from PROMISE JOBS Participation

Legal reference: 441 IAC 41.24(2)(239B)

Policy: The following persons are exempt from PROMISE JOBS referral and participation:

- Child who is under the age of 16 and is not a parent.
- Supplemental Security Income (SSI) recipient
- Child aged 16 to 19, is not a parent, and attends school full-time
- Non-citizen who is not a qualified alien.

Procedure: The EBS will determine the referral status of each person applying for or receiving FIP and each parent living in the home of a child applying for or receiving FIP and document this in the case record. EBS will enter the referral status of each person in the ABC system.

HHS will not include data on persons coded as exempt in the daily data file sent to IWD each night unless the person was previously referred to PROMISE JOBS as FIA-responsible. See [Referring Persons to PROMISE JOBS](#) for more information on the daily data file.

The PJCase system sends form 470-2758, *Participation No Longer Required*, when a participant's referral status is changed from FIA-responsible to exempt.

The following sections explain the requirements under each exemption.

School Attendance Exemption

Policy: A person who is aged 16 to 19, is **not a** parent and is attending elementary or secondary school or the equivalent level of vocational or technical school on a full-time basis is exempt from PROMISE JOBS participation except when the person:

- Is receiving FIP; and
- Was referred to PROMISE JOBS and returned to school after signing an FIA that remains in effect.

Procedure: When determining exemption based on school attendance, EBS considers the child's school attendance to be 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. EBS accepts the school's statement and definition regarding full-time status. Participating in a correspondence school does not exempt a child from PROMISE JOBS.

EBS considers a child who is schooled at home as "enrolled in school" and exempt from PROMISE JOBS referral provided:

- The home schooling arrangement is certified by the school system. Obtain any needed verification of student or attendance status from the school system that certified the arrangement. A signed release from the parent or caretaker is needed (the same as required when a child is enrolled in a regular school setting, OR

- The parent states that the parent is home schooling the child and the parent considers the instruction to be “full-time” and the home schooling will lead to a diploma or certificate. A high school equivalency diploma or a certificate that is created by the parent is acceptable.

A child on FIP aged 16 to 19 who is referred to PROMISE JOBS remains obligated to a signed FIA as long as the person remains eligible for FIP, regardless of school attendance. EBS will not exempt a person aged 16 to 19 who has signed an FIA if the person returns to school.

FIP applicants aged 16 to 19 who are not parents and who have chosen an active LBP must take action to reconsider the LBP to become FIP eligible, regardless of their school attendance status. See [Referring Persons in a Limited Benefit Plan](#) and [Stopping a Limited Benefit Plan](#) for more information.

SSI Exemption

Policy: A person who is receiving Supplemental Security Income (SSI) benefits due to their own disability or blindness is exempt from PROMISE JOBS referral.

Procedure: EBS exempts SSI recipients from PROMISE JOBS referral.

EBS refers disabled persons who are not receiving SSI as described at [Referring Persons With Disabilities](#).

PROMISE JOBS will notify EBS when a referred person reports to PROMISE JOBS that they have a disability that is expected to last for more than 12 months or to result in death, following the procedures described at [Reporting Disability Information to EBS](#).

Alien Exemption

Policy: A person who is not a U.S. citizen or not a qualified alien is exempt from PROMISE JOBS referral and participation as the person is not eligible for PROMISE JOBS services.

Procedure: The EBS exempts from PROMISE JOBS referral persons who are not U.S. citizens and not a qualified alien as defined in [4-L, Alien Status](#).

Examples of immigration statuses held by aliens who are not qualified aliens and **not** eligible for PROMISE JOBS services include:

- Undocumented 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.

FIP Applicants

Legal reference: 441 IAC 41.24(239B) and 93.3(239B)

Policy: As a condition of eligibility to receive FIP, all FIA-responsible persons in the potentially eligible FIP household must sign a valid FIA before the EBS can approve the family's application for FIP.

Procedure: The default method for the FIA appointment is remote (phone or secure virtual). In-person appointments are used when a remote appointment is not feasible for the applicant.

Make every attempt to complete the orientation process, initial assessment, and obtain a signed FIA during the assigned appointment time to allow EBS to make a decision on the FIP application. If additional assessment or information is needed to finalize the FIA, write these needs into the FIA and obtain a signature. Renegotiate the FIA if needed once the additional assessment is complete or you receive the additional information.

If PROMISE JOBS is calling the applicant, do so at the scheduled start time. If the applicant doesn't answer and it's possible to leave a message, identify yourself, your phone number, and ask the applicant to call you back within five minutes. If you don't receive a call back, call them again 10 minutes from the scheduled start time. You may consider that the applicant has failed to attend the FIA appointment if you don't reach the applicant after two attempts.

If the applicant is calling PROMISE JOBS, you must be at your phone prior to the scheduled start time and remain at your phone for 15 minutes from the scheduled start time. You may consider that the applicant has failed to attend the FIA appointment if you don't receive a call within 15 minutes of the scheduled start time.

If the appointment is in-person, allow the applicant at least 15 minutes from the scheduled appointment start time to appear for the FIA appointment before considering that the applicant has failed to attend the appointment.

If the appointment is held, provide orientation, complete the initial assessment, and develop the FIA. Don't waive any requirements of orientation.

In rare instances when the appointment is held in-person, complete orientation and assessment, and have the applicant sign the FIA onsite.

After remote appointments, send the materials to the applicant for signature. Allow at least 10 calendar days to return. **FIA Delivery Options:**

- By Mail: Send orientation materials, a copy of the completed FIA, and form 470-3104, *Your FIA Rights and Responsibilities*, to the family for the applicant to sign and return.

Include a letter explaining what's needed, the date information is due and that the FIP application will be denied if all requested information is not returned. Enclose a self-addressed stamped envelope.

- Electronically, using a secure method, if the applicant is willing to provide an email address and agrees to receive the documents electronically. Attach orientation materials, a PDF of the FIA, and form 470-3104, *Your FIA Rights and Responsibilities*. Include the following instructions in the email:

I have attached your Family Investment Agreement (FIA) for the PROMISE JOBS program to this email. You must sign and return the FIA by _____ to get FIP assistance. You may sign the FIA by:

- Printing, signing, taking a photo of your signature, and sending a copy of the photo to your PROMISE JOBS worker via email; OR
- Typing your first and last name following your answers to the following questions.

You must **copy and answer** the following questions in a return email.

1. Have you reviewed the contents of the FIA attached to this email?
2. Do you understand that by electronically sending a photo of your signature or typing your first and last name at the end of your return email, you are indicating you approve of and agree with the FIA as of the date of your return email?

See [Orientation](#) for information on the contents and requirements of orientation.

When the applicant signs an FIA, make entries in PJCase and the IowaWORKS system within one working day of the applicant's FIA appointment or receipt of a signed FIA and *Your FIA Rights and Responsibilities*.

Processing of the PJCase entry:

- Sends an email to the EBS, alerting them 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 pended, or to the "unknown" status code, if FIP is not pended. The EBS will update the "unknown" code to a valid "participant" code if FIP is approved.

When the applicant does not appear for the FIA appointment or does not sign an FIA, make entries in PJCase as soon as you determine that the applicant is not complying. Processing of the PJCase entry:

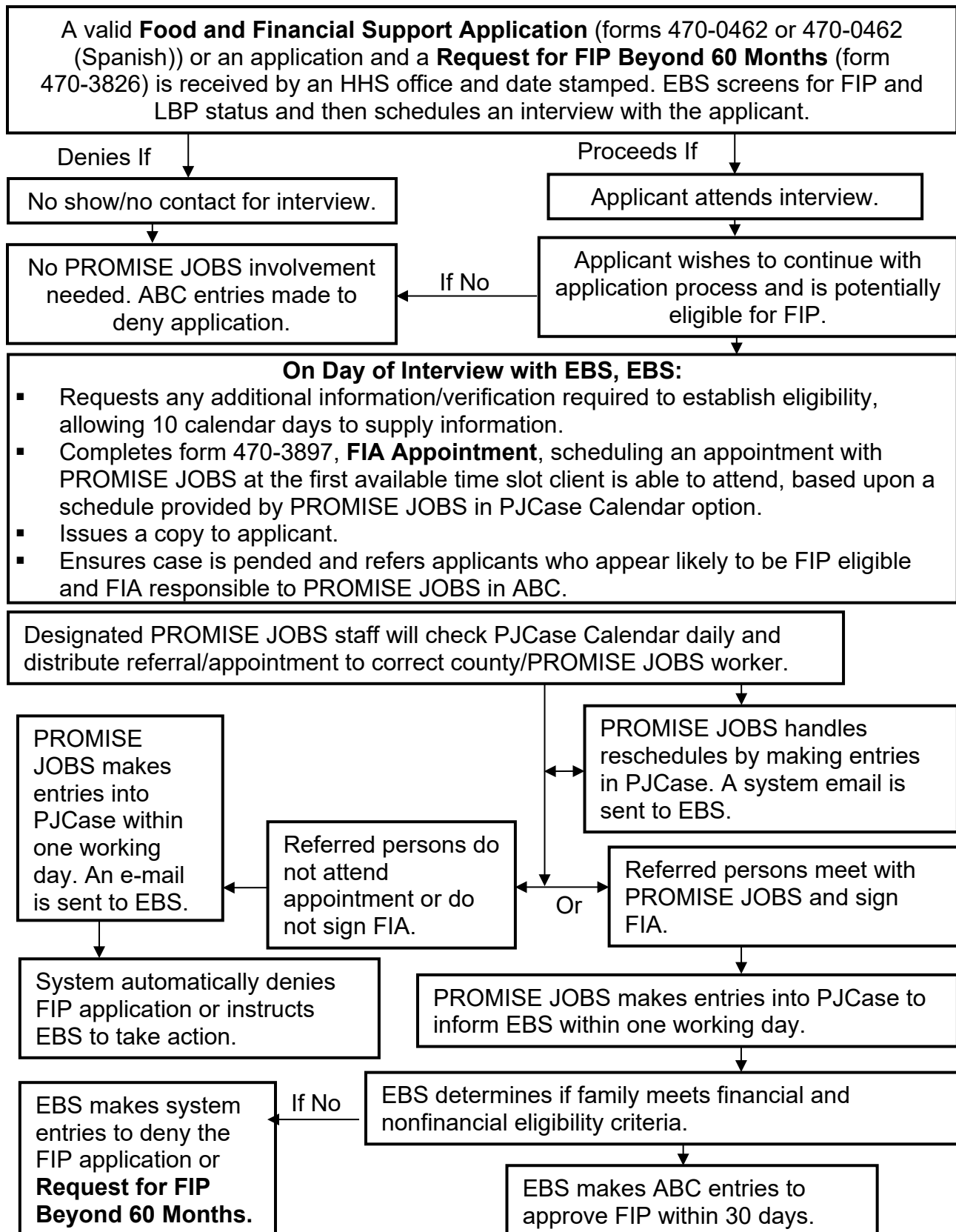
- Denies the application in ABC and sends a *Notice of Decision* to the family when the person is a FIP parent. Otherwise, the EBS must make entry in ABC to deny the FIP application and to send the notice.
- Sends an email to the EBS. The email tells them if the system denied the application, or if they need to make entry in ABC to deny the application.
- Changes the person's "applicant" JOBS code to the "unknown" code.

If the applicant contacts you before the end of the workday that you make the PJCase entries, reschedule the FIA appointment. Make every effort to reschedule the appointment within ten calendar days from the date of the EBS referral. Make entries in PJCase to refresh your previous entry that an FIA was not signed. The PJCase entry sends an email to the EBS alerting them that the appointment has been rescheduled.

See [14-O, Pre-FIP Entries: Applicant Did Not Choose LBP](#) for PJCase entry instructions when the applicant is not in an LBP, or [14-O, Pre-FIP Entries: Applicant Chose LBP](#) when the applicant is in an active LBP.

The following flow chart illustrates the Pre-FIP procedures from referral through approval or denial of the FIP application:

Pre-FIP FIA Process



- Educational opportunities:
 - High School Completion
 - High School Equivalency
 - Adult Basic Education (ABE)
 - English as a Second Language (ESL)
 - Postsecondary education, including vocational and apprenticeship training
- Job readiness and job search activities:
 - Job readiness skills training
 - Individual and structured job search
 - Mental health, substance abuse, and other rehabilitative treatment.
- Work activities:
 - Monitored employment, including full or part-time, subsidized, and self-employment.
 - Work experience
 - Unpaid community service.
 - On-the-job training opportunities through other agencies
- Parenting skills training
- Family development
- Child care assistance
- Transportation assistance
- Explain the family violence option. Issue brochures or information available through your local domestic violence project.
- Inform of the availability of family planning counseling services in the area and the financial implications of newly born children on the participant's family.
- Review the LBP and clearly explain when and how a participant is considered to be choosing the LBP. Explain the consequences of choosing a **first** and a **subsequent** LBP. Provide the applicant with a copy of Comm. 170, *Understanding the Limited Benefit Plan*.
- The advantages of employment under FIP, including the earned income tax credit (EITC).
- The 60-month limit on FIP assistance.
- The Child Care Assistance (CCA) program availability when FIP ends.

- Review the rights and responsibilities under PROMISE JOBS and the FIA as stated on form 470-3104, *Your FIA Rights and Responsibilities*. Give orientation 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* and ask the referred person to sign the form. The referred person's signature on this form acknowledges that the referred person has received a full explanation of their rights and responsibilities under the PROMISE JOBS and the FIA.

Meet individually with each referred person to complete assessment and develop the FIA. FIA development occurs immediately after the orientation session and during the scheduled appointment time, using the information from form 470-0806, *PROMISE JOBS Stepping Stones to Family Success*.

EXCEPTION: If the customer's case file contains a previously completed *Stepping Stones* and you and the applicant have agreed that an existing FIA can be reinstated, completing an additional *Stepping Stones* may be unnecessary.

Discuss with each applicant or family (if appropriate when two parents or children who are FIA-responsible PROMISE JOBS applicants are involved) their current situation to determine readiness to participate, establish expenses and a payment schedule, and discuss child care needs.

Document clearly when orientation services are provided and the FIA is completed.

See [Beginning PROMISE JOBS Participation](#), [Initial Assessment](#), and [Family Investment Agreement](#) for more information.

Arranging for Services

Legal reference: 441 IAC 93.11(239B)

Policy: PROMISE JOBS case managers are responsible for providing or helping applicants and participants arrange for employment-oriented services that are needed to support the referred person's successful participation in FIA activities. This includes persons wanting to reconsider an LBP. These services include:

- Assessment.
- Case management.
- Transportation.
- Child care.
- Referral for medical examination.
- Supportive services under FaDSS or family development available through other sources.

Procedure: Provide or arrange for services needed to ensure that participants can successfully carry out the activities of the FIA. Needs may be determined or revealed during:

- Assessment,
- Development of the FIA,
- Development of the six-month hardship exemption FIA, or
- Participation in FIA activities.

Participation in PROMISE JOBS is intended to support the family's plan 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 the family's goals (entry to employment, overcoming barriers, etc.). Goals can be met only through successful participation by participants.

Self-Initiated Training

Legal reference: 441 IAC 93.8(239B)

Policy: Referred persons in self-initiated postsecondary training may use the training as their FIA activity when:

- An educational evaluation demonstrates the participant is likely to succeed in the training program and,
- The training program meets all the criteria for approvable training as described at [Postsecondary Education and Training](#).

Procedure: Consider a referred person's postsecondary training to be self-initiated when the participant **attended at least one day** of training before participating in PROMISE JOBS orientation.

When participants are in self-initiated postsecondary training at the time of PROMISE JOBS orientation, write the FIA to include an educational evaluation. Request any information needed to determine if the training meets the criteria for approvable training.

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

Consult with your team lead, supervisor, or IWD QA staff to help you arrive at a decision to approve or deny a request for postsecondary training based on the results of the assessment process.

EXCEPTION: Completion of a new Stepping Stones form is not necessary when the referred person's case file contains a previously completed form and you and the person agree that circumstances have not changed and an existing **FIA** can be reinstated.

The form can be filled out in person, by phone or virtually. Customers have the option to complete the form themselves, or you can assist them by reviewing the fields on the fillable Stepping Stones form and entering their responses. Regardless of the method, ensure that the customer's name is included, the form is dated, and all fields are completed.

For confidentiality and security reasons, do not email the Stepping Stones tool to a customer to be completed and returned to you electronically. Do not ask a customer to email the completed form to you.

At a minimum, review and evaluate, the following family circumstances:

- Family profile and goals
- Work history and employment goals
- Educational background and goals
- Financial situation
- Transportation use and need
- Child care use and need
- Housing situation
- Health issues and health care needs
- Legal concerns
- Assistance received, or needed, from other support agencies
- Discuss family size and wishes regarding referral to family planning counseling in the area
- Potential barriers to attaining the family's goals which may require referral to organizations other than PROMISE JOBS for services

Use the information gathered from review of the Stepping Stones tool and discussion with the referred person as a basis to identify:

- The person's goals for their family and the person's readiness to meet these goals,
- Any needed supports,
- Any barriers to meeting the goals, and
- The appropriate activities to be included in the FIA.

Document in the case file any circumstances or observations used as a basis for decisions that are not illustrated on the Stepping Stones tool or in the FIA. Document any situation or issue identified during assessment that could interfere with the person's participation in PROMISE JOBS activities.

Complete an initial assessment for each FIA-responsible person in the family prior to developing the FIA.

If you determine during the initial assessment that the referred person needs additional assessment, include the additional assessment as an action step in the FIA. Write the FIA without the additional assessment information to allow EBS to make the FIP decision. Include the additional assessment as the first step in the FIA. See [Additional Assessment](#) for more information.

If during the initial assessment, you determine that the referred person is receiving supports or services from another agency, you may supplement or substitute your assessment information with comparable assessment information from the other agency with the permission of the referred person. Write the initial FIA without the assessment information to allow EBS to make the FIP decision. Request in writing that the referred person provide the additional assessment information to you or ask the person to sign a release to allow you to obtain the information from the other agency. When the referred person will provide the additional information, include providing the information as the first step in the FIA. See [Supplementing or Substituting Assessment](#) for more information. See [Confidentiality](#) for information on obtaining a release.

Proceed to develop the FIA based on the results of the initial assessment. See [Family Investment Agreement](#) for information on developing the FIA.

Register the FIA-responsible person with IWD as a job seeker when you determine through assessment that employment registration is appropriate.

Additional Assessment

Legal reference: 441 IAC 93.5(2); 93.5(3)

Policy: PROMISE JOBS may determine a need for additional assessment during the initial assessment or at any point in the FIA process as the referred person is working towards their FIA goals. Additional assessment may be needed when a participant experiences a change in circumstances that will require the FIA and/or the FIA steps to be amended to accommodate the new circumstances.

Additional assessments may include, but are not limited to, literacy and aptitude testing, education level and basic skills assessment, evaluation of job interests or skills, and occupation-specific assessment or testing.

Require the participant to provide written documentation to verify actual hours of participation in assessment activities not administered and supervised by PROMISE JOBS.

When actual hours of participation are verified, enter actual hours of participation in the IowaWORKS system.

See [Required Verification and Documentation](#) for more information.

Failure to Participate in Assessment Activities

Legal reference: 441 IAC 93.5(9)

Policy: When an assessment activity is written in the FIA, participants who do not appear for or complete a scheduled assessment or who do not provide assessment information after PROMISE JOBS provides one written reminder are considered to have chosen a limited benefit plan (LBP) unless the participant has good cause for the failure.

Procedure: Consider that a participant has chosen an LBP when the FIA includes an assessment activity and the participant does not appear for or complete a scheduled assessment or does not provide assessment information after PROMISE JOBS provides one written reminder unless the participant has good cause.

Follow the policies and procedures described at [Written Notice to Participant](#), [FIA Participation Issues](#), and [Limited Benefit Plan \(LBP\)](#).

Domestic Violence Referral

Legal Reference: 441 IAC 93.4(5)

Policy: PROMISE JOBS must screen applicants and participants for the existence of domestic violence and the need for appropriate referrals and for a communication plan as described at [Family Violence Option](#).

Procedure: To be prepared to make domestic violence referrals:

- Have the local domestic violence provider contact information available. Find more information about local programs at: <https://www.icadv.org/iowa-victim-service-programs> Have information about local domestic violence services available.
- Post information about domestic violence throughout the office and have information readily available for all referred persons. Providing the survivor with information and the opportunity to make their own decisions is the best method of intervention. Always treat the person non-judgmentally and with respect.
- Do not call law enforcement unless the survivor specifically asks you to, or the perpetrator is on the scene and behaving in a threatening manner.

“Full-time” is defined as an average of at least 30 hours per week. Participation at a level that is less than full-time is appropriate when specific family needs, problems, or barriers prevent this level of involvement.

- PROMISE JOBS expectations, including FIA-responsible person’s responsibility to provide verification of hours of participation, the method of verification and the time frames for providing the verification.
- Any identified barriers to participation and a plan to resolve the barrier, appropriate referrals, and supportive services necessary to manage or eliminate the barriers.
- Any needs of the referred person, such as child care or transportation, and the specific supports and services to be provided by PROMISE JOBS.
- The date that the family expects to reach their goals and become self-sufficient and no longer in need of FIP.
- The eventual goal of the FIA which must be employment leading to economic self-sufficiency.
- The referred person’s response to the option of a referral for family planning counseling as described at Family Planning Counseling as an FIA Option.

An FIA-responsible person must have a valid FIA. A valid FIA is current and not past the self-sufficiency date specified on form 470-3095 and is signed by:

- The FIA-responsible person(s)
- The PROMISE JOBS worker
- The PROMISE JOBS supervisor

Do not wait until an FIA expires to renegotiate and amend the agreement. **EXCEPTION:** A FIP recipient who loses exempt status will not possess a valid FIA from the time of referral through:

- The process of writing and signing an FIA; or
- The imposition of an LBP for failure to write and sign an FIA.

Procedure: To meet FIA requirements:

- Develop an FIA during the orientation and the initial assessment process through discussion between the referred person and PROMISE JOBS.
- Use forms 470-3095, *Family Investment Agreement* and 470-3096, *FIA Steps to Achieve Self-Sufficiency*.
- See [Six-Month Family Investment Agreement](#) for FIA policies specific to families that have been granted a hardship exemption.

- Provide factual, objective assistance about the basics of family planning. Do not offer personal advice. Be sure the referred person clearly understands that there is no PROMISE JOBS or FIA requirement to accept a referral for family planning counseling services.
- Always remind the referred person that family planning counseling services may be available from doctors, hospitals, or other sources, as well as family planning clinics.
- After this discussion, record the person's response to whether or not they would like information for a referral for family planning counseling on form 470-3096, *FIA Steps to Achieve Self-Sufficiency*.

For those who accept a referral, assist the participant in locating local resources available for family planning counseling. You may use the list of Title X family planning services available on the HHS website or another listing of resources that is more appropriate to the participant's area.

Include family planning counseling as a step in the FIA if this is what the referred person wants. The referred person is not required to:

- Indicate a specific provider (but may do so).
- Report the actual start and end dates of the counseling services.

Indicate that the referred person has included family planning counseling services as a step in the FIA in IowaWORKS. Enter "0" for hours.

FIA Options for FIA-Responsible Persons Aged 19 and Younger

Legal reference: 441 IAC 93.4(4) and 41.24(3)"a" and "b"

Policy:

FIA-responsible child aged 16 through 18:

An FIA-responsible child who is under age 18 at the time the FIA is written and **not a parent** and who has not completed high school shall be strongly encouraged to participate in educational activities to obtain a high school diploma or the equivalent as their FIA activity. If high school or the equivalent is not included in the FIA, the FIA-responsible person must select other PROMISE JOBS work and training activities.

An 18-year-old FIA-responsible child who is not a parent and who was referred when under the age of 18 for not attending high school or the equivalent and who signed an FIA must be participating in high school completion activities or the equivalent to remain eligible for FIP. See [4-C, Age](#).

Emphasize that a high school education is recognized as important to achieving self-sufficiency.

- Give the child information regarding the potential earnings of a person with a high school education compared to the earnings of those who do not so that the person is able to make an informed choice.
- If high school attendance or high school equivalency completion is not included in the child's FIA, require the child to select other work and training activities.

FIA-responsible persons who do not attend educational activities to obtain a high school diploma or the equivalent as stated in their FIA are considered to have chosen an LBP unless problems or barriers are preventing their participation. Policies at [Written Notice to Participant](#), [FIA Participation Issues](#), and [Limited Benefit Plan \(LBP\)](#) apply.

See [Basic Education Services](#), [High School Completion and High School Equivalency Diploma](#) for more information.

Family development services for minor parents (under age 18):

Require minor parents who are under age 18 and **not married** to participate in FaDSS or other family development as an FIA activity if they are not living with their parent or legal guardian.

For minor parents, always use FaDSS as the provider of family development services when the FaDSS grantee in your area has slots. Use other family development service providers in your area when FaDSS has no available slots. To determine whether the minor parent is living with their parent or legal guardian, check the parent's "Minor Parent Code" in the FET option in the WISE system. FET will display the "minor" code entered by the EBS in the ABC system to show the living circumstances of the minor parent.

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 non-parental caretaker |

If you have questions about the circumstances of any parent under age 18, contact the EBS.

Other Family Development Services

Legal reference: 441 IAC 93.9(2); 93.4(4)

Policy: Family development services may be appropriate as an FIA activity and are defined as follows:

- Family development services are support services for PROMISE JOBS families who may need more support to gain self-sufficiency.
- Family development services are designed to promote, empower, and nurture the family to self-sufficiency and healthy reintegration into the community.
- Family development services are available through the FaDSS program and through other agencies. Family development services through other agencies may be used when the area FaDSS grantee is not accepting new referrals. See [Family Development and Self-Sufficiency Program \(FaDSS\)](#) for more information regarding FaDSS.

Procedure: Review the risk indicators in light of evidence that the participant is experiencing or anticipating barriers to participation in the FIA 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 activities 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 FIA process or at any time during the period of the FIA when it becomes apparent that family problems are a barrier to participation.

When you determine that family development services are appropriate as an FIA activity for a participant's family and not available through FaDSS, refer the participant to an agency that has family development services provided by a specialist certified through the National Resource Center on Family-Based Services at the University of Iowa College of Social Work or the National Family Support Certification Exam through the Institute for the Advancement of Family Support Professionals.

Once a participant is taken off a waiting list for a PROMISE JOBS component or supportive service or payment and placed in a slot, the participant retains the slot even though assigned to another activity prior to assignment to the limited component or service.

FIA Contents

Legal reference: 441 IAC 93.4(239B)

Policy: The FIA shall include the goals of the family for achieving self-sufficiency and shall establish a time frame with a specific ending date, during which the family expects to become self-sufficient and after which FIP benefits will end. For individuals and families with acknowledged barriers, one or more incremental FIAs may be written.

Procedure:

In the FIA:

- Clearly establish interim goals necessary to reach the long-term goals of the family for achieving self-sufficiency.
- Include the FIA options that the FIA-responsible person chooses to reach their long-term goals, within the limits of PROMISE JOBS rules regarding each specific component.
- Establish a targeted start date and targeted end date for each activity. For FIP applicants, use a date that is no sooner than 30 days from the date the applicant filed their application for FIP benefits **unless** the applicant is already participating in the activity, i.e. employment or classroom training. When you receive e-mail notification that EBS has approved FIP, send a *Notice of Appointment or Participation*, form 470-0813 for the first activity. See [Required Activity to End a Subsequent Limited Benefit Plan](#), for the exception.

Identify barriers to participation and include the FIA-responsible person'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.
- Include the FIA-responsible person's responsibility to provide verification of hours of participation and when the verification is due to PROMISE JOBS.
- Record the FIA-responsible person's response to the option of referral for family planning counseling as described at subrule 93.9(3).
- Avoid using abbreviations and acronyms. Acceptable acronyms include HHS, FIP, FIA, PJ, HSED, and abbreviations of local colleges.

- How to contact and communicate with the survivor safely.
- How the survivor 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.

FIA Activities for Convicted Drug Felons

Legal reference: Code of Iowa 239B.5(b), 441 IAC 93.4(4)

Policy: An FIA-responsible person who is a convicted drug felon must participate in drug rehabilitation activities to verify that the person does not illegally possess, use or distribute a controlled substance except when:

- The person successfully completed any applicable drug rehabilitation and court-ordered probation or parole resulting from the drug felony conviction, or
- The person is currently on probation or parole and successfully completed all drug rehabilitation requirements resulting from the drug felony conviction (whether court ordered or required due to probation or parole).

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.

Procedure:

Consider 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 convicted drug felon.

EXAMPLE:

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.

Require an FIA-responsible person who is a convicted drug felon to participate in drug rehabilitation activities to verify that the person does not illegally possess, use or distribute a controlled substance except when:

- The person successfully completed any applicable drug rehabilitation and court-ordered probation or parole resulting from the drug felony conviction, or

Ensure that the activities of the FIA 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 FIA-responsible persons can authorize an exchange of pertinent information in such situations.

During orientation or initial assessment, be sure that FIA-responsible persons 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 FIA.

This information exchange can include, for example, assessment information as described at [Initial Assessment](#) and [Supplementing or Substituting Assessment](#), 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 EBS or FaDSS that is necessary to provide services to the participant family.

Renegotiation and Amendment of the FIA

Legal reference: 441 IAC 93.4(8)

Policy: The FIA must be renegotiated to include a new plan for self-sufficiency when:

- The participant has participated satisfactorily in the current FIA activities but is not self-sufficient by the FIA end date.
- The participant demonstrates effort in carrying out the steps of the FIA but is unable to participate satisfactorily in the current FIA activities due to problems or barriers to participation.
- The participant's circumstances change to such an extent that the current FIA activities are no longer appropriate.

A participant who chooses not to cooperate in the renegotiation process after receiving a written reminder of the need to renegotiate the FIA is considered to have chosen the LBP unless the participant has an acceptable reason for not cooperating as described at [Problems With Participation](#) or [Barriers to Participation](#).

FIA and Grace Period Following Denial of a FIP Application

Legal reference: 441 IAC 40.23(4)

Policy: When EBS denies a FIP application for failure to provide requested information or for failure to attend the FIP application interview, EBS will allow the applicant a 14 calendar day “grace period” to correct the reason for denial. EBS will reconsider FIP eligibility without a new application if the applicant corrects the reason for denial and takes all action to establish eligibility within 14 days of the date on the Notice of Decision denying the application. This includes:

- Providing all necessary information to establish eligibility, including verification of any changes,
- Signing the required FIA if one has not yet been signed.

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.

Procedure: If an FIA was signed before the FIP denial and the person is not reconsidering a subsequent LBP, EBS approves FIP as the FIA-responsible person corrects the denial within the grace period, EBS will not re-refer the applicant to PROMISE JOBS during the grace period. Reinstate the existing FIA.

If an FIA was not signed prior to the FIP denial and there is no FIA appointment available within the grace period, EBS will inform the family that they need to file a new FIP application.

Refer to [Referring Persons During FIP Grace Period](#) for procedures for the following situations:

- An FIA was not signed before the FIP denial, there is an FIA appointment available within the grace period and the applicant does not need to reconsider a subsequent LBP.
- An FIA was signed prior to the FIP denial and the applicant needs to reconsider a subsequent LBP.
- An FIA was not signed before the FIP denial and the applicant needs to reconsider a subsequent LBP.

“Grace period”:

FIP will be reinstated without a new application if the FIA-responsible person provides all information necessary to establish eligibility, including verification of any changes, 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,
- Failure to meet residency requirements (mail is returned to HHS).

If the FIA-responsible person does not provide all of the information needed by the 14th day after the effective date of cancellation, EBS will take no further action. The family will need to reapply to regain FIP eligibility.

Procedure: When FIP is reinstated without an application, reinstate the FIA that was signed in the prior FIP eligibility period. Reinstated the FIA 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.

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 10 calendar days from the day the *Notice* is mailed.

When EBS 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. See [Referring Participants](#) for more information.

The PJCase system will send IWD notification of FIP cancellations and reinstatements in the nightly referral file.

For cancellations for failure to return a complete RRED, PJCase delays sending notification to IWD until the day after the effective day of cancellation when FIP has not been reinstated by then.

Break in Assistance of One Month or Less

Legal reference: 441 IAC 93.4(9)

Policy: When an FIA-responsible person reapplies for FIP following a break in assistance of one month or less, an FIA that was signed prior to the FIP cancellation may be reinstated if the FIA is valid and meets the family's current circumstances.

Procedure: When a break in FIP assistance is one month or less, and a valid FIA exists, reinstate the contents of the existing FIA. Resume case management at the point it was discontinued before the break in assistance occurred. Renegotiate and amend the reinstated FIA only if needed to accommodate changed family circumstances.

EBS schedule all FIP applicants with an FIA appointment as EBS is unable to determine if the FIA continues to meet the family's circumstances.

When a valid FIA exists that meets the family's current circumstances, notify the EBS that EBS can proceed with application processing by making entry in PJCase that an FIA was signed within one working day of receiving the referral. No interview is required because a valid FIA exists. At the same time, attempt to call the applicant to explain that you are reinstating the existing FIA and the participant does not need to attend the FIA appointment. Reinstate the existing FIA by sending the participant form 470-3300, *Your Family Investment Agreement Reminder*, along with a copy of the existing FIA. This form reminds the participant of the FIA obligation and offers the opportunity to renegotiate and amend the reinstated FIA.

The participant and PROMISE JOBS do not need to re-sign a reinstated FIA when the FIA does not change.

When the existing FIA cannot be reinstated or the applicant did not have a signed FIA prior to FIP cancellation, follow the procedures at [Service Upon Referral](#).

Hours of attendance in job readiness activities and the actual time spent making job search contacts must be documented and verified by either the PROMISE JOBS case manager, the participant, or the agency providing the job readiness training. The responsibility of providing hours of attendance in job readiness and the actual time spent making job search contacts is based on the activity and whether the service is provided by PROMISE JOBS or a non-PROMISE JOBS service provider. PROMISE JOBS must also report actual hours of participation that have been documented and verified in job search and job readiness activities through entry in the IowaWORKS system.

The following sections give more information regarding each job readiness and job search option, including available supportive payments:

- [Job Readiness Skills Training](#)
- [Structured Job Search](#)
- [Individual Job Search](#)
- [Unplanned Job Opportunities](#)
- [Rehabilitation Activities: Mental Health, Substance Abuse, and Other Rehabilitative Treatment.](#)

Job Readiness Skills Training

Legal reference: 441 IAC 93.6(1)

Policy: Job readiness skills training prepares participants to search for work and may consist of:

- Interest and skills assessment.
- Self-esteem building and motivational exercises.
- Identifying and eliminating employment barriers,
- Resume development,
- Completing job applications and follow-up letters.
- Obtaining interviews and communication skills.
- Interviewing skills development and exercises.
- Goal attainment planning
- Soft skills/life skills
- Job market trends
- Self-marketing and positive attitude building
- Job retention skills

PROMISE JOBS provider agencies must offer and provide job readiness skills training to PROMISE JOBS participants.

Job readiness skills training may be combined with structured job search activities. See [Structured Job Search](#) for more information.

Procedure: Use PJCase system to issue transportation supportive payments to a participant before the start of job readiness skills training. **EXCEPTION:** Contact IWD QA staff for instructions on how to proceed with participants who are not in PJCase due to not having an SSN.

Approve CCA before the start of the job readiness skills training. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

For job readiness skills training participants who are required to repeat or make up a portion of schedule day due to absence, take the following actions:

- Authorize an additional transportation payment for any portion of job readiness skills training that the participant is required to repeat or make up due to an excused absence as described at [Problems With Participation](#) when the participant will have transportation costs that exceed the participant's original payment.
- Do not authorize additional transportation payments for any portion of job readiness skills training the participant is required to repeat or make up because of absence for reasons other than those that are described at [Problems With Participation](#).
- Authorize CCA for any portion of job readiness skills training the participant is required to repeat or make up due to an absence.

See [Supportive Payments: Transportation](#) and [Child Care Assistance](#) for more information on authorizing transportation and CCA.

Structured Job Search

Legal reference: 441 IAC 93.6(4)

Policy: Structured job search is designed with scheduled activities and required hours of participation to reflect proven job-search techniques and the employment environment of the PROMISE JOBS service area.

Participants in structured job search appear daily at the PROMISE JOBS site to access resources for job leads. A PROMISE JOBS case manager is available to monitor the participant's progress in their job search and to provide assistance and support.

Structured job search provides up to 30 hours of scheduled activity per week and cannot exceed 30 hours per week.

Consider each participant's individual situation and the amount of time and travel that will be needed for each job contact while assisting the participant with development of a job search plan. Require no more than 30 hours per week in structured job search. The 30 hours includes the time spent meeting at the PROMISE JOBS site.

Participants with problems or barriers to participation shall be expected to participate fewer hours to reach a level that is within their limitations.

Provide participants with all possible job lead resources, including access to IWD resource centers, phone books, daily newspapers, job listings that employers may provide to IWD, and any other available resources. As part of your structured job search design, you may require participants to contact employers by phone or email to schedule employment interviews.

Allow participants sufficient time away from the PROMISE JOBS site to complete in-person employment applications and participate in employment interviews. Encourage participants to inform other structured job search participants of potential job leads.

Use form 470-3099, *Job Search Activity Log*, if needed to document job search contacts away from the PROMISE JOBS site, such as actual time spent finding job openings, making job contacts, and travel time from one job site to another. Assist the participant with completion of the record when needed.

If the participant is not scheduled to report back to the site for structured job search after completing job search activities away from the site, allow the participant **at least ten calendar days** from the last day of scheduled structured job search to provide the completed *Job Search Activity Log*.

Review the completed *Job Search Activity Log* and other documentation provided by the participant regularly. Consider the *Job Search Activity Log* to be complete if the participant has completed the following information:

- 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.

See [Required Verification and Documentation](#) for additional policies that apply.

Require structured job search participants to attend additional days of structured job search to make up absences that occur during the job search period.

A participant may include individual job search in the FIA for up to 12 weeks or three calendar months. If after three consecutive months of individual job search, the participant still has not found employment, the case manager must review the 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.

A written job search plan is required for individual job search.

Procedure: Include individual job search in the FIA when you and the participant determine the option is appropriate. Renegotiate the FIA if needed. Follow the policies as described at [Written Notice to Participant](#) when scheduling a participant to renegotiate the FIA to include individual job search.

Encourage participants with individual job search in their FIA to participate in job readiness activities in addition to job search activities, such as but not limited to: attending lunch and learn sessions, working with IWD or FaDSS to improve interviewing skills, update their resume, locating job leads and conducting employment research, assessment for employability, soft skills development, helping the participant with conducting an on-line job search, identifying job accommodations, resume development, improving the participant's job search skills, coaching on networking, addressing criminal backgrounds, discussing appropriate work behaviors, grooming and work attire, budgeting, and self-esteem building.

Help the participant to develop a written individual job search plan on form 470-4481, *Job Search Plan Agreement* to make expectations clear to the participant. Be sure participants understand their responsibilities for individual job search by including the following in the plan:

- An explanation of the requirement to participate in job search activities and to complete and provide form 470-3099, *Job Search Activity Log* and any supporting documentation.
- Specify the job search period and the required number of hours for each week in the period, and the due date(s) for completing and providing the completed *Job Search Activity Log* for each week of the designated period.
- Specific methods for finding job openings and the types of job or employers to be focused upon.
- An explanation that failure to follow the job search plan may result in an LBP.
- Information to allow the accurate issuance of child care and transportation payments or to show that either of these supports is not needed.

The plan must be for a period of no more than five (5) weeks ending on Friday and falling within the same **calendar** month. Do not develop a job search plan that includes two weeks ending in a Friday that occur in different calendar months.

1. 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.

2. May has 5 Fridays: May 1, 8, 15, 22, and 29.

A job search plan for this month of May can 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.

Include individual job search in the FIA for a period that does not exceed 12 weeks or three calendar months. If after three consecutive months of individual job search, the participant still has not found employment, review the 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. Renegotiate the FIA if needed.

Require participants to use form 470-3099, *Job Search Activity Log*, to document actual time spent on job contacts as well as search activities, such as actual time spent researching area employment possibilities, finding specific job openings, and travel time from one job site to another job site. Participants who participate in job readiness activities, in addition to time in activities that are directly related to finding a job, need to report actual time spent in job readiness activities on the *Job Search Activity Log* form.

Participants must provide a complete *Job Search Activity Log* by the 10th calendar day following the end of the month during which the participant completed job searches. You and the participant may agree to a shorter period for providing the *Job Search Activity Log*. For example, you and the participant may agree for the *Job Search Activity Log* to be due in the week following a week during which the participant completed job searches. However, if the participant fails and the participant was not allowed until the 10th calendar day following the end of the month during which the participant completed job searches to provide the *Job Search Activity Log*, the failure to provide verification does not count towards the choice of an LBP.

You may also choose to use form 470-4481, *Job Search Plan Agreement* to schedule an appointment at the end of a week of job search to give you and the participant an opportunity to discuss the *Job Search Activity Log*, to provide help with completion of the record if needed, and to discuss future job searches.

Schedule the first appointment no earlier than 10 calendar days from the date the participant is given or mailed the *Job Search Plan Agreement*.

See [examples](#) for examples of the *Job Search Plan Agreement* period, due dates for providing the *Job Search Activity Log*, and for assigning an appointment date, if applicable.

Consider each participant's individual situation, job availability in the area, and the amount of time that will be needed for each job contact while assisting the participant with development of their job search plan. Require no more than 30 actual hours per week in individual job search. However, completing 30 hours a week of job search can be very challenging, if not impossible, especially in rural areas. Consider combining individual job search with other FIA activities to reach full time equivalency.

When individual job search is combined with another activity, consider the hours that will be required for the other activity when determining the required hours for 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. See [examples](#).

The discussion between you and the participant to develop the plan may occur in person or over the phone. Give or send the original of each individual job search plan to the participant. When sending the agreement to the participant, ask the participant to sign the agreement and return it within 10 calendar days. Keep a copy for the participant case file.

If after three consecutive calendar months of participating in individual job search the participant is still not employed, review the situation and determine if:

- Barriers are interfering
- Skills in job search activities need to be updated
- Further training is needed to help make the participant more employable

Individual job search may continue after three consecutive months, if appropriate. Consider combining individual job search with other activities. Renegotiate the participant's FIA if needed.

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

- 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.

When a participant with individual job search in their FIA also participates in a job readiness activity on their own or with assistance from IWD, FaDSS, or another agency, the participant may report the actual hours spent in job readiness activities on the *Job Search Activity Log*, in addition to their job search hours.

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 Activity Log* as a failure that counts towards the choice of an LBP when information other than that specified above is lacking.

Contact the participant for more information if a *Job Search Activity Log* is complete as defined 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.

Review the completed *Job Search Activity Log* and other documentation provided by an individual job search participant upon receipt 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.) or other job search activity, including the reported travel time between job sites.

Verify at least two reported job contacts per week. Use your judgment to determine if additional contacts need to be verified. If the participant is required to make only one contact, verify that contact.

Report actual time spent finding job openings, making job contacts, travel time between job sites, and meeting with PROMISE JOBS to discuss and complete the *Job Search Activity Log* or to develop the job search plan as hours of participation through entry in the IowaWORKS system. Report any **scheduled** hours of individual job search missed for an excused reason as described at [Problems With Participation](#) and [Excused Absence and Holiday Hours](#). Scheduled hours include a scheduled job interview or a scheduled appointment to discuss or complete the *Job Search Activity Log* or to develop a job search plan.

Consider that participants have chosen the LBP when they do not complete the steps of the written individual job search plan:

- When a participant fails to provide the *Job Search Activity Log* according to the plan, follow policies at [FIA Participation Issues](#).
- When a participant fails to appear for or participate in job search activities as stated in the *Job Search Plan Agreement*, follow policies at [FIA Participation Issues](#).

Comment: Examples for determining job search plan period and the due date for the *Job Search Activity Log* and for using individual job search as an FIA activity:

March has 4 Fridays: 6, 13, 20, and 27.

- A job search plan for March may include any or all of these weeks.
- A job search plan for March cannot include 5 weeks as there are not 5 weeks that end in Friday.
- The Job Search Plan is developed on Tuesday, February 17. Assign due dates for the *Job Search Activity Log* and appointment dates (if applicable) as follows:

| Job Search Week Ending: | <i>Job Search Activity Log</i> Due Date: | Appointment Date: |
|----------------------------|---|-------------------|
| March 6 | April 10 | March 6 |
| March 13 | April 10 | March 13 |
| March 20 | April 10 | March 20 |
| March 27 | April 10 | March 27 |

May has 5 Fridays: May 1, 8, 15, 22, and 29.

- A job search plan for May can 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 on May 1.
- The Job Search Plan is developed on Tuesday, April 14. Memorial Day is May 25. Assign due dates for the *Job Search Activity Log* and appointment dates (if applicable) as follows:

| Job Search Week Ending: | <i>Job Search Activity Log</i> Due Date: | Appointment Date: |
|----------------------------|---|-------------------|
| May 1 | June 10 | May 1 |
| May 8 | June 10 | May 8 |
| May 15 | June 10 | May 15 |
| May 22 | June 10 | May 22 |
| May 29 | June 10 | May 22 |

1. Ms. A has a varied job history. She wants flexibility to look for work in several occupational areas. On September 23, Ms. A and her PROMISE JOBS worker decide that Ms. A will use individual job search plans that are one week in length and write the Job Search Plan Agreement. Ms. A plans to turn in her *Job Search Activity Log* during a weekly appointment with the worker. During the office visit, they design the new plan for the week ending on Friday, October 10.

In her FIA, she indicates that she will use individual job search for the months of October and November. If she has not found employment in two months, she and the worker agree that Ms. A should use the work experience component.

Ms. A and PROMISE JOBS write the first week's job search plan as follows:

| Job Search Week | Job Search Activity Log | Appointment Date: |
|-----------------|-------------------------|-------------------|
| Ending: | Due Date: | |
| October 10 | October 17 | October 17 |

Ms. A appears for her October 17 appointment and has not completed her *Job Search Activity Log* for the week ending October 17. PROMISE JOBS assists her so that she is able to turn the record in and they write the plan for the following week.

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 FIA 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 to find employment.

The FIA also indicates her agreement with her PROMISE JOBS worker to use individual job search plans that are two weeks in length. Ms. B and her PROMISE JOBS worker design a plan for the next two-week period ending with Fridays, allowing 10-day notice. If she has not reported employment at the end of a two-week plan, Ms. B and PROMISE JOBS will design the plan for the next two-week period over the phone.

On April 20, Ms. B and PROMISE JOBS write the current plan as follows:

| Job Search Week | Job Search Activity Log | Appointment Date: |
|-----------------|-------------------------|-------------------|
| Ending: | Due Date: | |
| May 7 | May 14 | N/A |
| May 14 | May 21 | May 21 by phone |

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 FIA to include the details for individual job search.

Ms. C and the worker develop the FIA to allow for individual job search in June, July, and August. The FIA also indicates that each job search plan will be written for a calendar month.

The June plan includes the weeks in June that end in a Friday and specifies 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. Anticipated child care and transportation needs will be included in the plan.

If plans for the second and third months are needed, Ms. C and her worker will meet to decide on the content at that time. On May 17, Ms. C and PROMISE JOBS write June's plan as follows:

| Job Search Week Ending: | Job Search <i>Activity Log</i> Due Date: | Appointment Date: |
|----------------------------|---|---|
| June 3 | July 10 | N/A |
| June 10 | July 10 | N/A |
| June 17 | July 10 | June 24 (to develop July's plan that will begin on June 27 for week ending July 1) |
| June 24 | July 10 | N/A |

4. Mr. L is a young man who wants to start working as soon as possible, but has little employment history and no high school diploma. He and his worker develop the FIA to include both individual job search activities as well as working on obtaining his HSED. He will be attending HSED classes Monday, Wednesday and Friday for 6 hours per day and will search for a job for 6 hours per day on Tuesday and Thursday.

His FIA allows for individual job search in January and February. The FIA also indicates that each job search plan will be written for a calendar month at a time. If at the end of the two months, Mr. L has not found a job, he and his worker will review Mr. L's situation and determine if job search should continue or if it would be more beneficial for him to participate in another activity such as work experience or unpaid community service. On December 27, Mr. L and PROMISE JOBS write January's Job Search Plan agreement as follows:

| Job Search Week Ending: | Job Search Activity Log Due Date: | Appointment Date: |
|-------------------------|-----------------------------------|---|
| January 6 | February 10 | N/A |
| January 13 | February 10 | N/A |
| January 20 | February 10 | January 20 (to develop February's plan that will begin on January 30 for week ending February 3) |
| January 27 | February 10 | N/A |

Individual Job Search Supportive Payments

Legal reference: 441 IAC 93.6(2)

Policy: Participants are eligible for a transportation supportive payment and Child Care Assistance (CCA) when needed to participate individual job search.

Procedure: Use PJCase system to issue transportation payments to participants prior to the start of in individual job search. **EXCEPTION:** Contact IWD QA staff for instructions on how to proceed with participants who are not in PJCase due to not having an SSN.

Approve CCA before the start of the individual job search. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

Proceed as follows when FIP is approved for a participant who has a pending CCA application for job search if the participant has not been approved for CCA for job search through HHS in the last 12 months:

- Approve CCA as of the date of the CCA/FIP application or first day of need if the participant has been using child care to make job search contacts, whichever is later.

- Approve CCA as of the first day of individual job search if the participant has chosen to wait until FIP approval to begin job search through PROMISE JOBS.

See [Supportive Payments: Transportation](#) and [Child Care Assistance](#) for more information on authorizing transportation and CCA.

Supportive Payments for Unplanned Job Opportunities

Legal reference: 441 IAC 93.6(3)

Policy: PROMISE JOBS participants who are ready for employment need to be encouraged 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.

Child Care Assistance (CCA) and transportation payments are available to PROMISE JOBS participants if needed to make an unplanned job contact if the following criteria are met:

- The participant has signed an FIA and is approved to receive FIP benefits for their own needs or for the needs of a child in the home. The unplanned job contact does **not** need to be specified in the FIA.
- The participant is willing to provide documentation of the unplanned job search contact on form 470-3099, *Job Search Activity Log*.
- The contact must require transportation to complete an application or to attend an interview.

Procedure: When a participant contacts you to request child care or transportation assistance to make an unplanned job contact, 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 needed.

Follow-up by sending a written explanation that transportation will not be paid if the participant does not complete the contact or does not complete and return form 470-3099, *Job Search Activity Log* to document the job contact. Include a blank *Job Search Activity Log* and return envelope. Approve Child Care Assistance (CCA) needed to make the job contact. If the participant is currently approved for CCA, approve any additional CCA units needed to make the contact.

If a participant contacts you to request child care or transportation payments **after** making an unplanned job contact, you may provide child care and transportation assistance if the participant meets the previously stated requirements. Send a written explanation that transportation will not be paid if the participant does not complete the contact or does not provide a completed form 470-3099, *Job Search Activity Log* form to document the job contact. Include a blank *Job Search Activity Log* and return envelope. For CCA, also explain that child care needed to make the contact will not be paid if the participant does not complete the job contact or does not provide a completed *Job Search Activity Log*.

When a participant is requesting assistance for an ongoing job search rather than an unplanned job contact, the participant should be assigned to structured job search or the individual job search, 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 a child care or transportation payment 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 an LBP unless job search activities are included in the FIA as the current activity.

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

Report actual hours spent in an unplanned job contact through entry in the IowaWORKS system. If a participant is absent from a scheduled activity other than employment due to an unplanned job opportunity report the missed hours as an excused absence as described at [Problems With Participation](#) and [Excused Absence and Holiday Hours](#).

Use PJCase system to issue a transportation payment based on the information verbally provided by the participant and on the *Job Search Activity Log*. **Exception:** Contact IWD QA staff for instructions on how to proceed with participants who are not in PJCase due to not having an SSN. See [Transportation](#) for the additional policies regarding transportation payments.

If a participant requests transportation for an unplanned job contact and fails to provide a completed *Job Search Activity Log* to document the contact, do not authorize a transportation payment. No further action is required for transportation.

Approve Child Care Assistance (CCA) needed to complete the job contact by issuing form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, through entry in KinderTrack system. If the participant is currently approved for CCA, authorize any additional units needed to make the job contact.

For child care:

- If the participant requested CCA prior to making the job contact, authorize a child care payment when the provider submits an attendance sheet to bill for the care.

In this situation, establish an overpayment for the participant for any CCA units paid for an unplanned job contact if the participant does not document the job contact with a *Job Search Activity Log* or did not make the contact.

- If CCA was approved for a period that is after the day that the participant made the job search contact because the client did not request CCA until after making the contact and the participant does **not** provide a *Job Search Activity Log* or make the contact, reject payment for any CCA units billed to cover time spent on the job contact unless the participant was otherwise eligible for the CCA unit.

Mental Health, Substance Abuse, and Other Rehabilitative Treatment

Legal reference: 441 IAC 93.6(5)

Policy: The need for the treatment or rehabilitative activities and a referred person's ability to participate in work or other PROMISE JOBS activities must be determined by a qualified medical, substance abuse, or mental health professional. The time spent in treatment or rehabilitative activities may be included in a referred person's FIA if a qualified professional documents that the treatment or rehabilitative activities are needed for the person to obtain or retain employment.

The existence of substance abuse, mental health, and physical health issues does not necessarily inhibit a person's ability to work or participate in PROMISE JOBS activities. Each person's individual situation should be reviewed according to the extent that the issue affects the person's ability to participate in work or other PROMISE JOBS activities and [Barriers to Participation](#). A diagnosis, in and of itself, is not a reason for not participating.

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 or prevent the person's ability to work or participate in other PROMISE JOBS activities.

Procedure: When a referred person reveals substance abuse, mental health, or physical health issues that are affecting the family's ability to participate in PROMISE JOBS activities and the person needs treatment, the treatment plan can be included in the FIA when a qualified medical, substance abuse, or mental health professional verifies the need and the referred person agrees to include the plan in their FIA.

Except as stated in this section, 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.

Procedure: To include self-employment in a participant's FIA, self-employed participants must provide PROMISE JOBS with verification of gross earnings and expenses received in the last 30 days:

- Request verification at the time the participant reports starting self-employment or
- If they are self-employed when entering PROMISE JOBS, request the verification when writing the FIA with a specific due date.

The participant may provide documentation for a period greater than 30 days when the last 30 days is not a good indicator of normal businesses and expenses.

Inform the participant in writing of the requirement to verify self-employment gross income and expenses as described at [Written Notice to Participant](#).

PROMISE JOBS must re-verify gross earnings and expenses:

- When the participant reports a change, or
- At least once every six months.

Hours of participation for a self-employed person are systemically calculated by using:

- Net income (gross income less business expenses) as entered by the EBS in ABC and
- Divided by the federal minimum wage.

View the calculated hours in the participant's PJCase Person screen. See Comment for more information.

Use the verification of earnings and expenses along with the calculated hours in PJCase to determine if the self-employed participant is making satisfactory progress towards full-time employment and the goal of self-sufficiency.

You may also consider the actual hours worked in self-employment in the last 30 days as reported by the participant. The calculated hours of participation may not have increased, but the participant may be achieving that calculation in fewer hours of actual work.

PROMISE JOBS funding cannot be used to subsidize on-the-job training.

Procedure: For purposes of verification and documentation, OJT is considered “employment.” This includes the capability to project hours. Verify actual hours of on-the-job training as described at [Verifying and Projecting Employment Hours](#).

When verifying hours of participation for OJT you can also accept verification of hours from another public agency if the agency is subsidizing or sponsoring the arrangement and the agency supervises hours of participation.

EXAMPLE: If Iowa Vocational Rehabilitation Services (IVRS) is providing OJT within a local business and is providing the subsidy, IVRS can provide the verification of hours.

Participants who without good cause do not participate in OJT as specified in their FIA are considered to have chosen an LBP. Attempt to resolve the issue as described at [Refusing, Ending, or Reducing Employment](#) and [FIA Participation Issues](#).

Employment Supportive Payments

Legal reference: 441 IAC 93.7(1)

Policy: “Employment” for this section applies to participants in full-time, part-time, and subsidized employment, self-employment, and on-the-job training.

Employed participants are not eligible for transportation supportive payments for their transportation costs needed to get to their “employment” activities. Transportation costs for employed participants are covered by the FIP earned income disregard.

Employed participants are eligible for Child Care Assistance (CCA) when needed to participate in employment.

PROMISE JOBS funds cannot be used to purchase supplies to enable a participant to begin a private business.

Procedure: Approve CCA needed for employment activities. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

See [Child Care](#) and [13-G, Child Care Assistance](#) for full policies regarding child care payments.

Do not issue a payment for the purchase of supplies to enable a participant to begin a private business.

Work Experience Placement (WEP)

Legal reference: 441 IAC 93.7(4)

Policy: Work experience placement (WEP) provides unpaid work experience in a real employment setting for the participant to learn general skills, knowledge, and work habits necessary to find and keep employment. A WEP can be used to improve the employability of a participant with little or no work experience, and to renew or create ties between them and the business community.

Local businesses interview participants for a position in their company. If the participant is accepted by a business, they will report to the worksite per an agreed upon schedule. The business will provide the supervision of the participant and report their progress on a monthly basis to the PROMISE JOBS worker.

Each work experience assignment is not more than six months in duration.

For the difference between WEP and Unpaid Community Service, see [Unpaid Community Service](#).

Procedure: Use WEP for participants who need specific job skills or experience in the work environment to improve their employability. A WEP can also be used to:

- Renew or create ties to a specific business community or occupation,
- Try a specific industry or trade prior to pursuing full-time employment in that area, or
- Invest in training needed for that industry.

Due to Department of Labor standards, most participants will not be able to participate full-time in work experience. Participants may combine a WEP assignment with participation in other FIA activities when appropriate for individual circumstances. See [WEP and UCS Participation Requirements and Limits](#) for more information.

EXAMPLE: Combine WEP with part-time education or training, or some hours of individual job search.

The following sections provide more information regarding WEP policy and explain procedures:

- [Appropriate Work Sites and Positions](#)
- [Using WEP as an FIA Activity](#)
- [Maximum Length of Assignment](#)
- [WEP Participant Evaluations](#)
- [Work Site Safety and Workers' Compensation](#)

- [Supportive Payments for WEP](#)

Appropriate Work Sites and Positions

Legal reference: 441 IAC 93.7(4) “a” and “b”

Policy: Suitable work sites include public and private employers, non-profit agencies, community and faith-based organizations.

Work sites must agree to use the same job description and performance requirements that exist for paid employees in the same position. They must provide PROMISE JOBS with monthly evaluations of the participant’s job performance.

WEP positions must also meet the following criteria:

- 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.
- Work sites cannot discriminate against any program participant because of race, creed, color, religion, sex, national origin, age, physical or mental disability, or sexual orientation.
- Work sites within faith-based organizations may be used only when work performed is nonsectarian and not in support of sectarian activities. Work sites may not use participants to replace regular employees in the performance of nonsectarian work to enable regular employees to engage in sectarian activities.

Procedure: Develop professional relationships with potential WEP sites in your area. Inform potential sites about the PROMISE JOBS program, the existence of WEP, and the availability of PROMISE JOBS participants.

Employers who participate in the WEP program are referred to as “sponsors.” Expect sponsors who request WEP participant placements to:

- 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 participant.

You have final authority to determine suitability of any WEP position offered by a sponsor.

Using WEP as an FIA Activity

Legal reference: 441 IAC 93.7(4)"c"

Policy: When WEP is the current FIA activity, determine an appropriate worksite. Match participant vocational skills and interests as closely as possible with the job description and skills requirements specified by the sponsor. The willingness of the participant and the satisfaction that a sponsor has with a WEP placement are dependent on this match. Consider that the outcome of the placement may influence a sponsor's willingness to accept future WEPs.

Procedure: Participants should have adequate job-seeking skills, and interviewing skills, as well as basic ability to conform to workplace rules, expectations and values prior to a WEP assignment. You may choose to have participants, who do not yet have these skills, attend Work Readiness workshops before participating in a WEP.

WEP needs to be included as a current FIA activity prior to scheduling a WEP interview for the participant. Schedule the participant to discuss the requirements of WEP or to discuss renegotiation of the FIA if needed. See [Renegotiation and Amendment of the FIA](#) for more information.

Develop a participant profile using information gained during assessment, including interview and test results, to identify the types of work that a participant is most suited to perform and interested in. Refer participants only to those positions with job descriptions and skill requirements that match their skills and interests.

Refer a participant for WEP as follows:

- Determine the monthly number of hours the participant will be required to participate in WEP as described at [WEP and UCS Participation Requirements and Limits](#).
- Select the WEP site.
- Schedule the WEP interview with the sponsor.
- Complete the referral portion of form 470-0810, *Referral for Work Experience (WEP) Placement*, and enter the expected monthly hours of participation.
- Give or mail the referral form to the participant. Include documentation that describes the LBP.

- The sponsor completes the form and returns it to you, indicating if the sponsor has accepted the participant.

Notify the participant in writing of a WEP interview as described at [Written Notice to Participant](#). Allow the participant at least 10 calendar days from the date the notice is mailed or given to the participant to appear for a WEP interview unless the participant agrees in writing to a shorter time frame.

NOTE: Failure to comply with a time period shorter than 10 calendar days does not count as a failure that will lead to an LBP.

If the sponsor accepts the participant:

- Expect the sponsor to verify the participant's actual hours of participation for each month on *Time and Attendance*, form 470-2617.
- Require the participant to provide the attendance form by the 10th calendar day of the following month, unless the sponsor returns the form.
- Notify the participant in writing of the requirement to verify WEP hours by including the specific expectation in the FIA.

If the participant and sponsor are a good match, you should expect the sponsor to accept the participants you refer to them for placement. However, sponsors may refuse any referrals they deem inappropriate for the position that they have available. Ask sponsors who refuse a referral to notify you in writing of the reason for the refusal.

Once you have verified actual hours of participation in WEP, report the monthly actual hours of participation through entry in IowaWORKS. Report scheduled WEP hours missed for an excused reason when allowable as described at [Excused Absence and Holiday Hours](#).

When participation in WEP becomes an issue, refer to [FIA Participation Issues](#), determine if the participant is choosing an LBP, and to attempt to resolve the issue.

Maximum Length of Assignment

Legal reference: 441 IAC 93.7(4)"d"(3)

Policy: Six months is the maximum duration for each WEP assignment.

Procedure: The limit of six months for each WEP assignment 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 FIA:

- The participant may move to another FIA option as provided in the steps of the FIA.

- The participant may be assigned to a different WEP worksite.
- The participant may be reassigned to the same WEP worksite.

The same worksite may be used beyond the six-month assignment when the participant:

- Still has more to learn within the same position, or
- Will move to a different position within the same site.

When you and the WEP participant believe that the participant has gained sufficient work experience before completing the planned number of months of the WEP assignment, the participant should move to another activity to facilitate regular employment. The sponsor should have input in this decision.

WEP Participant Evaluation

Legal reference: 441 IAC 93.7(4) “e”

Policy: In addition to verifying the participant’s hours of participation, expect WEP sponsors to evaluate a participant’s work performance monthly.

Procedure: Expect 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 provide the participant with 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 the problems.

You cannot require a sponsor to retain any WEP participant whom they believe 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.

Send two copies to the PROMISE JOBS Coordinator, Iowa Workforce Development Central Office. One copy shall be forwarded to HHS, Division of Community Access and Eligibility, Bureau of Financial, Food, and Work Supports.

Supportive Payments for WEP

Legal Reference: 441 IAC 93.7(4)

This section includes the following:

- [Transportation and Childcare](#)
- [Required clothing and equipment](#)

Transportation and Child Care

Legal reference: 441 IAC 93.7(4)"f"(1)

Policy: WEP participants may be eligible for transportation supportive payments and Child Care Assistance (CCA) if needed for participation in WEP.

Procedure: Use PJCase system to issue transportation supportive payments to participants prior to the start of WEP. **Exception:** Contact IWD QA for instructions on how to proceed with participants who are not in PJCase due to not having an SSN.

Approve CCA before the start of WEP. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

See [Supportive Payments: Transportation](#) and [Child Care Assistance](#) for more information on authorizing transportation and CCA.

Required Clothing and Equipment

Legal reference: 441 IAC 93.7(4)"f"(2)

Policy: WEP participants may be eligible for a one-time supportive expense payment to cover the cost of required clothing and equipment needed to work at the WEP site if not provided by the WEP sponsor or other resources.

Procedure: If the WEP site provides required clothing, shoes, gloves, and health and safety equipment for the performance of work under the program for their paid employees, require the WEP site to provide the same to the WEP participant, unless the participant already possesses such clothing or equipment.

Items provided by the worksite remain the property of the worksite, unless the participant and the worksite agree to a different arrangement.

If the WEP site employer requires clothing and equipment that the employer doesn't provide to employees and isn't available through other resources, require the WEP site to provide a documented list of clothing and equipment required and the anticipated cost. This information may be provided on form 470-0510, *Estimate of Cost*. Documentation must be in the case file.

Use PJCase system to issue the one-time payment to cover the cost for the clothing and safety equipment (for example, steel-toed shoes) required to work at the WEP site. **EXCEPTION:** Contact IWD QA for instructions on how to proceed with participants who are not in PJCase due to not having an SSN. When possible, issue the payment to the vendor. Otherwise, issue the payment to the participant.

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.

Unpaid Community Service

Legal reference: 441 IAC 93.7(5)

Policy: In unpaid community service (UCS), the participant performs unpaid work for the direct benefit of the community within a public or private nonprofit organization. The unpaid work must also improve the employability of the participant. UCS includes participation in court-ordered community service.

Procedure: Use UCS to establish or reestablish contact with the work force or gain needed work experience in a nonthreatening environment while providing services that are of direct benefit to the community.

Use UCS for participants who are not ready for more intensive efforts toward self-sufficiency at this time. It is expected that the UCS work site will be less demanding than work experience placements. Specific skills-training tasks are not required.

Due to Department of Labor standards, participants might not be able to participate full-time in unpaid community service. Participants may combine this activity with another such as, but not limited to, high school completion, ESL, other part-time education or training, FaDSS or other family development services, and parenting skills training.

UCS 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.
- Not discriminate against any program participant because of race, creed, color, religion, sex, national origin, age, physical or mental disability, or sexual orientation.
- Worksites within faith-based organizations may be used only when work performed is nonsectarian and not in support of sectarian activities. Worksites may not use participants to replace regular employees in the performance of nonsectarian work to enable regular employees to engage in sectarian activities.

Procedure: Develop local listings of potential UCS worksites. Work with entities and agencies in your area to maintain and add to this list.

Provide UCS work sites a written explanation of the placement criteria as stated above. Document this explanation in the case file, using narrative or copy of the explanation.

Using Unpaid Community Service as an FIA Activity

Legal reference: 441 IAC 93.7(5)

Policy: Though you provide the participant with possible placement sites, the participant has the final responsibility for locating and making arrangements with the unpaid community service worksite.

Procedure: Unpaid community service needs to be included as a current FIA activity before requiring a participant to begin locating an unpaid community service site. Schedule the participant to discuss the requirements of UCS or to discuss renegotiation of the FIA if needed.

- Notify the participant in writing of the requirement to verify actual UCS hours by including the specific expectation in the FIA.

Once you have verified actual hours of participation in UCS, report the hours each month through entry in IowaWORKS. Report scheduled UCS hours missed for an excused reason when allowable as described at [Excused Absence and Holiday Hours](#).

If a participant fails to secure a community service arrangement or fails to provide verification of unpaid community service hours, make every effort to resolve the issue prior to determining if the participant is choosing a limited benefit plan.

Comment: Court-ordered community service is acceptable as UCS and is not subject to the limits as described at [WEP and UCS Participation Requirements and Limits](#).

Supportive Payments for Unpaid Community Service

Legal reference: 441 IAC 93.7(5)“d”

Policy: UCS participants may be eligible for Child Care Assistance (CCA) and transportation supportive payments if needed for participation in UCS.

UCS work sites may offer on-site child care and transportation to and from the site. Participants are not eligible for child care and transportation assistance when these services are available to them at no cost.

Procedure: Use PJCase to issue transportation supportive payments to participants prior to the start of UCS. **EXCEPTION:** Contact IWD QA for instructions on how to proceed with participants who are not in PJCase due to not having a SSN.

Approve CCA before the start of USC. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

See [Supportive Payments: Transportation](#) and [Child Care Assistance](#) for more information on authorizing transportation and CCA.

WEP and UCS Participation Requirements and Limits

Legal reference: 441 IAC 93.7(4)“d” and 93.7(5)“c”

Policy: Under WEP or UCS, a participant reports to the worksite as scheduled and performs work tasks or services as if the participant were employed.

For UCS, provide the participant with an explanation of the issue and the hours limit and have them work out their hours with the community service worksite.

Procedure for Adjusting Hours of Participation in WEP or 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 or UCS have changed, this means the amount of the grant, or SNAP if applicable, has changed. Determine the reason for the change by reviewing the following:

- IowaWORKS for the current FIP and SNAP amounts, if applicable,
- WISE system for indication of a change in earnings or other income, or
- WISE/FET for a change in family members or FIP amount.

Contact the EBS if you cannot determine the reason for changed benefits.

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 worksite and participant in writing of the:

- Termination, or
- Participant's new monthly maximum limit and the need to change the participant's scheduled hours of participation.

Change or terminate WEP or UCS as of the first of the next calendar month.

If the participant is receiving child care or transportation for participation in WEP or unpaid community service, send a timely notice if:

- The amount of transportation changes.
- The number of approved child care units change.
- Eligibility ends.

See [Written Notice to Participant](#), [Notice of Decision](#), and [13-G, Notice of Decision: Child Care](#).

If you need more complete information from the employer, you may contact the employer based on the authorization to furnish information to HHS included in the *Employer's Statement of Earnings*.

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 all of the 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 FIA 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.

Basic Education Services

Legal reference: 441 IAC 93.8(239B)

Policy: Participants may choose to include basic education as an FIA activity.

Basic education training includes the following:

- High school completion activities.
- Adult basic education (ABE).
- High school equivalency activities, including testing for an equivalency diploma English as a second language (ESL).

Procedure: With the goal to improve employability, use basic education training as an FIA activity for referred persons who need to:

- Complete high school or obtain an equivalent diploma
- Improve their ability to read and speak English, or
- Prepare for a specific vocational area of employment.

Complete an additional assessment as described at [Educational Evaluation](#) prior to including basic education training in a referred person's FIA when necessary. As part of the assessment process, require participants to do the following when appropriate:

- Take nationally recognized vocational tests, including the general aptitude test battery.
- Provide grade transcripts from previous education or training.

EXCEPTION: A participant under the age of 19 does not need to complete an educational evaluation in order to include high school completion or the equivalent in their FIA.

Use testing, when available, to determine the projected length of time needed for completion for participants requesting high school equivalency, ABE, or ESL training as an FIA activity. This will determine the how long basic education will be included as an FIA step.

When a participant is wanting to include basic education in their FIA, notify the participant in writing of the need for grade transcripts or testing and allow the person at least 10 calendar days to provide the information as described at [Written Notice to Participant](#).

For an applicant, list any needed testing and grades as action steps of the applicant's FIA. Allow the applicant at least 10 calendar days to provide the information as described at [Written Notice to Participant](#).

Once you have all needed information, renegotiate the FIA to include the basic education training plan with the specific training goal and anticipated completion date. See [Training Goals and Time Limits](#) later in this section for more information. See [Using Basic Education in the FIA](#) for more information.

All family members who meet basic education 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 Education and Training](#) also apply to basic education services:

- [Participant requirements](#)
- [Disposal of supplies upon plan termination](#)
- [Termination of a training plan](#)
- [Participation issues specific to classroom training](#)

The following sections give more detailed information on education policies for:

- [High school completion and equivalency diploma](#)
- [Approvable training providers](#)
- [Training goals and time limits](#)
- [Using Basic Education in the FIA.](#)
- [Supportive payments for basic education](#)

High School Completion and High School Equivalency Diploma

Legal reference: 441 IAC 93.8(3)

Policy: Participants who have not obtained a high school diploma or a high school equivalency diploma shall be encouraged to obtain a diploma. High school and equivalency training courses may run concurrently with other vocational training. Participants who have not completed high school or received a high school equivalency diploma may be required to do so before courses leading to an associate degree or higher may be approved.

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 or equivalency training. Refer to [FIA Options for FIA-Responsible Persons Aged 19 and Younger](#) for additional information.

Procedure: Require participants who have not completed high school or received a high school equivalency diploma to do so before courses leading to an associate degree or higher are approved unless not required for the specific training program. Even if not required by the specific training program, strongly encourage the participant to obtain their high school education either before the postsecondary training or concurrently with the training.

Approvable Training Providers

Legal reference: 441 IAC 93.8(2)

Policy: 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.
- Church-sponsored ESL courses, parenting skills training, or others.

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

Procedure: Require 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*.

EXCEPTIONS:

- Distance learning training providers may verify actual hours of participation in basic education activities through an alternate method determined through discussion between the provider and PROMISE JOBS. See [Distance Learning](#) for more information.
- When the participant is under age 20 and in high school or high school equivalency training, 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* form 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 [Training Provider Requirements](#) to attempt to negotiate for a solution.

Training Goals and Time Limits

Legal reference: 441 IAC 93.8(5)

Policy: For participants in high school or high school equivalency activities, ABE, or ESL, the vocational goal to be included in the FIA is to improve employability by successfully completing the activity.

Approve a participant aged 18 and older to return to regular high school only when the participant can graduate within one year of their normal graduation date.

Procedure: Participants enrolled in ABE 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 ABE.
- 12 months for ESL.

For participants in high school and equivalency classes, the education provider determines when the participant should be expected to complete the training.

Using Basic Education in the FIA

Legal reference: 441 IAC 93.8(5)

Policy: Once a participant is approved for training, a training plan shall be developed and written into the participant's FIA. The training plan shall include:

- The participant's specific vocational goal. For participants in basic education, the goal is to improve their employability by completing the training.
- The approved educational activities.
- The hours of enrollment. Participants are encouraged to maintain as full an academic workload as possible in order to complete their education in a timely manner. However, a person may choose to participate in education on a part-time schedule and include other activities such as employment, job-seeking skills, or other activities in the FIA.
- A date by which the participant expects to complete training. This end date depends on:
 - Time frames specified for a program as established by the educational facility.
 - Whether the participant is attending full-time or part-time.
 - Problems or barriers to participation.

- The participant's requirement to provide verification of their actual hours of participation for each month on *Time and Attendance*, form 470-2617 by the 10th calendar day of the month following the month of participation.

A participant with an approved basic education training plan who fails to maintain education activities as specified in their FIA has chosen an LBP unless problems or barriers to participation apply.

Procedure: If needed, renegotiate the FIA to include the training plan. Notify the participant in writing of the appointment to renegotiate the FIA as described at [Written Notice to Participant](#). Allow the participant at least 10 calendar days from the date the notice is mailed or given to the participant to appear for the appointment.

Expect the training provider to verify the participant's actual hours of participation in class, labs, and supervised study time for each month on *Time and Attendance*, form 470-2617 for basic education training. Include in the FIA the participant requirement to provide the completed attendance form to PROMISE JOBS by the 10th calendar day of the following month. See [Training Provider Requirements](#) earlier in this section for more information.

EXCEPTION: When the participant is under age 20 and in high school or an equivalency program, the provider is not required to verify the participant's hours of attendance. The participant must verify their class, lab, and study time hours by completing and submitting the *Time and Attendance* form 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.

Once you have verified actual hours of participation in basic education training, report the monthly actual hours of participation in class, labs, and supervised study time through entry in IowaWORKS. You may also report up to one hour of unsupervised study time for each hour of class time. See [Reporting Participation Hours](#) for limits and more information. Report scheduled basic education training hours missed for an excused reason when allowable as described at [Excused Absence and Holiday Hours](#).

When a participant with an approved basic education plan fails to maintain education activities as described in the FIA, follow the procedures described at [Participation Issues Specific to Postsecondary and Basic Training](#), [Problems With Participation](#) and [Barriers to Participation](#).

Supportive Payments for Basic Education

Legal reference: 441 IAC 93.8(6)

Policy: Participants enrolled in basic education may be eligible for the following when needed for participation:

- Child Care Assistance (CCA)
- Transportation supportive payments
- Fees for school enrollment, school testing or school application, provided the fees are:
 - Fees for school enrollment, school testing or school application 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 one-time payment allowance per term for actual costs 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.

Eligibility for PROMISE JOBS supportive payments for basic education training begins with the date the participant begins training under an approved plan and is terminated when the training plan is either completed or cancelled. If a participant is already enrolled in training prior to being referred to PROMISE JOBS, or enters training prior to having an

approved training plan, supportive payments will be provided beginning from the date the training plan is approved and included in the FIA, not the date of enrollment.

Procedure: Use PJCase to:

- Issue transportation supportive payments to participants prior to the start of basic education classes.
- Issue payment for the educational costs.

Exception: Contact IWD QA for instructions on how to proceed with participants who are not in PJCase due to not having an SSN.

Approve CCA before the start of basic education classes. Use form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, to approve CCA through entry in KinderTrack system. Authorize a CCA payment after the provider has provided care and submits an attendance sheet to bill for the care.

See [Supportive Payments: Transportation](#) and [Child Care Assistance](#) for more information on authorizing transportation and CCA.

Observe the following limits when approving payments for direct education costs for participants in basic education components (high school completion and equivalency ABE, or ESL):

- Do not allow tuition supportive payments 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 one-time payment allowance per term for actual costs of basic school supplies, for participants who request it. Require a claim for actual costs to be verified by receipts.
- Require participants to furnish receipts for other expenditures that they pay with PROMISE JOBS supportive payments, except for transportation payments. Remind participants that failure to provide the receipts will preclude additional payments.

Postsecondary Education and Training

Legal reference: 441 IAC 93.8(239B)

Policy: Postsecondary education refers to any academic or vocational course of study that prepares a participant for a specific professional or vocational area of employment. A degree in general studies or programs not leading to a specific occupational outcome cannot be included in a participant's FIA.

Postsecondary and training activities are designed to help increase the participant's employability and earning potential. Though employment is the eventual goal of all FIAs, it is recognized that education increases the likelihood of finding work, particularly work that leads to economic self-sufficiency.

Any participant who requests participation in educational activities needs to be evaluated to determine the likelihood of success. If the request is approved, a training plan needs to be developed and included in the FIA-responsible person's FIA.

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 Participant Requirements and [Nonapprovable Training](#) for more information.

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.

To include postsecondary education in the FIA, the participant must:

- Have a vocational goal for which labor market information or emerging business trends indicate employment potential
- Be likely to succeed as shown by an educational evaluation
- Current educational level shows a deficit in knowledge, skills and abilities which support employment in jobs which lead to self-sufficiency

Procedure: 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.

Base a postsecondary training plan on occupational evaluation and assessment as obtained in accordance with the process described at [Educational Evaluation](#). See [Participant Requirements](#) for more information.

When renegotiating or amending an FIA to include a training plan, participants must provide all information required to include the training plan in the FIA.

When requesting additional information needed to complete the postsecondary training portion of an FIA, follow the policies at [Written Notice to Participant](#).

See [Transportation](#) when two members of the same household are attending the same activity with identical schedules.

The following sections explain:

- [Participant Requirements](#)
- [Training Provider Requirements](#)
- [Approvable Training Activities](#)
- [Nonapprovable Training](#)
- [Including postsecondary education in the FIA](#)
- [Use of Academic Probation](#)
- [Education Supportive Payments](#)
- [Termination of a training plan](#)
- [Participation issues specific to classroom training](#)

Participant Requirements

Legal reference: 441 IAC 93.8(1)

Policy: The participant must:

- Have a vocational goal for which labor market information or emerging business trends indicate employment potential.
- Be likely to succeed as shown by an educational evaluation.

EXCEPTION: A participant under the age of 19 does not need to complete an educational evaluation in order to have high school completion included in their FIA.

- Current educational level shows a deficit in knowledge, skills and abilities which support employment in jobs which lead to self-sufficiency.

- 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 Iowa Vocational Rehabilitation Services (IVRS).

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** and **cannot regain**.

If you determine that the requested training is not appropriate given the current educational level of the participant, document the information you reviewed, share that information with the participant, deny the training plan and issue form 470-0602, *Notice of Decision: Services* as described in [Written Notice to Participant](#).

Training Provider Requirements

Legal reference: 441 IAC 93.8(2)

Policy: A training provider must:

- Be approved or registered with the state or accredited by an appropriate accrediting agency.

Training provided by a community action program, church, or other agency may be included in the FIA only if the PROMISE JOBS worker determines that:

1. The training is adequate and leads to the completion of the participant's vocational goal.
2. The training provider possesses appropriate and up-to-date equipment; has qualified instructors, adequate facilities, a complete curriculum, acceptable evaluation methods, a good job-placement history; and demonstrates expenses of training that are reasonable and comparable to the costs of similar programs.

- Offer training that is structured in such a way that a participant's actual hours of attendance in class, labs, and supervised study time can be verified by the provider.

The training provider is responsible for documenting a participant's actual 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 as described at [Required Verification and Documentation](#), unless the provider provides the documentation to PROMISE JOBS by this date.

Procedure:

Type of Provider:

The diversity of PROMISE JOBS participants and training goals requires that a variety of training sources be available. Training can be provided by both public and private educational agencies.

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 FIA.

Some examples of nontraditional training providers are as follows:

- Trade schools.
- Entrepreneurial (self-employment) training.
- 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.

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 [Approvable Training Activities](#) and [Nonapprovable Training](#).

Clearly document the basis for your decision to approve or disapprove a specific training provider in the case file. When denying training with a specific provider, issue form 470-0602, *Notice of Decision: Services*, to the participant to inform the participant of the denial. Use Approvable Training Providers and the legal references stated at the beginning of this section.

Ability to Verify Hours of Attendance: Expect training providers to verify actual hours of the participant's attendance in educational activities, lab activities, and supervised study activities monthly by signing and dating form 470-2617, *Time and Attendance*.

EXCEPTION: Distance learning training providers may verify actual hours of participation in basic education activities using form 470-2617, *Time and Attendance*, or through an alternate method determined through discussion between the provider and PROMISE JOBS. See [Distance Learning](#) for more information.

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 policy at [Confidentiality](#) and 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.

Allow the participant to continue through the current semester or quarter before finding another provider.

Contact the participant in writing:

- Require the participant to document their attendance for the months remaining in the current semester or quarter on the *Time and Attendance* and sign and date the form.
- Require the participant to return the form by the 10th calendar day following the end of the month of participation or within 10 calendar days of the written request, whichever is later.

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.

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.

Procedure: Help a participant who desires training to improve their employability select training that is approvable. Include an approvable training plan in the FIA if the participant's postsecondary education evaluation demonstrates potential for success in the training other requirements in [Postsecondary Education And Training](#) are met.

Inform the participant's EBS if you become aware that a FIP/PROMISE JOBS participant has been enrolled in a program leading to a higher degree than a bachelor's degree. The educational institution can verify program enrollment.

Nonapprovable Training

Legal reference: 441 IAC 93.8(4)

Policy: Only approvable training activities can be included in a participant's FIA.

The following training activities are not approvable:

- You determine through postsecondary educational assessment that the participant 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 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. An exception may be made when the reason for not seeking employment is to receive further education when the education:
 1. Is a planned progression in a specific career path; and
 2. Will not lead to an advanced degree beyond a baccalaureate.
- Education in a field which the participant has failed to earn the grades required for admission. **NOTE:** This policy does not apply to participants under age 18 who are completing high school.

- Training that will not be completed until after the participant leaves FIP. Training programs that exceed the known length of time during which the participant will remain eligible for FIP assistance shall be approved only if:
 1. The time remaining in the training is minimal and tuition has already been paid.
 2. There is a reasonable plan for how the program will be completed without the assistance and support from FIP or PROMISE JOBS. A reasonable plan may include, but not be limited to, school loans, grants, and scholarships.
- Any course or training in a field in which the participant does not intend to seek employment after the training is completed. An exception may be made when the reason for not seeking employment is to receive further education when the education:
 1. Is a planned progression in a specific career path; and
 2. Will not lead to an advanced degree beyond a baccalaureate.
- Education 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.
- The training is in an occupational area where available labor market statistics or emerging business trends in the local area indicate that prospects are low for job availability and employment paying enough to lead to self-sufficiency for the family.
- 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 participant's EBS if you become aware that a FIP/PROMISE JOBS applicant or participant 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 participant 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 [Approvable Training Activities](#) for when training may be approvable.

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 one-time payment allowance for actual costs of basic school supplies. Require verification by receipt before authorizing a claim for actual costs. 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.
- **Exception:** Contact IWD QA for instructions on how to proceed with participants who are not in PJCase due to not having an SSN.

Unallowable Expenses

Legal reference: 441 IAC 93.11(4), 93.7(2)"f"

Policy: The following items are not approvable training expenses:

- 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.
- Any other item not required to complete training for a vocational goal.

When a participant has enrolled in or completed entrepreneurial training, PROMISE JOBS funds cannot be used to purchase supplies to enable a participant to begin a private business.

Procedure: Although participants 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.

Do not issue a payment for an expense that is not approvable.

Disposal of Supplies Upon Plan Termination

Legal reference: 441 IAC 93.8(6)

Policy: Participants may keep any books or supplies that were purchased with PROMISE JOBS funds.

Termination of a Training Plan

Legal reference: 441 IAC 93.8(8)

Policy: The participant's training plan shall be canceled if after academic probation the participant has failed to maintain at least a 2.0 grade point average or a higher average required by the specific training facility or curriculum, and reevaluation indicates no mitigating circumstances.

Procedure: Monitor academic progress for each participant. Apply policies at [Use of Academic Probation](#) 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.

Payments for Private Transportation

Legal reference: 441 IAC 93.11(3)

Policy: A payment may be made to cover the cost of using a private motor vehicle to attend FIA activities.

Procedure: Authorize a transportation supportive payment 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 payment 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.
- Current state employee reimbursement rate (currently \$0.50 per mile).

EXAMPLE: Days x miles x \$0.50 = monthly payment or payment for a short-term activity.

Transportation supportive payments 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 supportive payment for each month or for each period of participation. Make a notation in the case file narrative for each calculation for a payment. 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 payment 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 supportive payments. 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 supportive payment that you authorize.

Below are examples for adjusting the amount of the payment 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 payment of \$40 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.

A payment of \$180 is authorized for the second month, February, to be received before February 1. It covers 18 days of scheduled classes.

A payment 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 payment for March is \$160 for 16 days of scheduled classes.

A payment 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 payment for April is \$140 for $(16 - 2 =) 14$ countable days.

A payment 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 payment for May is \$60 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 payment. 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 payment of \$100 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 payment of \$77.50 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 five miles per day for his four days of job search.

For March, he is eligible for a payment for nine days of WEP at 10 miles per day and for three days of job search at five miles per day. The worker authorizes \$52.50 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 \$160 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.

Procedure: Authorize a supplemental monthly transportation payment 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 payment when the following are true:

- Documented actual transportation costs are greater than transportation payment provided under these policies.
- Transportation is not available from a non-reimbursable source.

Authorize supplemental payment 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 [Payments for Private Transportation](#).

When a participant asks for the supplemental payment because of a need for a mode of transportation other than a vehicle operated by the participant, the participant must provide medical evidence of the need. Medical evidence may be a letter from a qualified medical or mental health professional or Iowa Vocational Rehabilitation, on *Report on Incapacity*, form 470-0447, or proof of receipt of SSI or SSDI.

When a disabled or incapacitated participant is eligible for payment of transportation costs greater than a standard transportation payment, first issue the portion that represents the standard payment within normal time frames, using the allowances type 'A' code in PJCase for the transportation supportive payment.

Then issue the supplemental transportation supportive payment, i.e., that portion of actual cost which is greater than the standard allowance, using allowance type code 'L,' in PJCase, designated "transportation, supplemental 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 transportation supportive payment and the supplemental transportation supportive payment at the same time. If not, delay the entry for the supplemental transportation supportive payment until verification of need and actual costs is received.

Never delay or withhold the standard transportation supportive payment due to the participant's failure to document actual cost, to verify need, or to verify the amount of actual costs that exceeds the standard transportation supportive payment.

Transportation Payments for High School Students

Legal reference: 441 IAC 93.8(6)“c”(3)

Policy: Participants are not eligible for a transportation supportive payment when transportation to their activity is available from another source at no cost.

Procedure: When a PROMISE JOBS participant is enrolled in high school, do not allow a transportation supportive payment if transportation is available from another source at no cost. 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 supportive payment.

Transportation Overpayments

Legal reference: 441 IAC 93.12

Policy: A transportation overpayment has occurred when the following are true:

- The participant attends none of the scheduled days of participation in a PROMISE JOBS activity. Consider the entire transportation payment as an overpayment.
- If a participant can be rescheduled for the activity within 90 days from the date the transportation payment was issued, recovery is not necessary, since the prior payment can be used. Initiate recovery of the overpayment when it becomes clear that subsequent participation in the activity is not possible. This may occur when the participant is ineligible for FIP. The participant is issued a transportation payment 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 payment period of an activity that has not been used for payment adjustment, as described at [Monthly Transportation Payments](#).

Procedure: 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 overpayment does not occur for any month in which the participant leaves the PROMISE JOBS activity to enter employment.

When a participant 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 participant 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 payment adjustment, use the days of attendance for an activity as verified under the policies for [FIA Activities Provided by Other Providers](#).

Use the following chart to determine the number of days that represent 75% of the scheduled days for the allowance period:

| | | | | | | | | | | | | | |
|------------------------------------|----|----|----|----|----|----|----|----|----|----|----|----|----|
| Scheduled Days for Payment 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 Payment 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 payment 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.

Refer to 13-G, [Financial Eligibility: Documenting Special Needs](#) for the definition of a “child with special needs” and documentation requirements. If the parent or relative believes that child care is needed as a child aged 13 and up to age 16 will be at risk if left at home, inform the parent or relative that they may request an exception to policy by doing the following:

- Complete form 470-3888, *Petition for Exception to Policy*. See [1-B, Appendix](#) or
- File an electronic request via the HHS website.

Inform the parent or relative that an exception to policy will be granted only if exceptional circumstances exist. Assist the parent or relative with requesting an exception to policy upon request, including forwarding the request and documentation of the special circumstances to the HHS Administrative Rules and Appeals Section.

Two-Parent Households

Legal reference: 441 IAC 93.11(2); 170.2(2)

Policy: When there are two parents in the home, both must have an approvable need for service and there must be an overlap in their hours plus allowable travel or sleep time.

Procedure: 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.

Refer to [13-G, Need for Service](#) for more information.

Effective Date of CCA Assistance

Legal reference: 441 IAC 93.11(2), 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”.

Procedure: HHS establishes the provider's rates of payment. Refer to [13-G, Establishing Payment Rate](#) to view the tables for basic and special needs care and for more information regarding rates.

Select the applicable provider rate according to the situation when approving CCA in KinderTrack.

Client Fees

Policy: A fee is assessed for each half—day unit of service for CCA. A fee is **not** assessed to:

- Recipients of FIP and PROMISE JOBS services.
- Families at or below 100% of the federal poverty guidelines.
- Families receiving CCA due to a protective need.

Procedure: Do not assess fees for PROMISE JOBS participants.

Refer to [13-G, Fee Schedule](#) for more information.

In-Home Care

Legal reference: 441 IAC 93.11(2), 170.4(7)“d”

Policy: “In-home care” refers only to care provided in the home of the child.

A participant may only use an in-home provider when the family has three or more children who require and are eligible for child care services.

EXCEPTION: If the provider lives in the same household as the children requiring care, HHS will treat the provider as either a registered child development home or a nonregistered home as long as the home is a single-family residence that the provider owns, rents, or leases.

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.

Procedure: Approve in-home care only when the family has three or more children who require and are eligible for child care services.

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.

When a participant requests payment for an unusual item, first, look and see what is available through the school at no cost. 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 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 HHS central office, before authorizing any expenditure.

If permission is granted to buy an unusual item of equipment, 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 93.11(4)

Policy: Participants in high school completion or equivalency classes, ABE, ESL, and short-term training of less than 30 weeks may be eligible for:

- A transportation payment for any costs of travel required for certification and testing.
- A payment for required meals and lodging.

Procedure: Use PJCase to issue payment when participants travel or stay away from home due to certification requirements or other testing needed for vocational purposes.

Ask the participant to provide supporting documentation of a job search activity along with the *Job Search Activity Log* when the activity can be reasonably verified. For example:

- 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.

Require participants to provide the *Job Search Activity Log* by the 10th calendar day following the end the month in which the participant made the job search. Examples:

- The job-search occurred in March. Expect the participant to provide the *Job Search Activity Log* to you on or before April 10.
- The job-search occurred in June. Expect the participant to provide the *Job Search Activity Log* to you on or before June 10.

When developing the job search plan with the participant, give thorough instructions to the participant on completion of the *Job Search Activity Log*. Provide the participant with an adequate supply of the forms for the duration of the job search plan period. See [Individual Job Search](#) or [Structured Job Search](#), whichever applies, for more information on the job search plan.

Expect the participant to complete the form as much as possible. However, consider the participant to have met the documentation requirement if the participant has completed the following information on the *Job Search Activity Log*:

- 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.

The participant's signature on the form gives you authorization to contact any listed employer to verify the contact.

Upon receipt of the completed form, monitor the participant's progress by checking at least two contacts per week. If a participant is required to make only one contact, verify the one contact. Use your discretion to determine if you need to check additional contacts. Evaluate progress weekly unless the participant's circumstances justify less than a weekly evaluation.

Count actual time spent finding job openings, making job contacts, and travel time between job sites to determine the actual hours of participation when you find that the time reported by the participant is consistent with the type of job contact or other job search activity. Do not count travel time to the first job contact or interview in a day or travel time to return home after making the last job contact for that day as hours of participation.

Report actual hours of participation in job search activities through entry in IowaWorks as described at [Reporting Participation Hours](#). Document the entered hours in the participant's case file. Do not enter any hours that are not supported by documentation in the case file.

Follow all of the policies under [FIA Participation Issues](#) to attempt to resolve the participation issue and to determine if the participant has chosen an LBP when:

- A participant provides a *Job Search Activity Log* that includes job contacts or activities and is lacking any of the required information above for a contact or activity, or
- A participant fails to complete the required hours of job search activity as specified in the job search plan, or
- A participant failure to provide a *Job Search Activity Log* by the due date specified on the job search plan agreement.

Verifying and Projecting Employment Hours

Legal reference: 441 IAC 93.7(1); 93.10(2)

Policy: PROMISE JOBS must verify actual hours of employment at least once every six months. This applies to full-time, part-time, subsidized and on-the-job training employment. See [Self-Employment](#) for verification procedures for self-employment.

Require employed PROMISE JOBS participants to provide verification of hours of employment unless you have adequate verification from another source.

Once verified, hours of employment may be projected for up to six-months for reporting purposes. Do **not** use anticipated or scheduled hours to project hours for reporting purposes.

Allow participants **at least 10 calendar days** from the date the notice is mailed or given to the participant to appear for scheduled meetings, activity or work-site assignments or to provide needed documentation or verification. If the 10th calendar day falls on a weekend or holiday, allow until the next business day.

Send the *Notice of Appointment or Participation* or written letter within 30 days of:

- The date of a scheduled meeting,
- The date an activity or worksite assignment will begin, or
- The due date for providing documentation or verification.

If a participant volunteers for an appointment or to begin an activity or worksite assignment in less than 10 calendar days, verify the participant's agreement with a written statement from the participant. Document the participant's request for an earlier appointment on the notice or in the case file narrative.

Reschedule a meeting, activity, or worksite assignment upon request by the participant when the participant requests and has a valid reason for not being able to attend as originally scheduled.

Allow additional time when the participant requests more time to provide documentation or verification. Additional time may be needed when the participant must obtain an evaluation for a claimed medical condition.

Use a written reminder letter as described at [Identifying Participation Issues](#) to notify a participant of an issue with their participation in FIA activities.

Use the FIA as written notice of the need to provide documentation or verification of hours for a specific activity when:

- The need is determined during the FIA appointment or other meeting, and
- You can specify what is needed and a due date that is within 30 days of the date the FIA is signed.

You may also use the FIA as written notice of monthly verification requirements of an ongoing **current** FIA activity when 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 or will be enrolled in a training program).

The timeframes described in this section do not apply to the participant requirement to verify hours of participation in an FIA activity. Refer to the applicable section in [Required Verification and Documentation](#) for more information.

- When PROMISE JOBS makes entry in PJCase to issue a supportive payment, the system generates a notice of decision.
EXCEPTION: ABC does **not** issue a notice when processing entry to issue an FSSG payment.

The FIA serves as written notice of approval and assignment to PROMISE JOBS activities, including approval of a training plan. Send written notice using form 470-0602, *Notice of Decision: Services*, or form 470-4558 or 470-4558(S), *Notice of Decision: Child Care*, in accordance with HHS policies when:

- A participant's request for training is denied or canceled.
- You approve or deny an FSSG application.
- You approve, change, or cancel CCA.

Issue a notice in accordance with HHS requirements for adequate and timely notice. See [Adequate Notice](#) and [Timely Notice](#), immediately following, and 1-E, [Notice of Decision](#) for additional information.

If the participant continues with the FIA process, the FIA itself will be the only notice needed to establish PROMISE JOBS and FIA participation.

A participant 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 FIA forms notify participants of their appeal rights.

Because the participant can appeal the contents of the FIA when they disagree with PROMISE JOBS about components or activities to be included in the FIA, the participant may sign the FIA and appeal the contents without choosing the LBP.

See [PROMISE JOBS Appeal Procedures](#) for additional information on appeals.

Adequate Notice

Legal reference: 441 IAC 16.1(17A); 16.2

Policy: "Adequate notice" means a written notice that includes the following elements:

- The action taken and reasons for it.
- The PJPM section title describing the policy basis for the action.
- An explanation of the participant's right to appeal.
- The circumstances under which assistance is continued when an appeal is filed.

"Adequate notice" also means a written *Notice of Decision: Services*, form 470-0602 is sent no later than the date benefits would have been issued.

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.

Procedure: Issue a *Notice of Decision: Services*, form 470-0602 that meets the adequate requirements when required as described at Notice of Decision and Timely Notice.

Timely Notice

Legal reference: 441 IAC 16.1(17A); 16.2

Policy: “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.

An issued *Notice of Decision: Services*, form 470-0602 must meet the definition of “adequate” and “timely” except in the case of probable fraud or death of the recipient.

Procedure: When issuing a *Notice of Decision: Services*, form 470-0602 to cancel a training plan, allow at least 10 days from the date the notice is mailed to determine the effective date.

When issuing form 470-4558 or 470-4558(S), *Notice of Decision: Child Care* to cancel CCA or reduce CCA units, allow at least 10 days from the date the notice is mailed to determine the effective date.

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 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.

Records Maintenance

Legal reference: 45 CFR §75.361 - 75.370

PROMISE JOBS provider agencies must maintain all case files and records related to the program for five years, including records kept within the IowaWORKS system. Do not destroy any case files or records for people currently involved in a lawsuit against HHS or a PROMISE JOBS provider agency. Do not destroy any case files or records that contain an unpaid recoupment or are involved in an audit. In these instances, the case files and records must be retained for five years after the lawsuit, unpaid recoupment, or audit is resolved.

PROMISE JOBS Provider Case File Contents

This table provides the file format for paper case files and the forms and documents required in the Documents section of electronic case files in IowaWORKS.

For paper case files, 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

| | |
|----------|--|
| 470-3103 | <i>PROMISE JOBS Reminder</i> |
| 470-0813 | <i>Notice of Appointment or Participation</i> |
| 470-2604 | <i>Transfer Between PROMISE JOBS Agencies</i> |
| 470-0820 | <i>Notice of Employment</i> |
| 470-0602 | <i>Notice of Decision: Services File under applicable tab; i.e. FSSG under FSSG, Educational Plan under Educational and Training.</i> |
| 470-3300 | <i>Your Family Investment Agreement Reminder</i> Written Reminders and any other letter used in an attempt to resolve a participation issue |

| | |
|-------------|---|
| II. | Supportive Payments and Other Authorizations |
| 470-0510 | <i>Estimate of Cost</i> |
| 470-4558 | <i>Notice of Decision: Child Care— Optional as available in the KinderTrack system</i> |
| | Special needs letter |
| | Non-Registered Provider Interoffice Agency Referral |
| | Child Care Assistance Change Form |
| 470-0464 | <i>Overpayment Recovery Information Input – Optional if available in WOPR.</i> |
| 470-0465 | <i>Overpayment Recovery Supplemental Information – Optional if available in WOPR.</i> |
| 470-0010 | <i>Adjustment to Overpayment Balance</i> |
| III. | Authorization Vouchers |
| | Invoices from educational institutions, not limited to: direct education costs for short-terms training, ESL, high school equivalency testing |
| | Written statement declining transportation |
| | Paperwork on lost, stolen, missing or returned warrants |
| | Receipts and any additional information related to supportive payments |
| | Receipts showing refunds of overpayments. |
| IV. | Hardship Exemption (Optional. Add tab only if needed.) |
| | File all hardship exemption documentation in this section. |
| | This includes the six-month FIA, all correspondence, notices, expense allowance authorizations, etc. |
| V. | FSSG (Optional to Add Tab Only if Needed) |
| | Application |
| 470-0602 | <i>Notice of Decision: Services</i> |
| | Invoices |
| | Any additional paperwork |
| VI. | LBP (Optional to Add Tab Only If Needed) |
| | LBP Checklist |
| | LBP Letter |
| | Any related LBP documents or verifications |
| VII. | Appeal (Optional to Add Tab Only If Needed) |
| 470-0487 | <i>Appeal and Request for Hearing</i> |
| | Appeal Summary |
| 470-0492 | <i>Request for Withdrawal of Appeal</i> |
| | Any accompanying verification presented during hearing, not already contained in the case file in this section |

VIII. Joint Plans

FaDSS Referral Form
FaDSS Monthly PJ Report
Referrals to Other Agencies

NOTE: Use this section for, but not limited to: FaDSS, Vocational Rehabilitation, Head Start, all IWD Programs including Workforce Innovation and Opportunity Act (WIOA), youth programs, RES.

IX. Medical (Optional to Add Tab Only If Needed)

470-0447 *Report on Incapacity*
470-0429 *Consent to Obtain and Release Information*
 Medical Professional's Written Excuses
470-2617 *Time and Attendance*
 Documentation related the medical conditions, such
 as but not limited to: Mental Health, Substance
 Abuse, Other Rehabilitative Services

X. Correspondence/Other

470-0429 *Consent to Obtain and Release Information* other
 than those pertaining to another section of the file
 All pertinent information not previously covered
 Any remaining correspondence to and from the
 participant or others pertinent to this participant that
 do not pertain to another section of the file

Reporting Requirements

Legal reference: 45 CFR 261.61

The following sections explain reporting requirements relating to:

- [Reporting Participation Hours](#)
- [Reporting Excused Absence and Holiday Hours](#)
- [Beginning employment to EBS IM](#)
- [Sharing disability information with EBS](#)

Reporting Participation Hours

Legal reference: 45 CFR 261.61

Policy: For activities other than unsupervised study time for basic educational and postsecondary education activities, actual hours of participation in FIA activities must be verified.

For employment, actual hours must be verified and used to project average weekly hours for up to six months.

For basic educational and postsecondary education activities, actual hours of attendance in class, labs and supervised study time must be verified by the training provider as described at Basic Education Services and Postsecondary education.

EXCEPTION: If the participant is under age 20 and in high school or high school equivalency, the participant can verify the hours.

The total number of hours spent in supervised and unsupervised study for basic and postsecondary education may not exceed the number of hours required or advised by the educational program.

Verified actual hours of participation must be entered in IowaWORKS for all activities. For employment, verified actual hours are used to project average weekly hours for entry in IowaWORKS.

This allows IWD to prepare and send monthly data files to HHS for reporting purposes.

Procedure: For FIA activities other than unsupervised study time for basic educational and postsecondary education activities, enter verified actual hours of participation for each week in the IowaWORKS system. Do not enter any hours of participation that are not verified. Do not enter anticipated or scheduled hours of participation.

For employment, verify hours of participation and project average weekly hours for up to six months as described at [Verifying and Projecting Employment Hours](#). Once verified, enter projected average weekly hours in IowaWORKS. Do **not** enter projected hours that have not been verified.

For basic educational and postsecondary education activities, obtain the study time requirements for the program of study from the educational facility and document the appropriate study time requirements in the case file. Enter verified actual hours of attendance in class, labs and supervised study time in IowaWORKS. You may also enter up to one of unsupervised study time for each hour of scheduled class time. Do not:

- Consider credit hours when determining how many hours of unsupervised study time you may enter.
- Enter study time hours that exceed the number of hours required or advised by the educational program.

Reporting Employment to EBS

Legal reference: 441 IAC 41.27(239B) and 41.27(2)

Policy: All income earned from work shall be applied to reduce the cost of FIP paid to the FIP family according to FIP policy. This is the responsibility of the EBS.

Procedure: When you become aware that a PROMISE JOBS participant has started, stopped, or changed employment, check WISE to determine if IM has verification of the change. If WISE has no verification of the change, report the change to the IM Customer Support Center (IMCSC) as follows:

- Complete form 470-0820, *Notice of Employment* with all information known and send via email to IMCSC.
- If available, also send a copy of form 470-2844, *Employer's Statement of Earnings*, letter from the employer, paystubs, or other acceptable verification of employment.

IMCSC email: imcsc@hhs.iowa.gov.

The EBS verifies the information on the *Notice of Employment* and changes the participant's FIP grant, if appropriate.

When an EBS becomes aware that a PROMISE JOBS participant started, ended, or changed employment, EBS will notify PROMISE JOBS of the change. PROMISE JOBS must verify the employment change following the policies described at [Verifying and Projecting Employment Hours](#).

Reporting Disability Information to IM

Legal reference: 441 IAC 41.27(1)"g" and "i", 93.4(5)

Policy: FIP applicants and participants are required to apply for SSD or SSI when the customer reports a physical or mental disability that is expected to last for more than 12 consecutive months or is expected to result in death and that they are unable to engage in substantial activity due to the disability.

Procedure: Notify EBS when a participant provides medical documentation, such as form 470-0447, *Report of Incapacity*, of a disability that is expected to last for 12 consecutive months or is expected to result in death. To notify EBS, scan, and email form 470-0447, *Report of Incapacity*, or other acceptable medical verification to the appropriate EBS imaging center. Ensure that the participant's case number, state ID, and EBS number are on the documentation.

These issues are part of effective functioning in the workplace or training facility and, therefore, important to carrying out the steps of the FIA.

Policy: Problems described under [Problems With Participation](#) may provide an acceptable reason to excuse participants from the consequences of these actions. Barriers to participation may be revealed that need to be addressed by renegotiating and amending the FIA. If neither of these apply, participants who do not resolve these issues are considered to have chosen the LBP.

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 participant 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 LBP with the written reminder, request, or letter, either by:

- Describing the LBP 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 LBP, when an appointment is appropriate.

The following list gives the specific issues that demonstrate that a person has chosen an LBP by not carrying out the FIA 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. Participants who are more than 15 minutes late for a second time, after receiving one written reminder when the first lateness occurred.

This could occur in WEP if the work site sponsor notifies PROMISE JOBS 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 participant has been more than 15 minutes, attempt to resolve the issue by sending a written reminder letter to the participant. Specify that they seem to be choosing the LBP 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 first 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. 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 without good cause, consider that the participant has chosen the LBP. 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 LBP.

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 Activity Log* 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 Activity Log*.

If your next *Job Search Activity Log* 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 LBP. Refer the case for a review as described at [Review of Limited Benefit Plan Recommendation](#).

8. 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 LBP.

At the time of occurrence, attempt to resolve the issue by sending a letter to the participant, stating that the participant has chosen the LBP by making the threat. Allow the person at least 10 calendar days to respond to the letter. If you choose, a supervisor may send the letter.

When a participant does not appear for a WEP assignment, consider the participant to have chosen an LBP. Use a written letter to clearly establish the LBP 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 10 calendar 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.

10. Participants who do not appear for WEP interviews for a second time after receiving written reminder of the importance of complying with the FIA at the first occurrence.

A written reminder to attempt to resolve the issue and to offer supervisory intervention is the first step.

Some examples of barriers are:

- Lack of transportation.
- Substance addiction.
- Physical or cognitive disability or mental illness.
- 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 needed and not available, the participant's FIA activity may have to be the provision of this care.)

When a participant reveals a new barrier to participation after an LBP is imposed and it is reasonable that the problem or barrier contributed to the failure that resulted in the LBP, the LBP must be stopped and considered in error. See [Stopping an LBP](#) for more information.

If a person chooses not to cooperate in removing identified barriers to participation, the person is choosing the LBP, 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 participant's EBS 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 EBS will require the person to apply for and to accept SSD or SSI as a condition of FIP eligibility. For more information, see [Reporting Disability Information to IM](#).

Limited Benefit Plan (LBP)

Legal reference: 441 IAC 41.24(8)

Policy: A FIP participant is subject to an LBP when:

- The participant chooses not to follow the terms of the FIA; or
- The participant's referral status changes from exempt to FIA-responsible and the participant chooses not to write and sign an FIA.

A FIP applicant's failure to sign an FIA results in denial of FIP and does not result in imposition of an LBP. See [Referring Applicants](#) for more information. The normal LBP applies when the LBP is chosen by:

- The parent on a one-parent case.
- Either parent on a two-parent case.

NOTE: An LBP does not apply when a FIP “applicant” fails to sign an FIA. FIP applicants must sign an FIA before FIP approval. Families that have received FIP for 60 months and are requesting a hardship exemption must sign a six-month FIA to be granted the exemption. Failure to develop or sign an FIA in these circumstances results in **denial of** FIP. See Referring Applicants and **HARDSHIP EXEMPTION** for additional information.

Procedure: When circumstances indicate that a person is choosing an LBP, make efforts to initiate participation and to resolve the FIA participation issue. For more information, see [Attempting to Resolve Participation Issues](#).

When the participant does not resolve the participation issue and you decide that the participant has chosen the LBP in one of these circumstances, refer the case for a review. See [Review of LBP Recommendation](#).

LBP 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 FIA or fail to amend their hardship exemption FIA when so required. For more information, see [Hardship Exemption](#).

When a review of the case concurs that the participant chose the LBP, make entry in PJCase to start the LBP. As a result of your entry, the ABC system:

- Cancels FIP assistance for the people who are ineligible due to the LBP,
- Recalculates SNAP, and
- Sends a timely *Notice of Decision*, form 470-0485, to the household.
- Assigns the individual FIP status of “I” to the persons in the LBP.
- Sends an email to the EBS.

The *Notice of Decision* explains the actions the person who chose the LBP needs to take to end the LBP. For a **subsequent** LBP, the notice also states the minimum six-month period of ineligibility.

The following section explains the LBP impact on other household members.

To Whom the LBP Is Applied

Legal reference: 441 IAC 41.24(8)

Policy: The conditions of the LBP apply to all persons in the FIP household except as indicated in the section [LBP Variations](#).

Children and parents who join the household of a parent who chose an active LBP are subject to the conditions of the LBP.

Children and parents who leave the household of a parent who has chosen an LBP are no longer subject to the conditions of the LBP unless the parent in the new household has chosen an LBP.

If a parent on a parental FIP case subject to an LBP applies for a separate nonparental caretaker case, the LBP does not apply to the children on the nonparental caretaker case.

Procedure: When a child or a parent joins the household of a parent who chose an active LBP, the IM will use the PJCase system to:

- Add the child or parent to the other parent's LBP, or,
- Reactivate the LBP for the child or parent if the child or parent is included in the LBP but the LBP is stopped for the parent or child due to leaving the home of the parent who chose.

IM will issue FIP benefits for the new members when eligibility exists in any month before the effective date of the LBP.

IM will use PJCase to stop the LBP for a child or parent who no longer lives with the parent who chose the LBP.

See [Two-Parent Households](#) for more information on applying an LBP in a household with more than one parent.

1. Ms. A chooses a first LBP. On June 2, the system sends a Notice of Decision to explain that FIP will end July 1 for Ms. A and her children. On June 7, Ms. A reports her 12-year-old son has moved into the home. The EBS uses PJCase to add him to Ms. A's LBP.

On June 20, the EBS determines the son meets all eligibility requirements and adds him to FIP effective June 14. The system issues an adjustive FIP payment for his June needs, cancels him for July 1 due to Ms. A's LBP, and sends one Notice of Decision to explain the action.

2. Ms. B chooses a subsequent LBP 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 LBP does not affect her nephew's assistance.

3. Ms. C chooses an LBP for herself and her son. During the period of ineligibility, her son leaves her home and moves in with his grandparents. The grandparents apply for FIP assistance for the child. The EBS uses PJCase to stop Ms. C's LBP for the child. They determine eligibility and approves FIP for the child.

Attempting to Resolve Participation Issues

Legal reference: 441 IAC 41.24(8), 93.13(239B)

Policy: PROMISE JOBS must make efforts to resolve an FIA participation issue when circumstances indicate that an FIA-responsible person is choosing an LBP.

Procedure: When circumstances indicate that a person is choosing an LBP, make efforts to initiate participation and to resolve FIA participation issues. To determine the actions that you must take, consider:

- If the person has attended orientation, and
- If the person has signed an FIA.

When a FaDSS participant appears not to be fulfilling FIA obligations, notify FaDSS and discuss your concerns at the time you send the clear written reminder. FaDSS may be able to help resolve the issue.

The next sections give more information on the circumstances under which a person chooses an LBP and the actions that you must take to initiate participation and to resolve FIA 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 an LBP 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

Legal reference: 441 IAC 41.24(8); 93.3(3)

Policy: FIP participants whose referral status changes from exempt to FIA-responsible are referred to PROMISE JOBS. They must contact PROMISE JOBS to schedule an appointment for orientation and the writing and signing of an FIA within 10 calendar days of the date that a PROMISE JOBS program letter is sent to notify the person that FIA responsibility has begun.

Procedure: When the EBS makes entry to refer the FIA-responsible person, the ABC system automatically issues *FIA Referral for Mandatory Participants*, form 470-3105 instructing the participant to contact PROMISE JOBS to schedule an appointment within ten days to begin the FIA process. See [Referring Participants](#) for more information.

If the participant schedules and appears for the FIA appointment, provide “orientation” for the participant, which is an overview of the PROMISE JOBS program. After the participant receives orientation, assess the participant’s circumstances and work with the participant to negotiate and sign the FIA. A participant who does not participate in this process or who does not sign an FIA chooses an LBP.

If the FIP participant does not schedule an appointment or fails to attend or reschedule the appointment within the ten days, send *Your PROMISE JOBS Reminder*, form 470-3103.

Your PROMISE JOBS Reminder informs the person of the potential consequences of their lack of action. The form explains how a first and subsequent LBP affects 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 an LBP 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 an FIA.

See [Referring Participants](#) and [Service Upon Referral](#) for more information.

NOTE: Since there are not many instances where a FIP recipient’s referral status changes from exempt to FIA-responsible, the situation where an LBP is chosen before writing an FIA 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.

Comment:

Ms. A, her 16-year-old son, and her 10-year-old daughter apply for FIP. Ms. A is referred to PROMISE JOBS and an FIA is written and signed before their approval for FIP. Then the 16-year-old drops out of high school.

The EBS changes his PROMISE JOBS referral status from exempt to FIA-responsible participant. The ABC system sends a letter instructing the son to contact PROMISE JOBS within 10 days to schedule his orientation and FIA 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

Legal reference: 441 IAC 41.24(8); 93.13(239B)

Policy: When an FIA responsible participant has signed an FIA fails to follow the terms of the FIA, PROMISE JOBS needs to attempt to resolve the participation issue.

Procedure: When an FIA responsible participant has signed an FIA fails to follow the terms of the FIA, 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 FIA.

A person's signature on an FIA is a written commitment to the activities outlined in the FIA, and an acceptance of the PROMISE JOBS services available for those activities.

FIP participants who choose an LBP after signing an FIA are no longer eligible for the PROMISE JOBS services outlined in the FIA, as well as FIP benefits. For this reason, make strong efforts to ensure that participants:

- Understand the expectations.
- Have not mistakenly or lightly chosen the LBP.
- Understand the seriousness of the choice of the LBP.
- Understand the FIA 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.

IM will cancel the FIP case effective the date the child's LBP begins.

Comment:

1. Ms. A and her 16-year-old son, who is not in school receive FIP. Each signed a joint FIA when they applied for FIP. If Ms. A chooses an LBP after signing the FIA, the normal LBP applies to the entire household.
2. Ms. A from Example 1 cooperates with the terms of the FIA, but her son chooses the LBP by not following terms of his FIA. The individual LBP makes the son ineligible effective March 1. The EBS cancels FIP for Ms. A effective March 1 because there is no longer an eligible child in the home.
3. Ms. B receives FIP for her two daughters, a 16-year-old and a 17-year-old. Ms. B is exempt from PROMISE JOBS participation as she receives SSI. The 16-year old drops out of school and the EBS refers her to PROMISE JOBS as an FIA-responsible participant because she is not enrolled in school. The 16-year-old fails to sign an FIA and chooses an individual LBP. The individual LBP makes the 16-year old ineligible. Ms. B will continue to receive FIP for the 17-year old, as long as they meet all other eligibility requirements.
4. Ms. C applies for FIP for her 16-year old son who is not in school. The EBS refers Ms. C and the son to PROMISE JOBS to sign an FIA as a condition of receiving FIP. Ms. C signs an FIA but her son does not. The EBS denies FIP for the entire family as the son is not eligible for failure to sign an FIA and Ms. C does not have an eligible child.

Minor Parents Living with FIP Parent or Needy Caretaker Relative

Legal reference: 441 IAC 41.24(8)"b," 93.4(239B)

Policy: A minor parent receiving FIP and living with their child must sign and follow the terms of an FIA. When a minor parent is living with a FIP parent or needy caretaker relative, each is responsible for a separate FIA. Both the minor parent and the FIP parent or needy specified relative must meet with PROMISE JOBS to write and sign an FIA before FIP approval.

If the adult parent chooses the LBP, the **normal** LBP applies to the entire eligible group.

If a needy specified relative who is not a parent chooses the LBP the **individual** LBP applies only to the relative.

2. Mrs. A from Example 1 cooperates in her FIA, but Ms. Z chooses a first LBP. A **partial** LBP is imposed effective June 1.

The LBP makes Ms. Z and her child ineligible. Although the LBP does not apply to Mrs. A, Ms. A is ineligible for FIP effective June 1 because she no longer has an eligible child. The EBS cancels the entire case effective June 1.

3. Mrs. B applies for FIP for Ms. C, her 16-year old daughter and Ms. C's child. The EBS refers Mrs. B and Ms. C to PROMISE JOBS to sign an FIA as a condition of receiving FIP. Mrs. B signs an FIA but Ms. C does not. The EBS denies FIP for the entire family as Ms. C is not eligible for failure to sign an FIA and Mrs. B does not have an eligible child.

Stepparent or Needy Specified Relative

Legal reference: 441 IAC 41.24(8)"b," 93.4(239B)

Policy: A person included in the eligible group as one of the following is FIA-responsible unless exempt:

- An incapacitated stepparent.
- A needy specified relative.

If one of these persons chooses an LBP, the **individual** LBP applies only to the FIA-responsible person. The others in the FIP eligible group continue to receive FIP if other eligibility factors are met.

For a **first** LBP, the person **is not eligible** until the person reconsiders the LBP by signing an FIA.

For a **subsequent** LBP, the person **is not eligible for a minimum of six months**, and thereafter until the person signs an FIA and completes 20 hours of work or other approvable PROMISE JOBS activity.

Procedure: Use PJCase to make entry to start an **individual** LBP when an incapacitated stepparent or needy specified relative who is not a parent chooses an LBP.

EXCEPTION: An LBP 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 an FIA-responsible PROMISE JOBS participant and signed an FIA when she applied for FIP. Ms. B has chosen an LBP before. She chooses a subsequent LBP effective November 1, 2005.

Ms. B's needs are removed from the grant effective November 1. She is ineligible for FIP for a minimum six-month period. When the six-month period ends, Ms. B remains ineligible until she reconsiders by signing an FIA 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 an FIA-responsible participant and signed an FIA when she applied for FIP. She fails to follow the terms of her FIA and chooses a first **individual** LBP effective June 1, 2020. Mrs. Z's needs are removed from the grant effective June 1, 2020 and she remains ineligible until she reconsiders and signs an FIA.

The rest of the household remains eligible, as long as all other eligibility requirements are met.

Needy Caretaker Relative Chooses Effective October 1, 2005 Or Earlier

Legal reference: 441 IAC 41.24(8)"b," 93.4(239B)

Policy: This section applies to a needy caretaker relative who is not a parent as there is no parent in the home and who chose an active LBP effective October 1, 2005, or earlier. See [Stepparent or Needy Specified Relative](#) for the effect of an LBP that is effective on or after November 1, 2005.

A **normal** LBP applies to the entire eligible group when it:

- Is chosen by a needy caretaker relative who is not a parent and
- Is effective October 1, 2005, or earlier.

If the needy caretaker relative who is not a parent has chosen a **first** LBP effective October 1, 2005, or earlier, FIP remains canceled until the relative either:

- Reconsiders the LBP by signing an FIA, or
- Reapplies for the needs of the children only.

If the needy caretaker relative who is not a parent has chosen a **subsequent** LBP effective October 1, 2005, or earlier, FIP remains canceled for a minimum of six months. FIP remains canceled until the needy specified relative either:

- Reconsiders the LBP by signing an FIA and completing 20 hours of PROMISE JOBS activity, or
- Reapplies for the needs of the children only.

Procedure: PROMISE JOBS made an entry to start a **normal** LBP under former policy for this situation.

See [Reconsidering an Active Limited Benefit Plan](#) for procedures to use if the relative reapplies as a needy caretaker relative.

IM uses the following procedures if the needy caretaker relative reapplies for the children only:

- When the LBP is a first LBP or is a subsequent LBP beyond the six-month period of ineligibility:
 - The EBS temporarily stops the LBP by entering reason “W” in PJCase and determines FIP eligibility for the children. See [Stopping a Limited Benefit Plan](#) for more information.

If the LBP is not temporarily stopped while the relative receives FIP for the children, the FET system will incorrectly count the months of FIP towards the relative’s 60-month limit.

- If the needy caretaker relative later reapplies to be included in the eligible group, the relative must take the needed action to reconsider the LBP. The EBS reactivates the LBP in PJCase, takes the steps to schedule an FIA appointment, and refers the relative to PROMISE JOBS.
- If the relative reconsiders the LBP, PROMISE JOBS stops the LBP by entering reason “R” in PJCase.
- If the relative fails to complete the reconsideration process, the EBS denies the application to include the relative in the FIP household and stops the LBP again by entering reason “W” in PJCase.

6. Mrs. B, her child, her husband Mr. B, and his child apply for FIP on one application. (There are no common children.) Both parents are FIA-responsible applicants mandatory PROMISE JOBS participants and must sign a joint FIA.

Mrs. B signs the FIA, but Mr. B refuses to sign. Deny the application for Mr. B and his child. If both parents sign the FIA, but Mr. B later chooses an LBP by abandoning his FIA steps, the partial LBP applies to Mr. B and his child.
7. Mr. and Mrs. C and their two children are ineligible for FIP, as Mr. C chose a normal first LBP effective August 1. On September 20, Mr. C and one child leave the home and Mrs. C applies for FIP.
8. Mr. and Mrs. D receive FIP for their three common children and signed a joint FIA when they applied. Mr. D chooses a normal first LBP effective June 1. Mrs. D was following her FIAv terms. The entire family is ineligible for FIP until both Mr. and Mrs. D reconsider the LBP by signing another FIA.

In August, Mrs. D reapplies for FIP for the children as Mr. D left the home. The EBS makes entry in PJCase to stop Mr. D's LBP for Mrs. D and the children, refers Mrs. D to PROMISE JOBS, and schedules an FIA appointment. Mrs. D signs an FIA and FIP is approved.

In September, Mr. D returns to the home. The EBS uses PJCase to reactivate Mr. D's LBP for Mrs. D and the children. As a result, FIP for Mrs. D and her children is canceled for FIP beginning October 1. If Mr. and Mrs. D want to reconsider the LBP, the EBS refers Mr. D to PROMISE JOBS and schedules an FIA appointment for him. Mrs. D will not need to sign another FIA unless contacted by PROMISE JOBS because her existing terms no longer apply to her situation.
9. Mr. and Mrs. H receive FIP for their two common children, A and B, and signed a joint FIA when they applied. Both parents chose a normal first LBP effective October 1.

In January, Mrs. H reapplies for FIP for child B as Mr. H and child A left the home. Mrs. H wants to reconsider her LBP. The EBS uses PJCase to stop Mr. H's LBP for Mrs. H and child B and to stop Mrs. H's LBP for Mr. H and child A. The EBS refers Mrs. H to PROMISE JOBS as an FIA-responsible applicant and schedules an FIA appointment for Mrs. H.
10. Mr. and Mrs. G receive FIP for their two common children. Mr. G chose a first LBP 3 years ago and Mrs. G has never chosen an LBP. Mrs. G now chooses an LBP effective March 1 even though Mr. G is following his FIA. Mrs. G's LBP will be a subsequent since Mr. G is in the home and has chosen an LBP before. The family is ineligible for FIP until September 1.

On April 10, Mr. G leaves the home. Mrs. G's LBP remains a subsequent even though the parent that chose the prior LBP has left the home.

Examples:

1. Ms. A chooses a **first** LBP. 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 EBS adds him to the LBP in PJCase. The LBP applies to him in the same manner as the other household members.
2. Ms. B chooses a **subsequent** LBP 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 LBP does not affect her nephew's assistance.
3. Ms. C chooses an LBP 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), 93.16

Policy: An LBP 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 LBP. Once the *Notice of Decision* is issued to impose a subsequent LBP, the LBP cannot be reconsidered until the six-month period of ineligibility has expired.

When the six-month period of a **subsequent** LBP ends, the person who chose the LBP may reconsider by:

- Signing an FIA, and
- Completing 20 hours of work or other approvable PROMISE JOBS activity (other than work experience or unpaid community service).

Procedure: If the household files an application, IM will make entry to refer the person who chose the LBP 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** LBP 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 an FIA within the 30-day time limit for processing the application.

Do not allow a person in a **subsequent** LBP to attend orientation or assessment activities or to sign an FIA 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 FIA.](#)
- [Required activities to end a subsequent LBP.](#)
- [Conclusions of the reconsideration process.](#)
- [FIP effective date following a LBP.](#)

Signing the FIA

Policy: The date the person signs the FIA is the date the EBS will use to determine the effective date of FIP.

Procedure: When developing the FIA, follow the policy under [Family Investment Agreement](#), except as described in this section. Before you and the participant sign the FIA, 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.

When additional assessment is needed, write the to include the additional assessment as action steps so that you can secure the person's signature and sign the FIA to establish the person's FIP eligibility date. For a **first** LBP, stop the LBP as described at [Conclusion of the Reconsideration Process](#).

If modifications are needed after further assessment, you and the participant must sign and date the modified FIA again. This applies in situations such as when FaDSS enrollment is appropriate for the person, and you need to involve the FaDSS specialist 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.

- Specify the supportive services that PROMISE JOBS will provide.
- Specify the documentation and reporting expectations for completion of the 20 hours of activity.

Issue payment for transportation, approve CCA, and issue payment for other allowable expenses:

- Needed to meet the 20-hour requirement, and
- Other policies allow issuance of the payment.

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 LBP by making entry into PJCase. This entry sends an email to inform the EBS that they can continue with determining FIP eligibility.

When the 30th day after the date the FIA 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

Policy: The reconsideration process ends when you determine that the person who chose the LBP either:

- Completed the required reconsideration actions, or
- Abandoned the reconsideration attempt.

Procedure: When the household has a pending application, the EBS 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 EBS when you determine the reconsideration process has ended.

If the person **completes** the required reconsideration actions, make an entry in PJCase to stop the LBP. Processing of this entry:

- Removes LBP coding from ABC,
- Issues a *Notice of Decision* to inform the family that the LBP has ended, and
- Sends an email to the EBS.

When you have stopped the LBP, the EBS 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 EBS through entry in PJCase. Processing of this entry:

- Removes the applicant JOBS code and pending reconsideration date from the systems.
- Sends an email to the EBS.
- Denies the application in ABC and sends a *Notice of Decision* to the family when the person is a FIP parent. Otherwise, the EBS 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 EBS 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 LBP does not complete the 20 hours in the 30 days after the FIA is signed and does not contact you with a justifiable reason.
- A person in a subsequent LBP does not document completion of the 20 hours of activity in the 30 days after the FIA is signed and does not contact you with a justifiable reason.

FIP Effective Date Following a Limited Benefit Plan

Policy: The effective date of FIP eligibility following an LBP is the date the FIA is signed or the date the family or individual is otherwise eligible.

Procedure: When the family or individual is otherwise eligible, the EBS will determine the effective date of eligibility following a **first** LBP as follows:

- If the FIA is signed before the effective date of the LBP, EBS will reinstate FIP as of the effective date.

- If the FIA is signed on or after the effective date of the LBP, and FIP was canceled for the entire family, IM will approve FIP effective the date the FIA is signed, or seven days from the application date, whichever date is later.
- When adding a person excluded due to an LBP to an active FIP case, the effective date is seven days from the date the FIA is signed.

When a family is otherwise eligible following a **subsequent** LBP, the EBS will approve FIP effective with the latest of the following dates:

- The date the FIA 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 LBP to an active FIP case, the effective date is the later of:

- Seven days from the date the FIA 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), 93.16(239B)

Policy: An LBP must be stopped when:

- The person who chose the LBP takes action to reconsider the LBP as described at [Reconsidering an Active LBP](#).
- The LBP was imposed in error.
- The person who chose the LBP was exempt and referred to PROMISE JOBS in error.
- A child leaves the home of the person who chose the LBP or turns 18 and is no longer part of that person's FIP household.
- The person who chose the LBP leaves the home.
- An appeal of imposition of an LBP is filed:
 - Before the effective date of the initial *Notice of Decision* establishing the beginning date of the LBP, or
 - Within 10 days from the date the appellant receives the notice establishing the beginning date of the LBP. The date on which the notice is received is considered to be five days after the date on the notice, unless the appellant shows that the appellant did not receive the notice within the five-day period.

An LBP is considered temporarily stopped pending issuance of a final appeal decision. The LBP will be considered imposed in error if the final decision reverses the decision to impose the LBP.

An LBP imposed in error is not considered a valid LBP when determining if a person previously chose an LBP.

Consider an LBP 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 LBP.
- Requesting information, when the participant's failure to provide the information led to the imposition of the LBP.
- Notifying the person in writing of the participation issue that led to the imposition of the LBP.
- Attempting to resolve a participation issue, including failure to submit the case for a required review before making entry to start the LBP.

Also, consider an LBP to be imposed due to error when:

- You find that the person did not receive written correspondence about the participation issue that led to the imposition of the LBP, 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 LBP.
- The person 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.

Procedure: Stopping an LBP is the responsibility of either the EBS or the PROMISE JOBS worker, depending upon the situation. You are responsible for stopping the LBP when:

- You discover you have imposed the LBP due to PROMISE JOBS error or the LBP is considered in error for the reasons stated above.
- The participant reconsiders, signs the FIA, and completes 20 hours of activity to end a subsequent LBP. (See [Reconsidering an Active Limited Benefit Plan](#) for actions required of you and the EBS when you end an LBP because the FIA is signed.)

When you determine an LBP must be stopped due to any of these reasons, make entry in PJCase to stop the LBP:

- Use stop reason “R” to stop an LBP when the person who chose the LBP has taken the action to reconsider the LBP.
- Use stop reason “C” when you determine the LBP is in error due to any of the reasons previously stated.

After you make entry to stop an LBP, PJCase will send an email to notify the EBS. See [14-O, PJCase System](#) for more information.

When a participant 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 documentation from a qualified medical or mental health professional 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 10 calendar days to provide the documentation. Allow the participant additional time when needed.

To stop an LBP imposed due to error, make an entry in PJCase. Your entry causes the system to send a *Notice of Decision* to inform the household the LBP is ended and sends an e-mail to alert the EBS to determine eligibility for corrective benefits.

The following chart is provided for PROMISE JOBS reference to summarize when the EBS is responsible for stopping the LBP and taking appropriate action.

| Situation | EBS action |
|----------------------------------|---|
| A timely appeal is filed. | Stop the LBP and issue a <i>Notice of Decision</i> by entering reason “A” in PJCase. Reinstate FIP. See Appealing a Limited Benefit Plan . If the final appeal decision affirms the Department’s action, reactivate the LBP in PJCase. See When the Final Decision Affirms the Limited Benefit Plan . |

| Situation | EBS action |
|---|---|
| <p>A child in an LBP chosen by a parent leaves the household. Or, a child leaves the household of a needy specified relative who chose an LBP effective October 1, 2005, or earlier.</p> <p>Variations:</p> <ul style="list-style-type: none"> ▪ A minor parent and child leave the adult parent's or needy caretaker relative's home and become eligible on another case. ▪ A minor parent turns 18 (or completes high school if between the ages of 18 and 19) and applies for a separate case. ▪ A minor parent and child are canceled effective month one of the adult's LBP, and the minor parent applies for a separate FIP case as a minor parent living in the home of a self-supporting parent. | <p>Stop the LBP for that child by entering reason "B" in PJCase. (The LBP 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.</p> <p>Stop the LBP 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.</p> <p>Stop the LBP 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 caretaker relative's LBP no longer applies.) See Minor Parents Living with FIP Parent or Needy Specified Relative.</p> <p>Stop the LBP 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.</p> |

| Situation | EBS action |
|---|---|
| <p>The person was referred to PROMISE JOBS in error for one of the following reasons:</p> <ul style="list-style-type: none"> ▪ Exempt due to alien status. ▪ Exempt due to the receipt of SSI or school attendance at the time the <i>Notice of Decision</i> was issued imposing the LBP and the person timely reported and verified the receipt of SSI or change in school attendance status. ▪ Exempt due to the receipt of SSI or school attendance at the time the <i>Notice of Decision</i> was issued imposing the LBP but the person had not reported or had not verified the receipt of SSI or the change in school attendance. | <p>See Who Is Exempt From PROMISE JOBS Participation.</p> <p>Stop the LBP and issue a <i>Notice of Decision</i> by entering reason “C” in PJCase. Redetermine eligibility.</p> <p>Stop the LBP and issue a <i>Notice of Decision</i> by entering reason “C” in PJCase. Redetermine eligibility.</p> <p>Stop the LBP and issue a <i>Notice of Decision</i> 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 LBP, do not issue corrective benefits.</p> |

| Situation | EBS action |
|--|--|
| <p>The parent in a two-parent household who chose the LBP leaves the household, and the other parent did not choose the LBP.</p> | <p>Stop the LBP for the remaining parent and any children living with the parent and issue a <i>Notice of Decision</i> by entering reason “D” in PJCase. See Two-Parent Households.</p> <p>When the parent who chose the LBP leaves before the effective date of the LBP, reinstate FIP for the remaining household members, if otherwise eligible.</p> <p>When the parent who chose the LBP leaves on or after the effective date of the LBP, the remaining household members must reapply to receive FIP.</p> <p>The LBP remains on the parent who chose it and any children living with that parent. If the parent choosing the LBP rejoins the household and the LBP is still in effect, restart the LBP for the rest of the household using PJCase.</p> |

| Situation | EBS action |
|---|--|
| <p>The LBP must be stopped but no other stop reason applies, such as:</p> <ul style="list-style-type: none"> ▪ The person who chose the LBP became exempt due to the receipt of SSI or school attendance after the <i>Notice of Decision</i> imposing it was issued and remains exempt. <p>NOTE: An FIA-responsible child remains FIA-responsible regardless of school attendance as long as the child remains eligible for FIP. If the child loses FIP eligibility and must reapply, the child is:</p> <ul style="list-style-type: none"> • Exempt if in school full-time or • FIA-responsible if not in school full-time. <ul style="list-style-type: none"> ▪ A needy caretaker relative chose an LBP effective October 1, 2005, or earlier and applies for the needs of the children only. | <p>For a first LBP or a subsequent LBP that is beyond the 6-month period of ineligibility, stop the LBP by entering reason “W” in PJCase. Redetermine eligibility. Do not issue corrective benefits.</p> <p>Continue a subsequent LBP when the six-month period is in effect.</p> <p>For a first LBP, or a subsequent LBP that is beyond the six-month period of ineligibility, stop the LBP by entering reason “W” in PJCase. Determine eligibility for the children only.</p> <p>Consider the LBP as temporarily stopped. Reactivate it if the relative is needy and reapplies for the caretaker relative’s own needs.</p> <p>Do not stop the LBP for the children with reasons “B” or “D” unless they no longer live with the relative, because FET will not properly count the relative’s use of the 60-month limit.</p> <p>Continue a subsequent LBP when the six-month period is in effect.</p> |

| Situation | EBS action |
|--|---|
| <ul style="list-style-type: none"> The LBP needs to remain active for the person who chose it, but does not apply to other persons included in the LBP, and neither reason “B” nor “D” apply. | <p>Stop the LBP for the other person(s) by entering reason “I” in PJCase. Determine eligibility if needed. Situations for using reason “I”:</p> <ul style="list-style-type: none"> PJCase incorrectly includes a person who was not a child or parent in the FIP eligible group when the LBP was chosen. A household appeals FIP cancellation after being added to the LBP a person who entered the home after the plan is in effect for the person who chose it. In this situation, the LBP must remain active for the person who chose it and stopped for the recently canceled person. |

Hardship Exemption

Legal reference: 441 IAC 41.30(3); 93.11(1)

Policy: The goal of FIP is for families to 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 EBS 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 an application as a condition for regaining FIP eligibility.

Families may be denied or granted a hardship exemption. The hardship exemption eligibility determination is a two-step process:

- Based on supporting evidence, the local EBS determines whether the family has a hardship condition that affects its ability to be self-supporting.
- For an FIA-responsible person, PROMISE JOBS determines how the hardship issues will be addressed in the FIA.

A family:

- Without an FIA-responsible person has to meet step 1.
- With an FIA-responsible person has to meet both steps before the hardship exemption request can be granted.

The family requesting the hardship exemption has primary responsibility for identifying hardship barriers and providing supporting documentation.

For a family with an FIA-responsible person, PROMISE JOBS, along with the family and recommendations from the family's service worker, will determine the focus of the steps to be included in the six-month FIA.

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.

Families may request and be granted more than one hardship exemption if warranted by their hardship circumstances, if 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.

Each hardship exemption approval or denial must be disposed of with a corresponding *Notice of Decision*. Families whose request for a hardship exemption is denied are afforded normal appeal rights. In addition, the EBS must record the family's particular hardship exemption approval or denial reasons in the FIP Eligibility Tracking (FET).

Families whose request for a hardship exemption is denied are afforded all the usual appeal rights. See [Hardship Appeals](#).

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.

The LBP applies to FIA -responsible people who fail to follow the terms of their FIA during a six-month hardship exemption. If the family reconsiders the LBP, 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 \(LBP\)](#) 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 FIA and a new hardship exemption determination are required for each subsequent hardship exemption period.

Procedure: The EBS 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 HHS or PROMISE JOBS office. When an application is required for the family to regain FIP eligibility, the 30 days begin the day after the application is received, if that date is later. (See [Final Exemption Decision](#).)

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 FIA](#)
- [The six-month FIA](#)
- [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)

Policy: A family that includes an adult who is subject to the 60-month FIP limit may receive FIP for more than 60 months if the family requests and is 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 parent’s spouse in the home with the parent and child, whether or not the stepparent is included in the grant.
- A needy nonparental specified relative who is or requests to be on the FIP grant with the child.

A minor parent in the home who is payee for the minor’s own FIP case, even if the minor parent is excluded from the grant. When the only parent receives SSI (or both parents or both the parent and stepparent receive SSI), the 60-month limit does not apply. Therefore, a hardship exemption is not needed for the family to be FIP-eligible.

The 60-month limit does apply when both parents or the parent and stepparent are in the home but only one parent or stepparent receives SSI.

The 60-month limit does not apply when a specified relative receives FIP for a child but the relative is not included in the FIP grant. When the specified relative is needy and is included in the FIP grant, only the relative becomes ineligible at the end of the 60-month period. FIP for the child may continue.

Eligibility for a hardship exemption cannot begin until the adult in the family has received FIP for at least 60 months.

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.

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.

In two-parent families, both parents must meet the hardship exemption requirements.

Families with FIA-responsible persons who 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.

In two-parent families, both parents must meet the hardship exemption requirements.

Procedure: The hardship determination is a two-step process:

- Based on supporting evidence, the EBS determines whether the family has a hardship condition that affects its ability to be self-supporting.
- If IM determines the family meets hardship criteria, the FIA-responsible adults in the family must meet with PROMISE JOBS to develop and sign a six-month FIA that addresses the family's hardship condition.

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.

For example:

Families A and B are both living at a domestic violence shelter. Parent A is still able to maintain employment. A hardship exemption based on domestic violence is not appropriate for family A. The domestic violence issue has interrupted Parent B's employment and keeps Parent B from participating in work-related or job-readiness activities. A hardship exemption may be granted for family B.

- 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.

Procedure: For FIA-responsible hardship applicants, the EBS may contact PROMISE JOBS for information about the participant's participation in PROMISE JOBS or other circumstances that will help IM to determine whether hardship criteria are met.

EXAMPLE:

If the family with an FIA-responsible person has failed to comply with PROMISE JOBS activities that were offered to overcome a barrier to self-sufficiency, that specific barrier is not considered as meeting hardship criteria.

If appropriate, IM will consult with the PROMISE JOBS worker whenever the PROMISE JOBS worker may have relevant information, such as when the family is currently active for FIP, has previously chosen an LBP or is applying for a subsequent hardship period.

The EBS 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)"e"

Policy: 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.

Requests for the exemption must be made on form 470-3826, *Request for FIP Beyond 60 Months*. Families that are no longer on FIP will also need to complete the *Food and Financial Support Application*, form 470-0462 or 470-0462(S), as a condition for regaining FIP eligibility.

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 date of the hardship exemption request is the date a valid form 470-3826 or 470-3826(S), *Request for FIP Beyond 60 Months*, is received in any HHS or PROMISE JOBS office. The form shall be date-stamped upon receipt in either office to preserve the date of the request.

Procedure: The EBS 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.

If a form 470-3826 *Request for FIP Beyond 60 Months* is received in a PROMISE JOBS office, date-stamp the form upon receipt in either office to preserve the date of the request. Forward it to the local IM office within one working day.

The EBS will cancel FIP when the family has received 60 months of FIP, 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 EBS will check the family's FIP and LBP status to determine whether the hardship request is appropriate.

If an application for FIP is needed, the EBS will issue the application within one working day. The EBS 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, EBS 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"

Procedure: EBS 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 EBS will consider the impact of the total circumstances on the family's ability to be self-supporting in the hardship exemption determination.

The EBS 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 EBS will also determine whether the family has an active service case. If so, the EBS 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 FIA 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 EBS 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 EBS will determine whether the family has a hardship condition that affects its ability to be self-supporting.

If the family does **not** meet hardship criteria, the EBS will deny the hardship exemption request.

If the family **meets** hardship criteria, the EBS will within one working day:

- Refer the applicant to PROMISE JOBS as described at Referring Hardship Exemption Families;
- Schedule an appointment for those referred to attend a required interview with PROMISE JOBS to develop and sign a six-month FIA; and
- Forward a copy of each of the following to the local PROMISE JOBS office:
 - Form 470-3826, Request for FIP Beyond 60 Months.
 - Form 470-3884, Hardship Exemption: Service Information, if one exists
 - 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 EBS has determined that the family has a hardship condition, and the family must now develop and sign a six-month FIA before the hardship exemption request can be granted.
- Provide you with information about the specific reasons for approval of the hardship so that the FIA can be written to address those specific barriers.

Appointment to Develop and Sign the Six-Month FIA

Legal reference: 441 IAC 41.30(3)“g”

Policy: The FIA-responsible adults in a family with a hardship condition must meet with PROMISE JOBS to develop and sign a six-month FIA before the hardship exemption request can be approved. The agreement must address the circumstances that are creating the family’s barrier to self-sufficiency. The EBS schedules the FIA appointment for the FIA-responsible adults.

The FIA-responsible adults include all of the following unless exempt:

- The parent in the home with the child (even if the parent is or will be excluded from the FIP grant).
- The parent’s spouse in the home with the parent and child if the spouse is or will be included in the FIP grant.
- A needy nonparental specified relative who is or requests to be on the FIP grant with the child.
- A minor parent in the home who is payee for the minor’s own FIP case, even if the minor parent is excluded from the grant.

Procedure: EBS will schedule this appointment at the earliest possible date. IM notifies:

- PROMISE JOBS of the appointment through entry in the PJCase Calendar option.
- The FIA-responsible adults by issuing form 470-3897, *FIA Appointment* to them.

Notify the FaDSS case manager of the appointment as soon as possible 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 the FIA appointment for the adult. In two-parent families, both parents must attend.

Continue the case file narrative by clearly indicating that the family has exhausted 60 months of FIP and a *Request for FIP Beyond 60 Months* has been received.

Amend the FIA for:

- Participants approved for a hardship exemption and who are having difficulty fulfilling the steps in their six-month FIA or experience changed circumstances.
- Amend the FIA for participants approved for a hardship exemption 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.

Confer with the HHS service worker, the EBS, or the FaDSS specialist associated with the family when needed.

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 FIA.

Final Hardship Exemption Decision

Legal reference: 441 IAC 41.30(3)“f”

Policy: The EBS must be notified by PROMISE JOBS when the adults in a hardship applicant family have signed an FIA.

Procedure: Document in Part B of form 470-3876, *Hardship Exemption Determination*, whether the family has met the FIA requirement. Return a copy of form 470-3876 to the EBS. If the family is reconsidering an LBP and FIP approval is contingent upon completion of 20 hours of work activity, note this in Part B.

Make entry in PJCase:

- To indicate if each of the FIA-responsible persons signed an FIA.
- When an FIA-responsible person has completed the required hours of work activity needed to end a subsequent LBP.

Upon receipt of a copy of form 470-3876 from PROMISE JOBS, the EBS 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 FIA, the family is not eligible for a hardship exemption. EBS will document the final hardship exemption denial in Part C of the form and deny the hardship application.
- If Part B reflects that the family attended and signed the FIA, EBS will determine FIP eligibility and document the final hardship exemption determination in Part C of the form.

The EBS will forward a copy of the completed form 470-3876 to:

- PROMISE JOBS
- The service worker identified on form 470-3884

Upon receipt of the completed form 470-3876 showing approval for a hardship exemption, forward a signed copy of the FIA to:

- The FaDSS specialist, if FaDSS is involved with the family,
- The service worker identified on form 470-3884, and

Six-Month Hardship Exemption Period

Policy: Eligibility for a hardship exemption cannot begin until an 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 due to the limit on FIP grants below ten dollars.

FIP received for a partial month of the six-month hardship exemption period counts as a full month. **NOTE:** The six-month hardship exemption stops when the family's FIP case is canceled for any reason **other than** hardship and an application is needed for the family to regain FIP eligibility.

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.

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.

Procedure: The EBS informs PROMISE JOBS about changes in household composition during the six-month hardship period. The six-month FIA may need to be amended.

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 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 EBS will reinstate FIP and continue the hardship exemption period through June.

3. Family B's hardship exemption period is from February through July. Ms. B fails to follow the terms of her six-month FIA and an LBP results. FIP is canceled effective April 1 because of the LBP. Because Ms. B previously chose a valid LBP, she will be ineligible for FIP for a minimum of six months.

NOTE: If this were Ms. B's first LBP, and she reconsidered by signing an FIA before the effective date of the FIP cancellation, FIP would be reinstated and the hardship exemption continued through July.

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 FIA will cover the same period.

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 if the family remains eligible for FIP regardless of whether Mr. B has received FIP for 60 months.

If Mr. B signs an FIA and is otherwise eligible, the EBS will add him to the FIP eligible group and make a referral to PROMISE JOBS. IM will refer Mr. B to PROMISE JOBS as described at Referring Applicants.

Changing the 60-Month FIP or Six-Month Hardship Exemption Period

Policy: 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.

When the additional months of the revised 60-month period extend into an existing six-month hardship period, the exemption period is extended by the same number of months. A new hardship determination is not needed.

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.

Procedure: The EBS 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 FIA to extend over the revised 60-month or six-month period.

Schedule an appointment with the participant to renegotiate the FIA. Even though the *Notice of Decision* informs the family to contact PROMISE JOBS to amend the FIA and that an LBP results from failing to do so, PROMISE JOBS needs to initiate the appointment. See [Renegotiation and Amendment of the FIA](#).

1. Family C's 60-month FIP period ends 12/31.
12/15 – The EBS cancels FIP effective 1/1.
12/20 – The family appeals the FIP cancellation. FIP is reinstated for 1/1.
12/21 – The family files a hardship exemption request.
01/18 – The hardship exemption is approved from 1/1 through 6/30.
02/15 – The final appeal decision upholds the family and determines a 3/31 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 FIA scheduled to end June 30 must be amended to extend through the revised September 30 hardship exemption ending date. The EBS notifies PROMISE JOBS of the changes and the need for the family's FIA to be amended.

The EBS 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 FIA and that an LBP results from failing to do so.

PROMISE JOBS schedules an appointment to amend the FIA.

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 EBS 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 FIA.

The hardship period is from January through June. In March, the EBS discovers that the 60-month FIP period should extend through August 31. The EBS 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 EBS notifies PROMISE JOBS of the changes. PROMISE JOBS schedules an appointment to amend the FIA 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

Policy: All PROMISE JOBS supportive payments are subject to recovery when the FIA-responsible person is not eligible for the payment, including payments made during an erroneously approved hardship exemption period.

FIP/PROMISE JOBS supportive payments 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.

Procedure: Recoup supportive payments issued during an erroneously approved hardship exemption period.

Also recoup supportive payments 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 FET from counting those months.
- Required timely notice to cancel FIP at the end of the 60-month period.

Comment:

1. Family G's 60-month FIP period ends 12/31.
12/15 – The EBS enters the FIP cancellation effective 1/1.
12/20 – The family appeals cancellation. FIP is reinstated for 1/1.
02/15 – The final appeal decision upholds the Department.

FIP is canceled effective March 1 in accordance with the final appeal decision. FIP and all supportive payments issued for January and February are subject to recoupment.
2. Family H's 60-month FIP period ends 12/31.
12/15 – The EBS issues a notice and cancels FIP effective 1/1.
12/20 – The family appeals the cancellation. FIP is reinstated for 1/1.
01/26 – The family files a hardship exemption request.
02/12 – The hardship exemption is approved from 1/1 through 6/30.
02/15 – 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 EBS will identify that month in FET.

Limited Benefit Plan During a Hardship Exemption

Legal reference: 441 IAC 41.30(3)"g"

Policy: 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 FIA. Failure to develop and sign this FIA results in denial of the family's hardship exemption request, rather than an LBP.

However, a family that has been granted a hardship exemption and does not follow the terms of its six-month FIA or that fails to amend the FIA when necessary has chosen an LBP.

When a family chooses a first LBP 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.

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 [13-G](#) for appeals regarding the Child Care Assistance program.

Informal Dispute Resolution Process

Legal reference: 441 IAC 93.15(1)

Policy: When there is disagreement between the participant and the immediate PROMISE JOBS worker regarding an FIA or participation in PROMISE JOBS components, the participant 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 participant within 7 days and issue a decision in writing within 14 days of the participant's request.

Procedure: Issue the 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 participant that this resolution process is not an appeal, nor are appeal rights extended while this process is being conducted. A participant can ask for the meeting with the supervisor before or after signing the FIA. See [PROMISE JOBS Appeal Procedures](#) for the relationship between the informal resolution process and the right to appeal the content of the FIA.

PROMISE JOBS Appeal Procedures

Legal reference: 441 IAC 7, 93.15(239B)

Policy: 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.

When you receive a verbal request to appeal, document the conversation on form 470-0487 or 470-0487(S), *Appeal and Request for Hearing* and forward to the HHS Administrative Rules and Appeals Section within 24 hours. Complete the:

- Appellant's name, address, and phone number;
- Program or programs that are being appealed;
- Tell us why you are appealing. For the response to this question, the worker should enter, "Per telephone conversation with the appellant on (enter the date)," and the reason that the appellant is appealing; and
- Do you want your benefits to continue during your appeal;
- Do you want an informal conference with your worker;
- Do you want a language interpreter for your hearing;
- Worker information section.

When submitting an appeal request to the HHS Administrative Rules and Appeals Section:

- Include a copy of the FIA when the appellant is appealing the contents of the FIA.
- Include a copy of the contested notice of decision only when the appellant is appealing a CCA decision. HHS Administrative Rules and Appeals can get a copy of the *Notice of Decision* from WISE when the appeal is regarding an LBP or a supportive payment other than CCA.

Send the EBS a copy of an LBP appeal request at the same time that you send it to the HHS Administrative Rules and Appeals Section.

Within ten days of filing the appeal, upload a written summary of the action being appealed to the HHS Appeals Information System (AIS).

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 an LBP, both the EBS and the PROMISE JOBS worker each prepare an appeal summary. EBS **do not** need to attend LBP hearings except in rare situations when PROMISE JOBS asks for IM's attendance as it will help the particular case.

The following sections explain how these procedures apply to:

- [Continuing benefits pending an appeal decision](#)
- [Appeals of limited benefit plans](#)
- [Appeals of hardship exemption decisions](#)
- [Appeals in the Work Experience Program](#)

Continuation of Benefits Pending Appeal Decision

Legal reference: 441 IAC 7.17(17A), 93.15(239B)

Policy: Assistance is continued if the appeal is filed before the effective date of the intended action or within 10 days from the date the notice is received. The date the notice is received is considered to be five days after the date on the notice unless the appellant shows the notice was not received within the five-day period.

Procedure: Continue PROMISE JOBS services, including supportive payments, when:

- The appeal is “timely,”
- The notice under appeal canceled, reduced, or suspended FIP or PROMISE JOBS benefits,
- The appellant requests that benefits continue, and
- The appellant continues to participate in the PROMISE JOBS activity.

A “timely” appeal is filed:

- Before the effective date of the notice or
- Within 10 days from the date the notice is received (15 days from the issuance of the notice or longer if the appellant shows the notice was not received within five days of issuance).
- When the last day before the effective date or the 10th 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 an LBP, but the participant files a timely appeal and continues to participate in the program. The key is that the participant continues to participate in the assigned activity.

Do **not** continue assistance when the appeal was not filed “timely,” or the appellant does not continue to participate in the activity.

Recoup PROMISE JOBS supportive payments 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 an LBP, and
- The appeal was a "timely" appeal of the notice issued to initially start the LBP and the LBP will be reactivated with a new effective date.

EBS assumes the appellant wants FIP assistance to continue pending the appeal unless the appellant has stated in writing that they do not want FIP assistance to continue.

If an appellant files a timely appeal of the LBP and does not request that FIP not continue pending the appeal and otherwise remains eligible for a FIP:

- The EBS will stop the LBP in PJCase and reinstate FIP until the final appeal decision is received.
- PJCase issues a notice telling the appellant that the LBP is delayed due to the appeal.
- Continue PROMISE JOBS services and issue supportive payments if the appellant continues to participate in the assigned PROMISE JOBS activity.

IM will not stop the LBP when:

- The appeal is not filed timely,
- The client is not eligible for continued benefits, or
- The client does not want benefits to continue.

Appealing a Limited Benefit Plan

Legal reference: 441 IAC 7, 93.15(239B)

Policy: A person has the right to appeal the establishment of a **first** or **subsequent LBP** when the *Notice of Decision* establishing the LBP is issued. A person can appeal the establishment of a particular LBP only once.

If another appeal is filed after the LBP 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.

Procedure: The HHS Administrative Rules and Appeals Section makes the determination as to whether a hearing will be granted. PROMISE JOBS does not make this determination.

If you receive an appeal request of an LBP, and the appellant filed a prior appeal regarding the same LBP, forward the appeal request to the HHS Administrative Rules and Appeals Section as described at [PROMISE JOBS Appeal Procedures](#).

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, 93.15(239B)

Policy: If the final appeal decision reverses the decision to impose the LBP, the LBP is considered imposed in error. The LBP does not count as a valid LBP if the person later chooses another LBP.

Procedure: If the final decision reverses the decision to impose the LBP the EBS will take action as follows:

- If the LBP was not stopped or assistance did not continue pending the appeal, the EBS will:
 - Stop the LBP in PJCase as one in error (stop reason “C”).
 - Determine eligibility for corrective benefits.
- If the LBP was stopped and assistance continued pending the appeal, the EBS will use PJCase to change the stop reason to designate the LBP as one in error (stop reason “C”).

These actions keep the system from considering the LBP as a “valid” LBP if another one is imposed later.

When the Final Decision Affirms the Limited Benefit Plan

Legal reference: 441 IAC 7.17; 93.15(5); 7 CFR 273.15(k)(1)

Policy: An LBP with a **new** effective date applies when the final decision affirms the LBP and:

- The appeal was filed:
 - Before the effective date of the initial notice of decision establishing the beginning date of the LBP, or
 - Within 10 days from the date the participant receives the notice establishing the beginning date of the LBP. The date on which the notice is received is considered to be five days after the date on the notice, unless the appellant shows that the appellant did not receive the notice within the five-day period.

Hardship Appeals

Legal reference: 441 IAC 41.30(3)“h”

Policy: Participants may file an appeal of cancellation of FIP due to the 60-month limit or a denial or cancellation of a hardship exemption.

If the final appeal decision upholds the Department, PROMISE JOBS supportive payments issued pending the appeal are subject to recovery.

Procedure: PROMISE JOBS needs to be involved in an appeal of cancellation due to an LBP that is imposed during a hardship exemption period. Follow the instructions in [PROMISE JOBS Appeal Procedures](#) when you get an appeal for an LBP that was imposed during a hardship exemption period.

Follow the instructions in [PROMISE JOBS Appeal Procedures](#) when you receive an appeal of a 60-month FIP cancellation or from a denial or cancellation of a hardship exemption.

PROMISE JOBS does not need to be involved in an appeal of a 60-month FIP cancellation. However, PROMISE JOBS needs to participate in an appeal of a hardship denial if PROMISE JOBS was involved in the decision to deny a hardship exemption. The EBS will contact you if you need to be involved in the appeal.

It is important that you and the family's EBS coordinate your respective activities when involved in the decision to cancel or deny. When you receive an appeal of the denial of a hardship exemption request, forward a copy of the appeal request to the EBS. Exchange documentation and other information relevant to the appeal with the EBS.

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 and FIA as in the example below:

The family's 60-month FIP period ends 12/31.
12/15 – The EBS enters the 60-month FIP cancellation effective 1/1.
12/20 – The family appeals the FIP cancellation. FIP is reinstated for 1/1.
12/21 – The family files a hardship exemption request.
01/18 – The hardship exemption is approved from 1/1 through 6/30.
02/15 – The final appeal decision upholds the family and determines a 3/31 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 EBS 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 FIA must be amended and that an LBP results for failing to do so.

Appeal Rights Applicable to WEP

Legal reference: 441 IAC 93.15(6)

Policy: A participant who is enrolled in the PROMISE JOBS program may request an appeal hearing if dissatisfied with working conditions, the availability of workers' compensation coverage, or the wage rate used in determining hours of work experience program participation.

Procedure: When any involved party is dissatisfied with HHS' decision on the appeal, inform the dissatisfied party of the right to appeal the issue to the Secretary of Labor within 20 days of the receipt of the Department's final decision. If so desired, assist with appealing the issue to the Secretary of Labor at:

Office of Administrative Law Judges
U.S. Department of Labor
800 K St NW
Washington, DC 20001

The HHS Community Access and Eligibility, Economic Assistance Division Administrator and the appropriate responsible IWD administrator must approve any changes to the base plan and PROMISE JOBS Service Area local plans, with additional written policies not addressed in the base 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 HHS local offices and PROMISE JOBS offices. 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 47.27(239B)

Policy: At a minimum, the policies and procedures of FSSG plans 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 service area. 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 PROMISE JOBS service area. 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 service area. See [Total Payment Limit](#) and [Frequency of Assistance](#).
 - Verification procedures or standards for documenting barriers, using written notification policies found at [Written Notice to Participant](#).
 - Application processes and procedures, including how applications will be processed timely to address barriers to obtaining or retaining employment. Define “timely” for your PROMISE JOBS service area. See [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 [Verifying and Projecting Employment Hours](#).
- Follow-up procedures on participant effort.
- Procedures for tracking of FSSG authorizations in order to stay within your PROMISE JOBS service area allocation.
- How your PROMISE JOBS service area 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 PROMISE JOBS service area.
 - How families can apply for FSSG assistance in your PROMISE JOBS service area.
 - How HHS local offices and your PROMISE JOBS offices will maintain, provide to participants, and otherwise make available the written policies and procedures describing the FSSG Program.
 - 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 PROMISE JOBS service area's tracking procedures.
 - Describe your PROMISE JOBS service area's plan for evaluation (e.g., what elements will be used to create significant data regarding outcomes).
 - Describe how measurable results in your PROMISE JOBS service area will be determined.
 - Identify any support you need to conduct an evaluation (e.g., what assistance is needed from HHS and IWD).

2. On November 20, a trained but unemployed candidate applies for an FSSG 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 in December, 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.

HHS, in conjunction with IWD, determined those barriers to self-sufficiency that can be considered for FSSG. The barriers are listed in the FSSG base plan and include, but are not limited to:

- Auto maintenance or repair.
- Licensing fees.
- Relocation Assistance
- Housing Assistance
- Transportation, Other Than Vehicle Repair
- Clothing for Employment
- Tools and Equipment
- Grooming and Personal Care
- Utility Services
- Referral to other resources including those necessary to address questions of domestic abuse.

PROMISE JOBS service areas have the discretion to adjust the list of approvable barriers to self-sufficiency in their local FSSG plan based on local resources and circumstances. The HHS Community Access and Eligibility, Economic Assistance Division Administrator and the appropriate responsible IWD administrator must approve any changes to the list of services in the base plan or IWD PROMISE JOBS service area local plans.

Types of services must be addressed in two ways. FSSG plans must describe:

- Services established by your PROMISE JOBS service area.
- Services or assistance that will be excluded from consideration in your PROMISE JOBS service area.

The HHS Community Access and Eligibility, Economic Assistance Division Administrator in conjunction with the appropriate responsible IWD Administrator have discretion in determining the payment authorization method.

The approved payment authorization method for each approvable service is identified in your FSSG plan and may include authorization as follows:

- To the participants.
- To a vendor.
- To a provider of support services to the family.

The IWD PROMISE JOBS service area may adjust these payment options in an individual case, based on circumstances and needs of the family with the approval of the HHS Community Access and Eligibility, Economic Assistance Division Administrator and the appropriate responsible IWD Administrator prior to implementation.

Total Payment Limit

Legal reference: 441 IAC 47.24(3)

Policy: The payment limit per participant 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 participant. The PROMISE JOBS service area may establish maximums less than this \$1,000 and also may establish minimum payment standards.

A year for a participant shall be the 12 fiscal months following the date of authorization of the initial payment for the participant. A fiscal month may begin and end in different calendar months. For example, if a payment were authorized on April 15 of the current year, the 12 fiscal months following the authorization date would end on April 14 of the next year.

Frequency of Assistance

Legal reference: 441 IAC 47.24(4)

Policy: A Family Self-Sufficiency Grant is intended to provide immediate and short-term assistance. While a family may be a candidate more than once and may receive payments in consecutive months in some circumstances, payments cannot be established as regular or ongoing.

Procedure: You may authorize FSSG to a family more than once or in consecutive months due to family circumstances, but you must not establish payments that are regular or ongoing.

Grants must meet all of the criteria included here and in your FSSG plan 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 retain employment or obtain employment within the two full

calendar months following the authorization date of the grant.

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 PROMISE JOBS service area 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 PROMISE JOBS service, refer the candidate to other resources that may be able to assist with the financial need. If FSSG assistance is still needed, during the application process, talk with the family about whether they have already paid, or how they plan to pay, any amount that is over the \$1,000 limit or any limits established by your PROMISE JOBS service area.

Supplanting

Legal reference: 441 IAC 47.24(5)

Policy: FSSG cannot be used for services already available through HHS, PROMISE JOBS, or other local resources at no cost.

Procedure: Do not authorize an FSSG for services that are already available through HHS, 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 PROMISE JOBS service area. Work together to ensure that responsibilities for funding are not assumed by the FSSG program when they are already available through other community resources.

Application Process

Legal reference: 441 IAC 47.25 (1)

Policy: Each PROMISE JOBS service area shall use the established application form to be completed by the PROMISE JOBS participant and the PROMISE JOBS worker when the participant asks to be a candidate for FSSG.

The application form must contain:

- 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.

Payment may be issued to the participants or to a vendor for support services provided to the family. The HHS Community Access and Eligibility, Economic Assistance Division Administrator, in conjunction with the appropriate responsible IWD Administrator have discretion in determining the payment authorization method.

Payment authorization methods specified in FSSG Plans may be adjusted in an individual case, based on circumstances and needs of the family with the approval of the HHS Community Access and Eligibility, Economic Assistance Division Administrator and the appropriate responsible IWD Administrator prior to implementation.

Procedure: Use PJCase 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. Use the payment authorization method specified in your FSSG Plan to authorize payments to the client, a vendor, or to a provider of services.

The approved payment authorization method for each approvable service is identified in your FSSG plan and may include authorization as follows:

- To the participants.
- To a vendor.
- To a provider of support services to the family.

The IWD PROMISE JOBS service area may adjust these payment authorization methods in an individual case, based on circumstances and needs of the family with the approval of the HHS Community Access and Eligibility, Economic Assistance Division Administrator and the appropriate responsible IWD Administrator prior to implementation.

FSSG Overpayments

Legal reference: 441 IAC 47.28(239B) and 47.24(1)

Policy: An overpayment exists when:

- An item(s) for which the funds were awarded were not purchased
- A duplicate payment was issued
- According to the receipts, the item(s) purchased cost less than the funds received.

For the purposes of overpayment and recovery, an FSSG payment is considered a PROMISE JOBS expense payment and is subject to recovery of PROMISE JOBS expense payments.

Procedure:

Consider an FSSG to be an overpayment subject to recovery when:

- An item(s) for which the funds were awarded were not purchased
- A duplicate payment was issued
- According to the receipts, the item(s) purchased cost less than the funds received.

Do not consider an FSSG to be an overpayment when:

- A recipient loses employment
- Expected employment does not occur in the anticipated two-calendar month period following the date the payment was authorized.