



A Tradition of Stewardship
A Commitment to Service

NAPA COUNTY HEALTH AND HUMAN SERVICES AGENCY

Self Sufficiency Services Division

<p><u>POLICY AND PROCEDURE:</u></p> <p>Self-Initiated Program (SIP)</p> <p><u>REVIEW FREQUENCY:</u> Every two years</p>	<p>EFFECTIVE DATE: January 1, 1998</p> <p>ORIGINAL DATE OF ISSUE: November 1, 2001</p> <p>LAST REVISION DATE: November 21, 2017</p>
<p>POLICY # 2000601-2001-17</p>	<p>APPROVAL: <u>Teresa Brown</u> 12/11/17 Employment Services Manager Date</p>
<p><u>DISTRIBUTION:</u></p> <p><input checked="" type="checkbox"/> Employment Services <input type="checkbox"/> Eligibility Services</p> <p><input type="checkbox"/> CSOA <input checked="" type="checkbox"/> Quality Mgmt</p>	<p>APPROVAL: <u>Lynn Perez</u> 12/13/17 SSSD Deputy Director Date</p> <p>APPROVAL: <u>Murphy</u> 12-14-17 HHS Director Date</p>

POLICY STATEMENT:

It is the policy of the Napa County Health and Human Services Agency (NCHHSA) to identify and allow approvable education programs to assist in securing a participant's ability to become self-sufficient.

ADMINISTRATION:

Employment Services Worker (ESW)

DEFINITIONS:

None

END OF POLICY

PROCEDURE

I. Enrollment

- A. Enrollment means that the individual has applied for and been accepted into the degree or certificate program, and continues to meet or fulfill all conditions imposed by the institution offering the program to maintain current enrollment status on either:
 - 1. The date of the appraisal appointment, **or**
 - 2. The date the participant failed, without good cause, to appear for the appraisal appointment.
- B. If there are no formal acceptance procedures for the program, then enrollment status includes the declaration of a major.

II. SIP Criteria

- A. In order for the SIP to be an approved Welfare-to-Work (WTW) activity, all four of the following criteria must be met:
 - 1. Participant must be making satisfactory progress
 - a. Satisfactory progress means that the participant is maintaining a cumulative “C” grade point average, **or**
 - b. If the school/institution does not give grades, is making satisfactory progress according to the provider’s standard.
 - 2. The ESW has determined that continuing in the program is likely to lead to self-supporting employment.
 - a. A program whose occupation shows growth based on the Napa County Labor Market Information.
 - b. For participants whose program is not on the list, an individual determination will be made as outlined in Section III.
 - 1) SIPs shall not be approved for individuals completing general education without a declared major.
 - c. Program is either approved or exempt by the appropriate state regulatory agency and the program is in compliance with all other provisions of the law.
 - d. Degree, certificate or vocational programs offered by private post secondary schools are either approved or exempted by the Department of Consumer Affairs, Bureau for Private Post Secondary and Vocational Education or accredited by the Western Associated of Schools and Colleges.
 - 1) Workforce Innovations and Opportunity Act (WIOA) staff can assist the ESW in securing this documentation.
 - 3. Participant is participating in classroom, laboratory, or internship and concurrent WTW activities for the required minimum number of hours.
 - a. The required minimum number of hours are:
 - 1) 20 hours per week for a participant with a child under six (6) years of age
 - 2) 30 hours per week for a participant with no child under six (6) years of age
 - 3) 30 hours per week for each participant in a two parent household
 - i. If both parents are participating in a SIP, both parents have a 30 hour per week requirement.
 - ii. If only one parent is participating in a SIP, that one parent has a 30 hour per week requirement. The remaining 5 hours to make up the two-parent 35 hour requirement can be completed by the parent in a SIP or by the other parent.

- b. Concurrent WTW activities are limited to:
 - 1) Unsubsidized employment
 - 2) Subsidized private or public sector employment
 - 3) Work experience (WEX)
 - 4) On the job training (OJT)
 - 5) Grant based OJT
 - 6) Supported work or transitional employment
 - 7) Work study
 - 8) Self Employment
 - 9) Community Service
- c. Study hours are not an allowable SIP activity (W&I Code [11325.23](#))
- 4. Participant does not possess a baccalaureate degree
 - a. Individuals pursuing a California regular classroom teaching credential in a college or university with an approved teacher credential preparation program may be an approved SIP.
- B. At the WTW Orientation or Appraisal when the ESW learns that the participant is a potential SIP, the ESW will explain the SIP criteria.
 - 1. If the applicant requests that the SIP be his/her WTW activity, the ESW will obtain the SSSD 3051 – SIP Request Form.
 - 2. Request the participant provide all of the verification needed to make the SIP determination. Items requested may include:
 - a. Current class schedule or other verification of enrollment
 - b. Education plan completed by an education counselor
 - c. Latest report card or progress report
 - d. Transcript or report cards for all completed course work
 - e. Verification of loans and grants received.
 - f. WTW 8 – Student Financial Aid Statement
 - g. Documentation supporting labor market if not on provider list of approved programs (Refer to Section III).

III. Un-approvable Programs

- A. If a participant is in a program that is not on the list of approvable programs, the ESW will determine if the program leads to self-supporting employment.
- B. To begin the process for making the determination, the participant will be informed of the denial of the SIP (NA 119 CIV) because it is not on the approved program list and that he/she may demonstrate to the ESW that the program will lead to self-supporting employment by:
 - 1. Providing a sworn statement from an employer stating that the participant will be hired by the employer when he/she completes the SIP, **or**
 - 2. Three recent (within one month) classified advertisements to recruit employees at a skill level that the participant can achieve through the SIP, **or**
 - 3. A statement from a school district, community college, university or Employment Development Department (EDD) that the SIP will lead to self-supporting employment.
- C. If it is determined that the program will not lead to self-supporting employment and the SIP is denied, the participant may continue in the program until the beginning of the next educational semester or quarter break, if he/she is making satisfactory progress in the educational program and continues to make satisfactory progress in the program.

1. At the time the educational break occurs the participant will be required to participate in the usual sequence of WTW activities, following the WTW Flow, **or**
2. The participant may continue in the educational program if he/she transfers at the end of the current quarter or semester to a program that meets the SIP criteria and the WTW plan reflects that determination.

IV. Interruption of the SIP

- A. A participant is not required to attend classes during the summer or other breaks if it is not required by the participant's school or program. In this case, the participant is still considered to be participating in a SIP, and will continue his/her program when classes resume.
 1. Since the participant is still an active SIP, the participant is required to meet the 20/30 hour requirement by participating in only those activities listed in Section II.A.3.b above.
- B. A participant whose approved SIP activity is interrupted for good cause reasons may resume participation in the same program if:
 1. The participant maintained good standing while attending the SIP, **and**
 2. The SIP continues to meet the approval criteria
- C. Good cause reasons may include:
 1. Lack of child care or other supportive services
 2. Domestic violence
 3. Legal difficulties
 4. Medically verified illness
 5. Other reasons as determined appropriate by the ESW, with supervisor approval.

V. SIP WTW Plan

- A. Participation in the SIP must be reflected in the WTW Action Plan.
 1. The plan shall include information on all classes or equivalents that are required to meet the goal of the assigned education/training program. This information may include:
 - a. Course catalogues
 - b. Education plans
 - c. Education hours
 - d. Other documentation provided by the education provider at the time the participant enrolls.
 2. Other education activities, including concurrent or prerequisite classes that are required by the participant's assessment or by other activities, must also be included in the WTW action plan
- B. The SIP plan begins with the signing of the WTW Action Plan and the WTW Activity Agreement (WTW2)
 1. If the education/training program is not in session (i.e. summer break), SIP plan activities are assigned to meet the 20/30 hour minimum requirement until the education/training program begins.
 2. WTW 2 shall be updated each school session to include the specific classes and hours the participant will participate in during that school session.
- C. An assessment is not required to develop a WTW Action Plan for participants in approved SIPs unless the assessment is necessary to assign the participant to concurrent activities to meet the minimum 20/30 hours of participation.
- D. Bridging activities, needed for breaks in the education program (i.e, summer break, winter or spring breaks, etc.), shall be included in the WTW Action Plan.

- E. All activities that are assigned to meet the 20/30 SIP requirement are listed on the WTW plan.
- F. The SSSD 3051 – Self-Initiated Program (SIP) Request form shall be completed. The SSSD 3051 serves to notify the participant of the conditions that must be met in order for the SIP activity to continue as the WTW activity.

VI. SIP Denials

- A. The participant’s education or training activity may be denied as a SIP WTW plan and activity for the following reasons:
 - 1. The participant’s SIP is not an undergraduate degree or certificate program.
 - a. Exception = individuals pursuing a California Regular Classroom Teaching Credential in a college or university with an approved teacher credential preparation program may be an approved SIP.
 - 2. The participant has an overall cumulative grade point average that is below a “C” or he/she is not making satisfactory progress according to the provider’s standards.
 - 3. The ESW has determined that the SIP will not lead to self-supporting employment.
 - a. Refer to Section III for the process for determining if a SIP will lead to self-supporting employment.
 - 4. The participant refuses to comply with the 20/30 hour weekly participation requirement.
 - 5. The participant does not provide all required documentation or verification to make the SIP determination.
 - 6. The participant is attending a degree or certificate program at a private post-secondary school and the program does not meet approval, exemption, or accreditation requirements.
- B. Participant’s who have their SIP denied shall be assigned to the usual sequence of WTW activities following the WTW flow.

VII. Unsatisfactory Progress

- A. ESW should meet with the participant to determine if there is good cause for the unsatisfactory progress.
- B. If good cause exists, the ESW will allow the participant to continue in the SIP until the very next term/quarter/semester to improve their progress.
- C. If a participant fails to maintain satisfactory progress in their SIP Plan without good cause the SIP would be discontinued.
 - 1. SIP discontinuance NOA (NW 853) is sent to the participant
 - 2. A WTW appointment is scheduled to assign the participant to a new activity following the regular WTW flow.
 - 3. Update the SIP Status Detail with an End Date from the SIP Detail Page in C-IV.
 - 4. Close the “SIP” Activity
- D. Non-compliance should not be started on a client for failure to make satisfactory progress in a SIP

VIII. C-IV System Entry

- A. As soon as a participant requests to be a SIP, the ESW shall complete the SIP Detail Page
 - 1. Training Program – Click the “Select” button to choose a training program from the list.
 - a. If the training program is not in the list, send the WTW Analyst an email requesting the program be added. (Program will only be added if there is proof it is a demand occupation).
 - 2. School Status History – Click the “Add” button to be taken to the SIP Status Detail Page.

- a. On the SIP Status Detail Page
 - 1) Status = SIP Pending
 - 2) Status Reason = Waiting for Verification.
- B. Once the ESW has determined if the client will be a SIP or not, the ESW shall update the SIP Status Detail Page to either:
 1. SIP Approved, **or**
 2. SIP Denied and enter reason for denial.
- C. Once SIP is showing as approved the ESW will
 1. Add an activity for 20/30 hours in the “Customer Activity” field
 - a. These activities include any vocational education, job skills training related to employment, or any other SIP related activity.
 - b. SIP activity(s) should only be closed when client is no longer a SIP
 2. Click Save.
- D. Complete a C-IV Journal Entry

IX. Supportive Services

- A. Supportive services should be explained and offered to all SIP participants in order for him/her to fully participate in their plan. Necessary supportive services include, but are not limited to:
 1. Books
 2. Lab or material fees
 3. Transportation
 4. Child Care
- B. Supportive services are not required to be provided for any classes that are not part of the participants WTW Action Plan.
- C. ESW must reimburse SIP participants for all supportive services retroactively to the beginning date of aid when the following conditions are met: (Refer to Bulletin [08-17](#) for examples)
 1. The participant requests reimbursement
 2. The expense is determined eligible
 3. The expense was incurred after the beginning date of aid.
 4. The expense was necessary for participating during the academic period or term in which the SIP was approved.
 5. The expense was an unreimbursed out of pocket cost.
- D. The ESW will not reimburse SIP supportive services that were incurred prior to the beginning date of aid, even if the expenses were paid after the beginning date of aid.

REFERENCES:

ACIN [I-50-04](#) – WTW 8

ACIN [I-57-16](#) – Education and Training Supportive Services & Verification

[ACL 99- 32](#) – Questions and Answers

ACL [14-47](#) – Questions and Answers

MPP [42-711.54](#)

Napa County H&HS Bulletin [08-17](#)

Supportive Services Procedure

W&I Code [11325.23](#)

FORMS

- NA 119 CIV – SIP Denial Notice
- NW 853 – SIP Discontinuance NOA
- SSSD 3051 – Self-Initiated Program (SIP) Request
- WTW 2 – WTW Activity Agreement
- WTW 8 – Student Financial Aid Statement

CONTACT PERSON(S):

Shanna Gardner, Staff Services Analyst

END OF PROCEDURE

REVISION HISTORY:

Revision	Date	Description of Change	Requested By
1.0	08-30-2011	Biennial Review. Updated to include new C-IV System Information, as well information from Bulletin 08-17 on supportive services.	S. Gardner, SSA
2.0	10-21-2014	Biennial Review. Added in information from ACL 14-47 as well as slight changes to C-IV.	S. Gardner, SSA
3.0	11-21-17	Biennial Review. Included SSSD 3051 and ACIN I-57-16	S. Gardner, SSA