

8. CWES Assessment

Assessment is a Job Readiness Assistance activity that count as federal core hours and is designed to assist clients in identifying an appropriate career goal. A client's aptitudes are measured using standardized instruments. These aptitudes are reviewed with the client's interests and are evaluated during the individualized interview(s). Observations from service providers or employers are other behavioral measurements taken into consideration during assessment.

Generally the in-house Assessment takes approximately 30 days. However, there are situations when this 30-day period may be exceeded, such as when the client is referred:

- To the Department of Rehabilitation, or
- To a healthcare or service provider to obtain required documents.

8.1 WTW 24 Month Time Clock

The Assessment activity stops the WTW 24-Month Time Clock. [\[Refer to "Exceptions to the WTW 24-Month Time Clock," page 1-8\]](#) for additional information on time clock exceptions.]

8.2 Disclosure of Medical Condition, Domestic Abuse, Mental Health, or Substance Abuse

When the client discloses Medical condition, Domestic Abuse, Mental Health, or Substance Abuse problems, a referral to, or consultation with, the CalWORKs Social Worker or Health Alliance (HA) must be made prior to, or concurrent with, the referral for Assessment. [\[Refer to "Health Alliance," page 41-1.\]](#) in the CalWORKs Handbook for more information on Domestic Abuse.

If a client discloses a medical condition, the Employment Counselor (EC) must obtain an "Authorization to Release Medical Information" (CW 61), as appropriate.

When the client discloses information indicating a possible learning disability, a learning disability screening must be conducted and at client option, may be referred to in-house Assessment. Refer to [\[Refer to "Learning Disability Screenings," page 13-1\]](#).

8.3 When to Refer for Assessment

8.3.1 In-House Assessment Referrals

A referral for a CWES In-House Assessment may be made when a client:

- Does not obtain employment after completing any pre-Assessment job service activity.
- Discloses a mental, emotional, physical, medical, or an illiteracy that negatively impacts the client's ability to obtain and/or retain employment. This includes, but is not limited to domestic abuse, mental health and/or substance abuse (drug and/or alcohol).
- Does not read or write in English or in their native language and this limitation negatively impacts the ability to obtain or retain employment.
- Displays irregular behavior patterns that staff or service providers feel may negatively impact the ability to obtain or retain employment.
- Fails to benefit from, or make progress in, the assigned activity due to significant barriers.
- Requests that a change be made in the "Welfare-to-Work Plan Activity Assignment" (WTW 2) because ALL of the following apply:
 - The WTW 2 is no longer appropriate
 - Time on the 48-month clock remains, and
 - The Employment Counselor and Supervisor concur.
- Attends an adult education program and the service provider recommends In-House Assessment.
- Declares that a referral has been made to, or services are being received from, The State Department of Rehabilitation (DOR).
- Is a child aged 16 -17 who is not enrolled in, and regularly attending, school and has a CalWORKs penalty imposed. [[Refer to "School Attendance \[EAS 42-719\]," page 16-1](#) for more information.]
- Is employed full-time and that individual needs or is requesting skills upgrades or other job advancement services.
- Client wants to participate in WTW Plan activities beyond the Domestic Abuse Services.
- Requires changes to their WTW Plan due to Domestic Abuse services and vocational goal changes.
- Receives recommendation from Key to Success or Department of Rehabilitation.

- A student wants to change his/her SIP goal.
- Student is interested in attending Gavilan Community College short term certification program. [Refer to “Referrals to Gavilan College,” page 8-8] for additional information.

8.3.2 SIP Changes Greater Than 30 Days

A SIP change is not allowed if greater than 30 days from the date the WTW Plan was signed. A participant who requests a change to their SIP must be referred to In-house Assessment (group testing) for the development of a Post Assessment WTW Plan which includes:

- An evaluation of the participant’s request,
- Work history,
- Education and training background,
- Employability, and
- Current SIP status.



Note:

During the plan revision, the participant is required to participate in their SIP. Once the WTW Plan is revised, it becomes a Post Assessment WTW Plan. The participant’s SIP status is ended. The Post Assessment WTW Plan will include WTW activities which meet the federal core and weekly participation requirements.

8.4 CalWORKs 2.0

When developing new WTW Plan or amending the WTW Plan, the “My Road Map, Potholes & Detours” tool (SCD 2503) is to be reviewed [Refer to Chapter 4, “CalWORKs 2.0,” page-5] for additional information.

8.5 Referral for Assessment

When it is determined that a referral for In-House Assessment is required, the client is referred to group testing or individualized assessment for services as outlined below.

**Reminder:**

Concurrent enrollment in Cell Ed, Microsoft Initiative, or Digital Learning is required for In-House Assessment.

8.5.1 Group Testing

A client is referred to group testing:

- Upon completion of any pre-assessment job search activity,
- When referred for a concurrent activity and the service provider recommends In-House assessment, or
- SIP changes greater than 30 days.

**Note:**

Group testing is available in English, Spanish and Vietnamese.

8.5.2 Individualized Assessment

A client is referred to Individualized Assessment by the Employment Counselor when group testing is inappropriate for any reason, or when the client is referred to Assessment for a WTW plan modification or a re-assessment. Examples of situations where an Individualized Assessment is required are as follows:

- Physical limitations
- Monolingual in any language except English, Spanish, or Vietnamese
- Educational background below the fifth grade.

8.5.3 Welfare to Work (WTW) Plan Development

A client is scheduled for a WTW Plan development appointment with an Assessment Counselor when group testing is completed.

8.5.4 30-Day Change

A client is referred back to Assessment for Individualized Assessment when a request for change in the WTW Plan is made.

A request to change the WTW Plan:

- May be exercised only once, and

- Must be made within 30 days from the start date of the activity.

**Note:**

Refer the client back to Assessment if the WTW Plan was developed by former Keys to Success. [Refer to “Learning Disability Screenings,” page 13-1].

8.5.5 WTW Plan Modification

A client is referred back to Assessment when there is a change in the vocational goal. The Employment Counselor must determine good cause and the client must have time on the 48-month time limit. CWES supervisor approval is required. (A change of service provider does not require a referral back to Assessment).

When a Community Health Alliance counselor and/or client requests a change or modification in their employment/education/training plans, a case coordination meeting should occur. This case coordination meeting will include the following:

- Employment Counselor
- Assessment Counselor
- Health Alliance Counselor
- CalWORKs District Office Social Worker, and
- Client (optional).

The outcome of the case coordination meeting is a mutually-agreed upon modification plan.

**Note:**

The client’s current WTW Plan may be modified in order to include any necessary accommodations, if the client has a documented LD.

8.6 Adult Education Transfers to Community College

Clients who are approaching completion of their adult education program and who show interest in pursuing an education program at a community college may transfer to a community college. A CWES In-house Assessment is performed and begins concurrently 30 days prior to the end of the Adult Education activity to ensure participation hours are met.

8.6.1 Transfer Process

The Adult Education representative meets with client and follows referral process as follows:

Who	ACTION
Adult Education (AE) Representative	<ul style="list-style-type: none"> • Calls CWES Assessment (408) 758-3798 phone line to schedule an In-house assessment for group testing. • Notifies assigned EC via email that client expresses interest in transferring to a community college and has been referred to In-house Assessment for group testing. • Amends the WTW 2 to add In-House Assessment as a concurrent activity and forwards form to the assigned EC. • Connects the client with designated community college Transition Specialist.
Customer Service Technician (CST)	<ul style="list-style-type: none"> • Takes phone call from Adult Education Representative for In-house Assessment and identifies available Assessment Group Testing dates in CalWIN, and enters client information in CalWIN. • Mails client "Assessment Appointment" letter (CSF 7). • Provides phone text reminder prior to appointment.
Assigned EC	<ul style="list-style-type: none"> • Receives email notification from AE Representative. • Adds the Assessment activity in CalWIN and arranges for supportive services, as needed. • Sends the amended WTW 2 to IDM workstation. • Follows existing procedures.
Assessment EC	<ul style="list-style-type: none"> • When client shows, updates Assessment activity to First Day Attendance. • Develops post assessment plan. • Enters post assessment activity in CalWIN. • Follows existing procedures.

8.7 Post-Assessment Referrals After A Break In Cash Aid

If cash aid is discontinued, then restored, and there is a Post-Assessment WTW Plan in IDM and/or CalWIN, the guidelines in the proceeding sections must be followed at CWES Orientation.

8.7.1 SIP Review After a Break in Cash Aid

Clients who have a Post-Assessment WTW Plan but are currently enrolled in, or attending school and have time remaining on the 48-month time limit must be evaluated/reviewed for a Self-Initiated Program (SIP) approval. The client is not sent back to Assessment.

8.7.2 Post-Assessment Restorations After a Break in Cash Aid

Clients who have a Post-Assessment WTW Plan are considered a Post-Assessment Restoration. A client is not sent back to Assessment. WTW Plans may be restored under the following conditions:

- The client is not enrolled in, or attending school,
- The existing Post-Assessment WTW Plan is appropriate, and
- The client has time remaining on the 48-month time limit.

8.7.3 Post-Assessment WTW Plan Review After a Break in Cash Aid

Clients who have a Post-Assessment WTW Plan are referred to Assessment for a Post-Assessment WTW Plan **Review** under the following conditions:

- The client is not enrolled in, or attending school,
- The existing WTW Plan is not appropriate, and
- The client has time remaining on the 48-month time limit.

The Employment Counselor must case conference with the supervisor and the supervisor must concur with the Post-Assessment Restoration referral.

If the client is enrolled in, or attending school, when the reapplication for cash aid is made, a SIP review **MUST OCCUR** before the Post-Assessment restoration or Post-Assessment WTW Plan review is considered.

8.8 In-House Assessment Referral Procedures

Clients may be referred to CWES Assessment when the referral criteria is met. The referring Employment Counselor takes the following actions:

- Completes WTW 2 for Assessment. The reason why the client is being referred must be Included under the “Additional Comments” section of WTW 2.
- Schedules an Assessment appointment by calling (408) 758-3798 for the next available Individual Assessment appointment or in CalWIN for Group Assessment.
- Issues the “Self Assessment” (SCD 1771) to the Client.
- Advises the client to take the SCD 1771 to his/her Assessment appointment.
- Advises the client, if active with the State Department of Rehabilitation (DOR), to bring a copy of the “Individual Plan for Employment” (IPE) to the appointment.
- Submits appropriate documents to be scanned for IDM.
- Schedules concurrent/filler activities such as Cell Ed, Digital Literacy, or Microsoft Initiative, if needed to meet hourly requirements.

8.9 Referrals to Gavilan College

The Case Management Employment Counselor may explore with WTW participants short-term certification programs provided at Gavilan Community College.

8.9.1 Referral Process

The following is the referral process that includes referral to Assessment:

Stage	Who	Action
1.	Case Management Employment Counselor	<ul style="list-style-type: none"> • If appropriate, explores short term certification program with client. • Completes WTW 2 for Assessment in CalWIN and includes concurrent activity. <p>Note: Issues the CSF 7 and SCD 1771. And when appropriate, issues the "Authorization to Release Medical Information" (CW 61) and asks client to bring completed forms to the appointment.</p>
2.	Assessment Employment Counselor	<ul style="list-style-type: none"> • Completes "Simplified CalFresh Program Unpaid Work Experience (WEX) and Unpaid Community Service Hours Worksheet" (WTW 15). • Completes "Welfare-to-Work Activity Referral" (SCD1723) and emails form to Gavilan Community College liaison. • Submits WTW 15 and SCD 1723 to IDM workstation. • Documents in CalWIN Maintain Case Comments window. <p>Note: Certification should be noted in vocational goal on SCD1723. If a client scores low in any PESCO measure, score and measure should be stated in the comment section of SCD1723.</p>
3.	Gavilan College Staff	<ul style="list-style-type: none"> • Reviews SCD 1723. • Conducts intake and assessment of client's barriers. • Registers client in course. • Completes TBA & Sequential Plan (instead of Education Plan). • Assists client with Ancillary form as needed for required course materials and fees. • Provides client TBA and Sequential Plan and emails to both Assessment and Case Management Employment Counselors. <p>Note: If client No Shows to intake appointment, Gavilan College staff will contact Assessment EC and Case Management EC via email.</p>

Stage	Who	Action
4.	Assessment Employment Counselor	<ul style="list-style-type: none"> • Develops post-assessment WTW Plan in CalWIN. • Completes and signs WTW 2 with client. • Submits WTW 2 and all verifications to IDM. • E-mails to alert the Case Management EC that the post-assessment WTW Plan is developed and is in CalWIN. • Updates Assessment activity status in CalWIN with Completed. • Documents in CalWIN Maintain Case Comments window.
5.	Case Management Employment Counselor	<ul style="list-style-type: none"> • Arranges supportive services under new activity. • Reminds client of course start date, (two weeks and a day prior to start date) and notifies Gavilan College Staff as follows: <ul style="list-style-type: none"> • If client confirms, sends email to inform that client confirmed attendance. • If client does not confirm, sends email to inform that client has not confirmed. • If client wants to drop course, sends email to inform that client has chosen to drop course. <p>Note: If client starts course within two weeks of signing Post Assessment Plan, Assessment Employment Counselor will contact client to provide reminder of course start date.</p>
6.	Gavilan College Staff	<ul style="list-style-type: none"> • When client No Shows to first day of class, emails no show status to Case Management Employment Counselor. • When there are any participation problems, emails participation problem to Case Management Employment Counselor. • Sends monthly progress reports to Case Management Employment Counselor. • Signs off on the "Attendance Verification," (SCD 1755 A). <p>Note: Notification of No Show for on-line courses will be sent two weeks into the course. If client shows to first day of class no notification is sent.</p>
7.	Case Management Employment Counselor	<ul style="list-style-type: none"> • Enters First Day Attendance and monitors case.

8.10 Outcome of In-House Assessment Referral

When the Assessment Counselor refers a client back to the Employment Counselor and/or documents that the individual shows or did not show for a scheduled appointment, the Assessment Counselor will follow the table below:

Table 8-1:

If the Client...	Then
Show for Individual Assessment,	<ul style="list-style-type: none"> • Updates the Assessment Activity Status in CalWIN to first day of attendance, and • Sends an email/CalWIN Alert to the Employment Counselor. • Documents in CalWIN Case Comments that the client showed for their scheduled assessment appointment. • Develops the post-assessment WTW Plan.
No Shows for Individual Assessment,	<ul style="list-style-type: none"> • Updates the CalWIN Assessment Activity Status to no show, and • Documents in CalWIN Case Comments that the client was a no show for their scheduled assessment appointment.

Table 8-2:

If the Client...	Then...
Shows for Group Testing,	<ul style="list-style-type: none"> • Updates the CalWIN Assessment Activity Status to first day attendance. • Enters Comments on CalWIN Maintain Status History window in the [Status Notes] field. • Develops the post-assessment WTW Plan.
No shows for Group Testing,	<ul style="list-style-type: none"> • Updates the CalWIN Assessment Activity Status to no show. • Sends an email/CalWIN Alert to the Employment Counselor. • Documents in CalWIN Case Comments that the client was a no show for their Group Testing appointment. <p>NOTE: The Employment Counselor will make a cause determination before referring the client back to Assessment.</p>

8.11 Concurrent Assessment Referral For Continuing Clients

Clients may be referred to a CWES In-House Assessment from an existing activity or between activities. Referral to Assessment must be concurrent to meet Work Participation Rate (WPR) requirements.

The Employment Counselor will case conference with the Unit Supervisor or Assessment Counselor to determine if the referral is a single or concurrent activity.

8.12 Referral Procedures For Continuing Clients

The Employment Counselor refers the client to Assessment as a single or concurrent activity by taking the following steps:

Table 8-3:

STEP	ACTION
1.	Follows the existing office procedures to obtain the time and location of the Assessment.
2.	Completes the "Assessment Service Referral" CSF 7.
3.	Checks the appropriate "Service Requested" box.
4.	Obtains a CWES Individual Assessment or Group Testing appointment. North County -- Follows the procedures listed in 8.5. South County -- Follows the procedures listed in 8.5. 1879 Senter Rd. - The Employment Counselor schedules the client for the next available appointment by calling the designated assessment scheduling phone number at (408) 758-3798 for Individual Assessment, or on-line for group testing.
5.	Completes the WTW 2 for Assessment in CalWIN and includes the appropriate second activity when concurrent.
6.	Issues the "Assessment Appointment" (CSF 7) and "CWES Self Assessment" (SCD 1771) and, when appropriate, the "Authorization to Release Medical Information" (CW 61) and asks the client to bring the completed forms to the appointment.
7.	Advises the client, if active with the State Department of Rehabilitation(DOR), to bring a copy of the "Individual Plan for Employment" (IPE) to the appointment.
8.	Exception: Upon completion of Group Testing, the Assessment Counselor will develop a WTW Plan.

8.13 Completion of Assessment

8.13.1 Interactive Assessment and "Employment Plan Report" (SCD 1773)

An interactive assessment is conducted by the assessment counselor while completing the assessment windows in CalWIN. In addition, the SCD 1773 must also be completed when the WTW Plan is developed and is scanned with the WTW 2 in IDM.

The SCD 1773 provides the rationale for the plan agreed upon by the Assessment Counselor or the Service Provider and the client. The SCD 1773 is used to briefly summarize the client's:

- Work history, employment skills, knowledge, and abilities
- Educational History and present educational competency
- Supportive service needs
- Physical limitations, mental conditions, and other barriers to employment (or self-sufficiency)

Upon completion of the assessment the Assessment Counselor:

- Develops the post-assessment WTW Plan in CalWIN,
- Completes and signs the WTW 2 with the client,
- Submits WTW 2 and all verifications for IDM,
- E-mails/Alert the Employment Counselor with update to implement the post-assessment WTW Plan,
- Completes Assessment Activity Status in CalWIN,
- Documents in CalWIN **Maintain Case Comments** window.

8.13.2 “Welfare-To-Work Plan Activity Assignment” (WTW 2)

The WTW 2 includes the assigned activities and supportive services that will move the client into employment and self-sufficiency. [Refer to “Welfare-to-Work (WTW) Plan,” page 9-1], for more information.]

8.14 Assessment Tools And Process

Used as needed Standardized interest surveys, aptitude and achievement tests are administered during Assessment. Examples of Tests and Surveys are as follows:

8.14.1 Aptitude Tests

Career Ability and Placement Survey (CAPS)

PESCO computerized tests cover all areas

8.14.2 Achievement Tests

San Diego ESL

ARMS (Math and Reading)

8.14.3 Interest Surveys

Career Occupational Placement Survey (COPS)

Eureka Career Exploration System

8.14.4 Learning Disability Screening

The Assessment Counselor will use the appropriate tools to screen for learning disabilities. This includes, but is not limited to, “Learning Needs Screening” (WTW 18), visual screening exercise, WRAT-R Spelling, Counselor Guidelines on Learning Disabilities, Writing Samples, etc. [\[Refer to “Learning Disability Screenings,” page 13-1\] for more information.](#)

8.15 Post-Assessment Welfare-to-Work (WTW) Plan Development Process

The Assessment provider follows the guidelines listed below when counseling clients:

Table 8-4:

STEP	ACTION
1.	Reviews the client's: <ul style="list-style-type: none"> • Educational history • Work history • Skills and abilities • Test results • Making Satisfactory Progress (MSP) records • Activity history in the case file • Observations and feedback from Job Developers, Service Providers and/or Employment Counselors.
2.	Explores the client's interests, commitment to education and training.
3.	Identifies: <ul style="list-style-type: none"> • Employment goals • Barriers to employment • Possible indicators of learning disabilities • Clients strengths • Types of WTW activities required to attain the employment goal • Service provider(s) offering the activity, and • Supportive services.

Table 8-4:

STEP	ACTION
4.	Reviews: <ul style="list-style-type: none"> • Time parameters based on the 48-month time limit • Hours of participation • Educational Plans from college • Training curriculum, and • Available Supportive services.
5.	Makes appropriate referrals to: <ul style="list-style-type: none"> • Social Workers • Department of Rehabilitation • Other organizations and/or agencies who could assist the client in becoming self-sufficient.
6.	Provides occupational information.
7.	Ensures that the WTW 2 meets all WTW requirements.

8.15.1 Social Workers

A CalWORKs Social Worker is assigned to each CWES Office to assist the CWES staff in developing plans for the clients. The Social Workers can provide information about and referrals to most of the services available to the client, including but not limited to:

- Domestic Abuse
- Drug and/or alcohol abuse
- Mental Health concerns
- School attendance concerns
- Problems with family or friends
- Housing issues
- Transportation plans
- Any other concerns which impact the client's ability to meet the participation rate.

8.15.2 Department of Rehabilitation

The Assessment Counselor refers the client to The Department of Rehabilitation (DOR).

8.16 Assessment Referral Summary Chart

The following is a chart, summarizing the In-House Assessment Referral Process:

Table 8-5:

If the client...	Then the next activity is...	Service Provider	Required Documents
Is interested in attending Gavilan Community College short-term training program,	Assessment along with concurrent activity	Gavilan Community College	CSF 7, SCD 1771, SCD 1723, WTW 15, WTW 2, and when appropriate CW 61
Is currently a client with DOR and not attending vocational training,	Assessment (Individualized Assessment)	CWES In-House Assessment	WTW 2, IPE, CW 61, and if appropriate, SCD 1771
Is attending a Basic Education Activity ESL/GED,	Assessment concurrent with ESL/GED	CWES In-House Assessment when Adult Education recommends In-House Assessment	WTW 2; For in-House Assessment, use WTW 2 (write in the comment section reason for assessment), IPE, CW 61, and if appropriate SCD 1771
Discloses a disability or limitation other than a learning disabilities and is not attending vocational training,	Assessment (If appropriate, Job Search option can be offered to the client.) Individualized Assessment	CWES In-House Assessment	WTW 2, CW 61, if appropriate, and SCD 1771
Discloses a learning disability or information indicating a potential learning disability,	Assessment	CWES In-House Assessment	WTW 18, WTW 19, and WTW 20
Is not Making Satisfactory Progress (MSP) in an educational or vocational activity with good cause,	Assessment (Individualized Assessment or Group Testing)	CWES In-House Assessment or Adult Education	WTW 2, SCD 1771, CW 61, and if appropriate
Is completing JS/Networking and the next activity is not ESL/GED,	Assessment (Group Testing)	CWES In-House Assessment	WTW 2, and SCD 1771
Is currently an SIP, and wants to change vocational goal	Assessment (group testing) concurrent with their vocational training.	CWES In-House Assessment	WTW 2

Table 8-5:

If the client...	Then the next activity is...	Service Provider	Required Documents
Is completing Job Search (JS)/Networking and the next activity is ESL, ABE, or GED,	Assessment and Adult Basic Education Note: Referring activity is Assessment. The adult ed site determines ESL, ABE or GED	Adult Education	WTW 2, SCD 1723
Has an existing Post-Assessment WTW 2; is not enrolled or attending school; the assigned activity is no longer appropriate, and has time on the 48-month time limit,	Assessment Post-Assessment WTW Plan Review	CWES In-House Assessment	WTW 2, SCD 1771, CW 61, as appropriate
Has an existing Post-Assessment WTW 2; is not enrolled or attending school and resuming; the assigned activity is appropriate, and has time on the 48-month time limit,	Restore the activity(ies) as specified in the Post-Assessment WTW Plan (Post-Assessment Restoration)	Employment Counselor (EC)	WTW 2
Has an existing Post-Assessment WTW 2; but is enrolled or attending school; and has time on the 48-month time limit,	SIP (Post-assessment or Vocational Training) or SNA	EC	WTW 2 SIP Enrollment verification documents.

8.17 Third-Party Assessment Procedures

A client may request a third-party assessment if the current assessor and the CWES client are unable to reach agreement on the provisions of the WTW 2.

8.17.1 Referral Criteria

A third-party assessment is required when there is a disagreement between the current assessor and CWES client regarding the provisions of the WTW 2. The disagreement may include area(s) of training/education and/or the vocational goal.

8.17.2 Informal Review

To determine appropriate action when the CWES client selects the informal review option, use the following chart:

Table 8-6:

If the disagreement is between...	Then the informal review will include the...
The CWES client and the Assessment Counselor,	CWES client, CWES Assessment Counselor, and the CWES Assessment Unit Supervisor and/or the Unit Supervisor.*
The CWES client and the Service Provider after different services have been explored,	CWES client, EC, and the Unit Supervisor.*
Note: The Unit Supervisor may consult with the Assessment Counselor or the Assessment Unit Supervisor	

8.17.3 Formal Referral Process

If the disagreement has not been resolved through the Informal Review process or if the client selects direct referral to third-party assessment, use the following chart to determine appropriate action.

Table 8-7:

If the disagreement is between...	Then the...
The CWES client and the Assessment Counselor AND the case has been reviewed by the Assessment Unit Supervisor,	CWES Assessment Counselor will refer the CWES client to one of the third-party assessors.
The CWES client and the Service Provider AND the case has been reviewed by the Unit Supervisor and/or CWES Assessment Counselor,	Service Provider will refer the CWES client back to the assigned EC who will then refer the client back to one of the third-party assessors.
The CWES client and the Community Based Organization (CBO) counselor AND the case has been reviewed by the Unit Supervisor and/or CWES Assessment Counselor	EC will case conference with the unit supervisor for referral to third-party assessment, if appropriate.

The Assessment Counselor must use the “Request for Third-Party Assessment” (WTW 10) to refer the CWES client for a third-party assessment.

8.17.4 Procedures

To initiate a third party referral, the Assessment Counselor uses the following chart:

Table 8-8:

STEP	ACTION
1.	Contacts the Third-Party Assessor by telephone to request a third-party assessment and completes the "Request for Third-Party Assessment" (WTW 10).
2.	Sends the WTW 10 to the Third-Party Assessor within three (3) working days from the date of the telephone contact.
3.	Attaches a copy of the current assessment and the WTW 2 to the WTW 10.
4.	Distributes the WTW 10 as follows: <ul style="list-style-type: none"> • IDM. • A copy to the Third-Party Assessor. • A copy to Service Provider or CBO Counselor (if applicable). • A copy to CWES client.
5.	Updates supportive services and CalWIN, accordingly.
6.	Follows-up with the Third-Party Assessor after 20-calendar days, if results and recommendations are not received.

8.17.5 Third-Party Assessor's Responsibilities

The Third Party Assessor follows these steps:

Table 8-9:

STEP	ACTION
1.	Reviews the WTW 10, the WTW 2 and any additional, relevant information.
2.	Makes at least one contact with the EC, the current assessor and the CWES client to discuss the area(s) of disagreement.
3.	Provides a written assessment, within 20-calendar days from the date of the telephone request entered in Section I of the WTW 10, to which either: <ul style="list-style-type: none"> • Confirms the current assessment, or • Establishes a new employment goal.
4.	Provides the third-party assessment results in writing and signs the report.
5.	Provides the original of the third-party assessment results to the EC and a copy to the CWES client.

8.17.6 Third-Party Assessment Criteria

Third-Party Assessment results must include:

- A description of the area(s) of disagreement in the current assessment.
- A summary of relevant information and Third-Party Assessor (TPA)’s recommendations which either supports the current assessment or establishes a new employment goal.
- A statement that the TPA agrees or disagrees with the current assessment and the basis for that position.
- An employment goal and all supporting documentation.

8.17.7 Results of Third-Party Assessment

The results of this third-party assessment, which are binding upon the county and the client, are used to develop a WTW 2 appropriate for the client.

Table 8-10:

If the Third-Party Assessment...	Then the Employment Counselor (EC)...
Recommends a revision to the current WTW 2,	Refers the CWES client to the CWES Assessment Counselor to revise the WTW 2.
Supports the current assessment,	Implements the current WTW 2 with the CWES client.

8.17.8 Choosing the Third-Party Assessor

The CWES client may request a third-party assessment from one of the following agencies:

Occupational Solutions
 1905 Hamilton Avenue
 San Jose, CA 95125
 (408) 377-0307

OR

Institute for Career Development
 1080 N. 7th Street
 San Jose, CA 95112
 (408) 869-9230

8.17.9 Completing the WTW 10

The “Request for Third-Party Assessment” (WTW 10) is completed only by the Assessment Counselor:

Table 8-11:

SECTION	TITLE	Action
Section I	Telephone Request	Enters the date of telephone request.
Section II	CWES client	Enters the client information including; name, case number, social security number, address, and telephone number.
Section III	Current Assessor	Enters the current assessor information including; assessor’s name, telephone number, fax number and address.
Section IV	EC	Enters the EC information including; EC’s name, worker number, telephone number, fax number and indicating the appropriate location.
Section V	Third-Party Assessor	Selects the third-party assessor based on the client’s request.
Section VI	Specific Area(s) of Disagreement	<p>Completes the specific area(s) of disagreement.</p> <ul style="list-style-type: none"> • Summarizes the Assessor’s proposed WTW Plan and supporting rationale. • Summarizes the client’s proposed WTW Plan and supporting rationale. • Specifies the area(s) of disagreement which may include education/training programs and/or vocational goal.

8.18 Physical and Mental Capacities Questionnaires

The “Physical Capacities Questionnaire” (CW 61A) and the “Mental Capacities Questionnaire” (CW 61B) are used **ONLY** by the Assessment Counselor when it has been noted, and/or the Assessment Counselor suspects, the client is employable with limitations.

The purpose of these supplements is to determine the CWES client’s ability to do work-related activities on a daily basis in a regular work setting. These activities need to be approved CWES WTW activities.

The CW 61A and CW 61B are used **ONLY** as supplements to the CW 61.

8.18.1 Use of the CW 61A and CW 61B

The CW 61A and the CW 61B are used when:

- The previously obtained “Authorization to Release Medical Information” (CW 61) from the treating physician or licensed health care professional was determined to be insufficient for the development of an WTW 2, and/or
- The client recently self-disclosed physical and/or mental/emotional conditions that might interfere with the client’s ability to obtain employment.

8.18.2 Questionnaire Issuance

After reviewing the CW 61 and determining that additional information is needed to facilitate the development of an WTW 2, the CWES Assessment Counselor will issue the appropriate supplement(s) to the CWES client.

8.18.3 Time Frames

A CWES client has up to 30-calendar days to return the appropriate supplement(s): the CW 61A and/or CW 61B.



Note:

If the supplement is incomplete, the Assessment Counselor may follow up by telephone with the treating physician. If the supplement(s) are not returned, the Assessment Counselor will explore alternatives such as getting a County Health Evaluation or a Department of Rehabilitation referral.

8.18.4 Form Completion CW 61A or CW 61B

When completing the CW 61A and the CW 61B, the Assessment Counselor must make the following entries on the top portion of the form:

- The date of issuance
- The patient’s name
- The patient’s social security number
- The case name and number.

The Assessment Counselor also must give a description of the nature and number of hours the client is assigned to the CWES activity.

The provider completes questions 1-9 on the CW 61A and questions 1-4 on the CW 61B. The CW 61A and CW 61B MUST be signed by a provider or an authorized representative of the provider to be valid.

8.18.5 Referral Procedures

If a client reports a previously undisclosed or newly acquired mental, emotional, physical, or medical condition that may negatively impact that individual’s ability to obtain and/or retain employment, use the following chart to determine appropriate action:

Table 8-12:

If the client self-disclosed the information to the...	Then the...
Assessment Counselor,	Assessment Counselor must: <ul style="list-style-type: none"> • Review the CW 61 if already available and issue the appropriate supplement(s), or • Issue the CW 61 and appropriate supplement(s) and • Refer the client for a County Health Evaluation, if appropriate.
Employment Counselor (EC),	EC must: <ul style="list-style-type: none"> • Determine if a referral to Assessment is appropriate. • Issue the CW 61 and supplements and refer the client to Individualized Assessment. • Refer the client for a County Health Evaluation, if appropriate.
Job Developer,	Job Developer must: <ul style="list-style-type: none"> • Determine if a referral to Assessment is appropriate. • Refer the client to the EC recommending Individualized Assessment.
	EC must: <ul style="list-style-type: none"> • Issue the CW 61 and supplements and refer the client to Individualized Assessment. • Refer the client for a County Health Evaluation, if appropriate.

Table 8-12:

If the client self-disclosed the information to the...	Then the...
Social Worker,	Social Worker must: <ul style="list-style-type: none"> • Contact the EC to initiate the referral to Assessment, if necessary.
	EC must: <ul style="list-style-type: none"> • Issue the CW 61 and supplements and refer the client to Individualized Assessment. • Refer the client for a County Health Evaluation, if appropriate.

8.19 Learning Disabilities

An individual must be assessed for having a specific learning disability when it is determined that ALL of the following exist:

- There is a severe discrepancy between intellectual ability and achievements in one or more of the following areas:
 - Oral expression
 - Listening comprehension
 - Written expression
 - Basic reading skills
 - Reading comprehension
 - Mathematics calculation
 - Mathematics reasoning.
- The discrepancy is due to a disorder in one or more of the basic psychological processes and is not the result of environmental, cultural or economic disadvantages.
- The discrepancy cannot be corrected through regular categorical services offered within a regular instructional program.

8.19.1 Identification of Learning Disabled Client

CWES staff identify clients with possible learning disabilities through self-disclosure, one-on-one interviews and/or the learning disability screening tool. Once the possibility of a learning disability is determined, at client's option, the EC refers the client to in-house Assessment who will develop a WTW Plan based on results from the assessment and LD screening indicator. [Refer to "Learning Disability Screenings," page 13-1.] Service providers include:

- CBOs
- Community Colleges - some local community colleges have specialized programs on campus for the learning disabled.
- Department of Rehabilitation - evaluates and recommends specialized services via service providers who have contracts with the Department of Rehabilitation for learning disabled.

Any necessary activities for the learning disabled are included on the WTW 2. This may include but is not limited to the following items:

- Special Learning or Computer Assisted Instruction courses at the Community College.
- Customized job search through the Focus-For-Work program at Catholic Charities (Is a Department of Rehabilitation referral and provider).

8.19.2 Effect of a Learning Disability

It must be recognized that clients with an identified learning disability may not be able to handle full-time course work in school (particularly in college). In addition these individuals may have other barriers such as physical limitations, mental health, drug and alcohol issues. As a result, the length of time these clients need to complete the planned vocational or educational program may exceed the 48-month time limit.

8.20 Occupational Background Checks

To prevent any potential problems that may result from a client's failure to pass any required background checks, clients must be made aware of the Community Care Licensing (CCL) background check requirements for the following areas of employment:

- Family child care homes
- Child care centers
- Early Childhood Education
- Certified Nursing Assistant
- Any other areas where a background check is required.

Generally this requires that the individual submit fingerprints to the Department of Justice, and clear a:

- California background check,
- Federal Bureau of Investigation (FBI) national background check, and
- Child Abuse Central Index check.

Additionally, most license-exempt child care providers must also clear a criminal record background check through the Trustline Registry system and meet basic health and safety requirements in order to receive payment for subsidized child care services. [\[Refer to "TrustLine and Health & Safety," page 27-1\]\]](#) for more information about Trustline.

8.20.1 Denial of Clearance

If clearance is denied, an exemption to the denied clearance may be allowed if the individual:

- Has a conviction that meets specific exemption criteria, and
- Does not pose a threat to individuals for whom providing care.

A client can request an exemption with CCL for a criminal conviction only if they do not have a non-exempted conviction. An exemption will be approved only if the individual meets specific exemption criteria.



Note:

These exemptions are determined by the Department of Justice (DOJ).

8.20.2 CWES Actions

If the EC is aware that a client has a criminal history that will result in the denial of a clearance and exemption, the worker must not proceed with a WTW Plan preparing the client for an occupation or employment in a field that requires a background check. Instead, an alternative plan that is within the client's abilities to achieve must be explored and developed.

8.20.3 Non-Exempted Crimes List

The following is a list of non-exempted crimes:

Table 8-13:

California Penal Code	Crime	California Penal Code	Crime
187	Murder or voluntary manslaughter	192	Attempted murder
203, 205	Mayhem, Attempted Mayhem	207(b)	Kidnapping to commit child molestation*
208(b)	Kidnapping a child under 14	208(d)	Kidnapping with intent to commit specified sex offenses*
215(b)	Carjacking, if person is charged and convicted of 12022(b) in the commission of the carjacking	220	Assault with intent to commit sexual crime or mayhem*
243.4	Sexual battery*	261(2)	Rape*
261(a)(6)	Forcible rape*	262(a)(1)	Forcible spousal rape*
264.1	Rape in concert by force or violence*	264.17	In concert rape*
266	Enticing a minor into prostitution*	266c	Consent to sexual intercourse by fear or fraud*
266h(b)	Pimping a minor*	266j	Providing a minor under 16 for lewd or lascivious acts*
266j(b)	Pandering a minor*	267	Abduction for purpose of prostitution*

Table 8-13:

California Penal Code	Crime	California Penal Code	Crime
269	Aggravated assault of a child*	272	Contributing to the delinquency of a minor involving lewd or lascivious conduct*
273a(a) 273a(1)	Child abuse or neglect*	273d	Corporal punishment or injury of a child (before 1/77)*
285	Incest*	286	Sodomy*
288	Child molestation*	288a	Oral copulation*
288.2	Distributing lewd material to children (felony convictions only)*	288.5	Continuous child sexual abuse*
289	Rape by penetration with a foreign object*	290(a)	All crimes for which one must register as a sex offender including attempts and not guilty by insanity (crimes marked with an asterisk*)
311.10	Advertising/distributing child pornography*	311.2(b), (c), (d)	Transporting or distributing child-related pornography*
311.1	Sexual exploitation of a child*	311.4	Using a minor to assist in making or distributing child pornography*
311.11	Possessing child pornography*	314(1) 314(2)	Lewd or obscene exposure of private parts (only if finding that required to register)*
368(a) 368(b)	Elder or dependent adult abuse	451(a)	Arson causing great bodily injury
647.6	Child molestation*	647(d)	Disorderly conduct for loitering around a public toilet to solicit sex*
653f(c)	Solicit another to commit rape, sodomy, etc.*	12022(b)	Any robbery perpetrated in an inhabited dwelling house, vessel, or inhabited trailer coach, and with the use of a weapon

Table 8-13:

California Penal Code	Crime	California Penal Code	Crime
12308	Exploding or attempting to explode device to commit murder	12022.5 or 12022.53	Any felony in which defendant uses a firearm and is convicted under either of these sections
Any felony in which the defendant uses a firearm punishable by death or life imprisonment in the state prison, but not indeterminate sentence (e.g. 5 years to life)		Any felony in which the defendant (not an accomplice) inflicts great bodily injury on any person which has been charged and proven as provided in Section 12022.7 Or 12022.9 (after 7/1/77) or 213, 264, and 461 (before 7/1/97)	
Any person convicted of the attempt to commit any of the above-mentioned offenses			

*Refer to California Penal code 290(a) - defendant must register as a sex offender