

2. Application

The purpose of the application process is to assist the individual in establishing eligibility for aid and services. Intake EWs are required to explore eligibility for all programs requested and all benefits for which the applicant may qualify.

2.1 Application Forms [EAS 40-101.4]

An application is a request for aid in writing made either by the applicant or another person, on behalf of the applicant, using one of the following forms:

- SAWS 1
- SAWS 2 Plus
- BCW

2.1.1 SAWS 1

The “Initial Application for CalFresh, Cash Aid, and/or Medi-Cal/Health Care Programs” (SAWS 1) can be used when a household is applying for CalWORKs or CalWORKs/CalFresh. The SAWS 1 is used to begin the application process and sets the beginning date of aid.

When the applicant’s signature has been obtained on the SAWS 1 to initiate the application process, information required on the Statement of Facts (SOF) should be completed during the interactive interview. The county should **not** send the SAWS 2 Plus to require another signature.

2.1.2 SAWS 2 Plus

The “Application for CalFresh, Cash Aid, and/or Medi-Cal/Health Care Programs” (SAWS 2 Plus) is a joint application for CalWORKs, CalFresh, and Medi-Cal. The SAWS 2 Plus replaces the SAWS 2 and combines the program rules, many of the rights and responsibilities, the SAWS 1, the Statement of Facts, and appendices to collect additional information where applicable. The SAWS 2 Plus must be completed in full prior to the applicant completing the signature page as it is an attestation to the accuracy of the information.



Note:

When the applicant cannot complete the full SAWS 2 Plus application on the same day, counties may use the revised separate SAWS 1 (08/13) to initiate the application and establish the beginning date of aid. For CalWORKs, this cannot be done by completing the “SAWS 1” portion of the SAWS 2 Plus. The separate SAWS 1 (8/13) must be used.

Rules

The following rules apply when signing the SAWS 2 Plus:

- The SAWS 2 Plus must be signed in ink or recorded over the telephone and associated with their case number,
- EACH question must be answered, if it is not applicable, they must enter “N/A,”
- When both parents are in the home, the SAWS 2 Plus must be reviewed with both, and both parents must sign and date the SAWS 2 Plus, and
- If the applicant/recipient changes original answer, the change and initials must be in ink.
- When concluding a Telephone Interview, the SOF must be printed and mailed to the applicant if the case has been approved.



Note:

Central Support Services is currently printing and mailing the SOF along with the required Informational forms for applicants who complete a Telephonic Interview. The Telephonic Interview is a separate process from a Telephone Interview in that the Telephone Interview does not capture and/or record signatures during the telephone interview.

Use

There must be a separate SAWS 2 Plus (original) for each AU.

The SAWS 2 Plus is not designed for documenting subsequent changes in circumstances. Recipients are to use the CW 8 or CW 8A for adding a person to the AU. [[Refer to “Adding a Person to the AU,” page 4-1\].](#)]

A new SAWS 2 Plus is required for all:

- Applications,
- Restorations,



Exception:

When there is less than a one month break-in-aid. [[Refer to “Restorations With Less than One Month Break-In- Aid,” page 2-28\].](#)]

- Redeterminations (RD) for cases with U-parent deprivation and for cases with earned income to the AU in the month the RD is conducted,

- Incoming Inter-County transfers (ICT),
- Changes from CalWORKs-FG to CalWORKs-U,
- Changes from Transitional Medi-Cal (TMC), MNO, or *Edwards v. Kizer* Medi-Cal to CalWORKs, and
- Significant change of circumstances which occur that may affect eligibility (i.e. change in caretaker relative from non-needy to needy).

**Note:**

When the caretaker/relative changes from a needy caretaker to a non-needy caretaker or when there is a change of non-needy caretakers, the EW must determine continuing eligibility for the aided children. The EW may determine that the situation remains the same and that continued eligibility is evident. In this situation, at the face-to-face interview, the EW must secure a “Non-Needy Relative Statement” (SC 345) and “Child/Spousal and Medical Support Notice and Agreement (CW 2.1) if necessary, have the caretaker review, sign and date the SAWS 2A SAR, and document in the **Maintain Case Comments** window in CalWIN, what has occurred.

2.1.3 SAWS 2A SAR

The “Rights, Responsibilities and Other Important Information” (SAWS 2A SAR) is a generic document with two signature pages. The applicant/recipient must sign both signature pages (copies are not acceptable). The SAWS 2A SAR contains information on:

- Applicant Rights and Responsibilities,
- Work Registration and Training Rules,
- The CalWORKs-U program,
- Food Stamp and Medi-Cal facts,
- Intentional Program Violations,
- Homeless Assistance,
- Maximum Family Grant (no longer applicable),
- Maximum Aid Payments (Employable/Unemployable Amounts), and
- CalWORKs 48-Month Time Limit.

UseT

The SAWS 2A SAR is given to the applicant/recipient. The applicant/recipient’s original signature page, must be scanned into the Integrated Document Management (IDM) System OR a recorded signature (Telephonic Signature) must be linked to their case number.

The SAWS 2A SAR must be completed when adding a parent or caretaker/relative and must be signed (written or telephonic) by both parents when both parents are in the home.

The SAWS 2A SAR is not necessary when:

- The parent/caretaker relative has already signed a SAWS 2A SAR with the latest revision date, or
- Adding a child to an existing AU.

2.1.4 Intake Signature Packet

CalWORKs applicants are provided with a packet of required signature forms which must be completed as a part of the application process. The CalWORKs forms to be completed for the initial application include, but are not limited to:

- SCD 41
- SAWS 1
- SAWS 2 Plus
- SAWS 2A SAR
- CCP 7
- CSF 67
- SCD 95
- SCD 103
- SCD 508
- SCD 1264
- SCD 2300
- SCD 2304

[Refer to “CalWORKs/RCA, Medi-Cal and CalFresh,” page 24-2] for a complete list of the required forms.]



Reminder:

If both parents are in the home, both parents must be interviewed and both must sign the “Rights, Responsibilities and Other Important Information” (SAWS 2A SAR) and the “Application for CalFresh, Cash Aid and/or Medi-Cal/Health Care Programs” (SAWS 2 Plus) or the appropriate Statement of Facts form.

2.1.5 Application Date

The date of the application for CalWORKs is the date that the written application for aid is received by the county. This date starts the 45-day application processing period. If the application is submitted without the client’s signature, the date of application will be the date the county obtains the client’s signature.

An application is considered “signed” when the applicant either signs the Statement of Facts with a written/ink signature (pen) or a telephonic signature is obtained (voice recording over the telephone which is linked to their case number).

**Note:**

Applications signed through the use of electronic signature techniques or applications containing a handwritten signature and then transmitted by fax or other electronic transmission are acceptable.

2.2 Applicants [EAS 40-117, 40-118]

2.2.1 Right to Apply

The right to initiate an application can be completed by any person and/or any person acting on behalf of a family, child, or pregnant woman. An individual who may make an application on behalf of a family, child, or pregnant woman include, but are not limited to:

- A guardian or relative with whom the child resides,
- The person or agency who has placed a child in foster care, or
- The representative of a public agency.

An applicant who appears ineligible must still be allowed to exercise his/her right to make an application. The EW, through personal contact, must make a determination as to the applicant's ability to participate in the interview.

2.2.2 Filing Unit/Assistance Unit

If any of the following persons are living in the home, the applicant must include them on the Statement of Facts:

- The applicant child, and
- Children who are siblings or half-siblings of the applicant child or any other child who must be in the Filing Unit, and
- The parents of any child listed above, or
- A pregnant woman in an AU of One, or
- The caretaker relative, stepparent, and second parent of:
 - An SSI/SSP or Foster Care Child when aid is requested, or
 - A child who is sanctioned by Employment Services.

**Note:**

The spouse of persons mandatorily included in the Assistance Unit must also be listed on the Statement of Facts.

2.2.3 Optional Persons

Complete information about optional persons must be included on the Statement of Facts when aid is requested for them (e.g., Needy Caretaker). If the optional persons is not requesting aid, general information about the optional person must be entered (name, SSN, birthdate, etc.). [\[Refer to “Determining Optional Persons,” page 25-19\].](#)

2.2.4 Relinquishment

If a child has been relinquished for adoption or parental rights have been terminated but the child has not been adopted, the biological relatives of the child do not need to be listed on the Statement of Facts unless they are requesting assistance.

2.2.5 Senior Parent

When a minor parent applies for aid but is living in the home of the senior parent, information about the senior parent’s unit must be provided on the “Senior Parent(s)/Legal Guardian(s) Statement of Facts” (CW 23). [\[Refer to “Senior Parent/Minor Parent,” page 21-1\].](#)

2.2.6 Sponsor of a Non-Citizen

A sponsored non-citizen is not required to list the sponsor(s) if the sponsor does not reside in the home. However, the non-citizen must provide a copy “Affidavit of Support” (I-864) along with the required information regarding the sponsor on the “Sponsor’s Statement of Facts Income and Resources” (CW 22). [\[Refer to “Sponsored Non-Citizen \[EAS 43-119.1\],” page 19-19\]](#)

2.2.7 Refusal to List all Persons

A CalWORKs application shall be denied if the applicant refuses to list persons who must be in the Filing Unit or refuses to provide the information required on the CW 22 or CW 23.

2.3 Applicant Interview

[EAS 40-115, 40-129, 40-131, 40-161]

An applicant must be interviewed prior to granting aid. Effective January 1, 2017, the mandatory face-to-face interview requirement was eliminated for CalWORKs applications. Applicants may now choose to have their interview conducted in person or by telephone. A face-to-face interview must be conducted in the following circumstances:

- The applicant request a face-to-face,
- The applicant request an Immediate Need, or
- The County determines it is necessary to verify conditions of eligibility.

An interview consists of a review of information provided on the application, exploring and resolving unclear and incomplete information and documenting any changes in circumstances that have occurred since the application was filed.

**Note:**

The EW must document in the **Maintain Case Comments** window the method used to complete the interview process.

2.3.1 Immediate Need

If an applicant has elected to complete their CalWORKs application interview by telephone and is determined eligible to an immediate need, then the interview must be conducted as a face-to-face interview no later than the next working day from the date of the application. [Refer to “Telephone Interviews,” page 2-8]

Additionally if during the intake process an applicant claims to be in an immediate need situation, the EW must review the applicant's circumstances and make an immediate need determination. [Refer to “Immediate Need [EAS 40-129],” page 6-1].

2.3.2 Home Visit [EAS 40-161]

A home visit may be conducted if the applicant has physical or mental barriers limiting his/her ability to conduct an interview either in person or by telephone. The home visit must have prior Supervisor approval.

2.3.3 Interviews

An applicant may elect to complete the interview portion of the CalWORKs application by telephone. A telephone interview shall occur within seven working days of the date of application unless there are extenuating circumstances that cause further delays, or the applicant is determined to be eligible to an immediate need interview. [Refer to “Immediate Need [EAS 40-129],” page 6-1]]

A telephone interview is not indicative of a telephonic signature. [Refer to “Telephonic Signature,” page 2-8]]

2.3.4 Inability of Applicant to Participate in Interview

When the applicant’s Statement of Facts is completed on his/her behalf, the application interview must be conducted with the representative (guardian, conservator, or other person) and also with the applicant unless the applicant is unable to participate because of his/her physical or mental condition or is a child. The applicant’s inability to participate in the interview must be determined by the county through verifications and/or personal contact with the applicant. Verification of incapacity is required before benefits can be granted.

2.3.5 Telephone Interviews

An applicant may choose to have their eligibility interview conducted by telephone. The telephone interview does not change any other interview requirements. EWs must review the application form question by question with the client, explain the rights and responsibilities, and obtain all required verifications.

If the applicant is not available by phone, any messages left for the applicant should contain relevant information to the interview. The EW must remember confidentiality when scheduling the date and time of the interview appointment. The EW must document in the case file when the call was made to the household and what information was left, including the date and time of the interview. If the household is a “no show” for their first scheduled interview, a denial notice of action (NOA) must be sent on the day of the missed interview or the next day.

2.3.6 Telephonic Signature

A telephonic signature is an electronic signature using an individual’s recorded spoken signature or verbal assent in place of an actual written signature and is considered legally enforceable. The telephonic signature is the equivalent of a written/ink signature.

When applicants walk-in to a district office, clerical staff will give the applicant the option of interviewing over the telephone, online at MyBCW or Face-to-Face in an Intake office.

2.4 Informing [EAS 40-107]

2.4.1 Responsibility

The EW is responsible for informing the applicant, guardian or relative of their rights and responsibilities to the CalWORKs program and potential eligibility to other programs. The EW must inform the applicant of the county and the individual's responsibility for exploring all facts concerning eligibility, needs and income, and the applicant's responsibility for presenting or obtaining records or documents to support the statements.

2.4.2 Categories of Aid

Intake EWs are required to explore eligibility for all programs requested and all benefits for which the applicant may qualify. Applicants shall be informed that they may apply for CalFresh at the same time as they apply for CalWORKs. If the applicant chooses to apply for CalFresh at the same time, they have the right to file a joint application and shall have a single interview for both programs.



Reminder:

The individual may apply for any type of public assistance. However, the EW must explain the rules regarding the eligibility and benefits available from the programs requested by the applicant.

2.4.3 Diversion

The EW must inform all applicants about the option of choosing the short-term Diversion program rather than accepting long-term cash assistance prior to approval of their cash assistance.

[Refer to "Diversion Period [EAS 81-215.1; 81-215.43]," page 32-1]]

2.4.4 Native TANF Program (NTP)

The Native Temporary Assistance for Needy Families (TANF) Program is a program that provides cash aid and supportive services to eligible needy children and families. Families who are eligible for the Native TANF Program (NTP) may choose to be served by either CalWORKs or NTP. EWs must identify potentially eligible families and provide the applicant with the option of choosing between the NTP or CalWORKs benefits. Eligibility for the NTP is determined by the NTP case worker. If the applicant is interested in applying for NTP, the Intake EW will refer the family to the NTP office to apply. Meanwhile, the CalWORKs application will continue to be processed to ensure there is no delay in benefits.

**Note:**

Food Stamp and Medi-Cal benefits are provided by our agency when the family qualifies for them. Program rules, such as the TANF time limit requirements, apply to NTP participants and must also be verified at Intake.

2.4.5 Frozen Eligibility and Benefits

The EW must inform the applicant that once eligibility is established under SAR and the amount of aid is calculated, both (eligibility and amount of benefits) will not change, they will be “frozen” for six (6) months. This is referred to as the payment period.

**Exception:**

Eligibility and benefits will not change until the next payment period except in certain circumstances.

2.4.6 Confidentiality

The EW must inform the applicant of the confidential nature of all information given.

2.4.7 Evidence/Verification

The EW must inform the applicant of the evidence/verification which may be needed to establish eligibility.

2.4.8 Investigation

The EW must inform the applicant that an investigation of the individual's situation may be undertaken with the full knowledge and consent of the applicant and that their signature on the Statement of Facts will authorize those actions.

2.4.9 CHDP

The EW must inform the applicant of the purpose, provision and availability of the Child Health and Disability Prevention (CHDP) Program. Brochures must be given to the applicant which describe the support services (scheduling/transportation) available under CHDP as well as how and where the services are provided.

**Note:**

The Prenatal Care Guidance Program is available to pregnant women through CHDP. This program focuses on informing, motivating and assisting pregnant women with early and appropriate care. EWs should advise pregnant applicants/recipients of this program and refer them to CHDP for guidance.

2.4.10 Family Planning

The EW must inform the applicant of the availability of Family Planning Services. The “Important Notice to All Recipients” (SC 1255) in the intake packet includes a list of agencies providing these services.

2.4.11 Child Support

The EW shall inform the applicant of the benefits of the child support enforcement program along with the cooperation requirements, and the right to claim exemption from those requirements prior to referral to the local child support agency. The “Notice of Child Support Services Program” (DCSS 0064) and the “California Child Support Information Handbook” (PUB 160) are available to provide this information.

The EW must also inform the applicant of the 25% reduction in cash assistance if they fail or refuse to cooperate in the child support enforcement process.

[“Good Cause Determinations [EAS 82-512, 82-514, CCR 50175, 50771.5, 50185],” page 31-14]

**Reminder:**

The applicant/recipient who refuses or fails to cooperate in Medi-Cal support enforcement will also be ineligible for Medi-Cal benefits.

2.4.12 Social Security Number

The EW must inform the applicant that as a condition of eligibility they must furnish the Social Security Numbers (SSN) of all persons in the “family”, non-AU members and AU members. [More information refer to “Applicants,” page 4-2.]

2.4.13 Potentially Available Income

Applicants are required to take all necessary actions to obtain potentially available income and to provide evidence that all actions necessary to obtain that income have been taken. Potentially available income is any income the applicant may be entitled to receive. Sources of potentially available income include, but are not limited to:

- Social Insurance benefits (i.e. UIB, DIB, SSA, or RSDI)
- Military benefits
- Retirement benefits (i.e. Railroad Retirement, Union Retirement, or Private Pension Benefits)
- Insurance benefits (life insurance or disability benefits)
- Worker’s Compensation

The EW must inform the applicant of their responsibility to apply for and to take all appropriate steps to obtain specific benefits for which there appears to be potential eligibility.

If a...	Then...
Mandatory AU member fails to seek or accept potentially available income,	Deny or discontinue the entire AU.
Optional AU member fails to seek or accept potentially available income	Deny or discontinue the option person.

2.4.14 Quality Control

The EW must inform the applicant of their responsibility to cooperate with Quality Control should the case be selected for review, and that if as a recipient they fail to cooperate, CalWORKs benefits will be discontinued.

2.4.15 Civil Rights

The EW must inform the individual of their Civil Rights. “Your Rights Under California Welfare Program” (PUB 13) is to be provided and explained at each intake and at each redetermination.

2.4.16 Computer Systems

The EW must inform the applicant of the use of computer systems to substantiate the income and resources declared. “Notice of Use of Computer Systems” (SC 1504) explains the Income and Eligibility Verification Systems (IEVS). This must be thoroughly explained to each applicant/recipient.

2.4.17 Disqualification

The EW must inform the applicant of the disqualification penalties for CalWORKs. If an individual applies for or receives CalWORKs but does not report all the facts or gives false information, that individual may be prohibited from receiving CalWORKs, for a specified length of time. [\[Refer to “Applicant/Agency Responsibility,” page 5-1\] for more information](#)

2.4.18 State Hearing

The EW must inform the applicant of the right to request a State Hearing in relation to any action or inaction taken by the county. CalWORKs applicants have the right to ask for a state hearing before a state Administrative Law Judge (ALJ) any time they disagree with a county action or inaction.

2.4.19 Work Opportunities

The EW must explain to the applicant the benefits of finding employment when receiving CalWORKs. The EW must also answer any questions the applicant may have about the work incentives, and explain the effect of earned income on their CalWORKs budget computation, including the Applicant Gross Income Test and Recipient Net Income Test.

2.4.20 CalWORKs Employment Services (CWES)

The EW must inform the applicant of the availability of activities and supportive services in the CWES program. The EW must inform all applicants that unless they are exempt, they will be registered with CWES to meet Welfare-To-Work (WTW) requirements. The EW must inform mandatory participants that failure to meet WTW requirements may result in financial sanctions.

[\[Refer to “CWES Program Requirements \[EAS 42-721\],” page 56-1\]\]](#)

The EW must also provide the individual with information about:

- Core and Non-Core Employment Service activities,
- The Core requirement, and
- When the Non-Core activities may count toward the Core requirement.

The EW must review and have the applicant complete the CalWORKs Stage One Child Care Request Form & Payment Rules (CCP 7) to inform the applicant/recipient that child care benefits are available for 12 months to recipients who need child care to work or participate in county-approved self-sufficiency activities such as attending education or job training programs.

2.4.21 Cal-Learn

The Cal-Learn program provides financial incentives, supportive services, and intensive case management to encourage teen parents to stay in or return to school and graduate. The EW must inform the applicant of the responsibility of any minor who is pregnant or has a dependent child to participate in the Cal Learn. [\[Refer to “Cal Learn \[EAS 42-762\],” page 57-1\]\]](#)

2.4.22 Third Party Medical Liability

The EW must inform the applicant that as a condition of eligibility, the applicant/recipient must cooperate in identifying and providing information about any third parties who may be liable for medical services for any member of the AU.

2.4.23 Minor Parent Residency

The EW must inform the applicant that to receive CalWORKs a minor (under the age of 18), who has never been married and is either pregnant or has a dependent child, will be required to live with his/her senior parent, legal guardian, other adult relative or in a licensed group or maternity home, unless the minor meets a specific exemption criteria. [\[Refer to “Senior Parent/Minor Parent,” page 21-1\]](#)

2.4.24 School Attendance Requirement

The EW must inform the applicant that all school age children (ages 6-17, 18 if applicable) in the AU must be enrolled in and regularly attend school. If the child fails to attend regularly, a penalty may be applied to the AU. [\[Refer to “School Attendance Requirement \[40-105.5\],” page 13-5\]](#)

2.4.25 Immunization Requirement

The EW must inform the applicant that all children under the age of 6 in the AU must have received age appropriate immunizations, unless exempt or good cause is claimed. If the parent or aided caretaker relative fails or refuses to verify that all children under the age of 6 in the AU have age appropriate immunizations, a penalty may be applied to the AU. [\[Refer to “Immunization Requirement \[40-105.4\],” page 13-10\]](#) for a complete description of the immunization requirements.]

2.4.26 Time Limits

The EW must inform the applicant of:

- The TANF Federal 60-month lifetime limit, and
- The CalWORKs 48-month lifetime limit.

The “CalWORKs 48-Month Time-Limit” (CW 2184) MUST be provided to every CalWORKs applicant at the point of Intake and to every CalWORKs recipient at their annual Redetermination. [\[Refer to “Time Limits \(EAS 42-302\),” page 39-1\]](#)

2.4.27 Voter Registration

The EW must give clients the opportunity to vote by issuing the form, “Would You Like To Register To Vote?” (SC 508) at the time of application, restoration, RRR or when there is a change of address. A “Voter Registration” form must be provided whenever a client chooses to register to vote.

The EW must also:

- Assist clients in completing the Voter Registration form, if help is requested.
- Accept and mail Voter Registration forms to the Registrar of Voters Office WITHIN 3 DAYS IF THE FORMS ARE RETURNED TO THIS AGENCY.
- Not attempt to influence the client’s decision to register to vote or the client’s choice of a political party.
- Not withhold or delay assistance because of voter registration requirements. Public assistance benefits shall not be affected by the applicant’s decision to register, or not to register, to vote.

2.5 Eligibility Review Checklist

To complete the interview and clear eligibility, the EW must review the following along with the application, item by item, with the applicant:

ITEM	REMINDER	REFERENCE
DEPRIVATION	When establishing U-Parent deprivation, the 100-Hour Rule applies to applicants.	[Refer to “Deprivation,” page 11-1]] and [Refer to “Definitions [41-440.1],” page 12-1].]
MARITAL STATUS	If two parents or a parent and stepparent reside in the home, is there a legal marriage? If not married, have the benefits of establishing paternity been explained and appropriate documents signed?	[Refer to Common-Place Handbook, “Stepparents,” page 30-4 and [Refer to “Paternity,” page 30-1]]
AGE	What are the ages of the children? Are all school age children (aged 6 -17, 18 if applicable) enrolled in and regularly attending school?	[Refer to “Age, School Attendance and Immunization,” page 13-1].]
CITIZENSHIP	Are all AU members citizens? If not, has appropriate non-citizen status been determined? Have appropriate documents been viewed and verification on file? Was “SAVE” completed?	[Refer to “Citizenship Verification [EAS 42-431.1, 42-433],” page 19-1].]

ITEM	REMINDER	REFERENCE
RESIDENCE	Are all AU members residents?	[Refer to “Residence,” page 18-1].
WORK REGISTRATION	Have work referral requirements been met for all AU members?	[Refer to “CalWORKs Employment Services Program,” page 54-1].]
INCOME	What is the financial status of all AU members? Does the AU have any potentially available income (i.e. UIB, social security death benefits, etc.)	[Refer to “Financial Eligibility,” page 33-1].]
PROPERTY	What property does the CalWORKs family have? Is property within limits?	[Refer to “Property Limit [EAS 42-207.2 and 63-1101],” page 14-1]] and [Refer to “Availability and Inaccessibility [EAS 42-201, 42-203],” page 14-3].]
CHDP	Have the CHDP brochure and the CHDP Support Services been explained? On the SAWS 2, p. 12, Social Services.	[Refer to “Application,” page 2-1].]
	Enter the appropriate code on the [ELIG] Screen to record the applicant’s request.	
FAMILY PLANNING	Has the availability of Family Planning Services been explained?	[Refer to “Application,” page 2-1].]
RIGHTS	Has the applicant received Pub. 13 “Your Rights Under California Welfare Program”?	[Refer to “Application,” page 2-1].]
VOTER REGISTRATION	Has the applicant been given the opportunity to register to vote?	[Refer to “Application,” page 2-1].]
DIVERSION	Has the applicant received the “Diversion Informing Notice” (SC 1440) and been informed of the availability of the Diversion program prior to approval of cash assistance?	“Diversion [EAS 81-215]” on page 32-1.]

2.6 Reporting [EAS 40-105.14]

2.6.1 Applicant Reporting — 5 Days

The EW must inform the applicant of their responsibility to report all facts and to notify the county within 5 calendar days of any change in any of these facts which affect the correct determination of eligibility and grant. [Refer to “Reporting Responsibilities,” page 9-1]]

2.6.2 Semi-Annual Reporting (SAR)

The EW must inform the applicant of the principles of SAR which is based on the concept of establishing eligibility and benefits for a future six-month payment period. This period is determined by known criteria, such as AU Composition, Property, and Deprivation, while anticipating income levels.

Semi-Annual reporting households must be provided with a verbal explanation of:

- Semi-Annual reporting and prospective budgeting,
- How to complete and submit the SAR 7, and
- The SAR 7 verification requirements.

The EW must inform the applicant of the requirements to complete the “Semi-Annual Eligibility/Status Report” (SAR 7) once every 6-month payment period. Applicants shall be provided with a copy of the SAR 7, “How to fill out your SAR 7 Eligibility Status Report” (SAR 7A) and the “Instructions and Penalties, Semi-Annual Report,” (SAR 7 Addendum).

2.6.3 Mandatory Recipient Mid-Period Reports

The EW must inform the applicant of the Mandatory Recipient Mid-Period Reporting requirements. CalWORKs recipients are mandated to report the following changes within ten (10) calendar days of the date the change is known to the parent/caretaker/guardian.

The Mandatory Recipient Mid-Period Reporting rule requires recipients to report:

- When their address changes.
- When someone in AU becomes a Fleeing Felon.
- When someone in the AU is in violation of a condition of probation or parole.
- Anytime the AU’s total income exceeds the Income Reporting Threshold (IRT) for their family size.

2.6.4 Voluntary Recipient Mid-Period Reporting

The EW must inform the applicant that they can report other information voluntarily even when it is not their report “month.” The EW must inform the applicant that they do not have to wait until the SAR 7 is due to report changes that occur during the payment period which may potentially increase their benefits. The voluntary mid-period report may be done verbally by telephone, in person, in writing, or using the “Mid-Period Status Report” (SAR 3).

Applicants should be advised that waiting, until the SAR 7 is due, to report changes that have the potential of increasing benefits or not providing verifications within 10 days of request will affect the month they become eligible for an increase in benefits.

The EW must verify the change within ten (10) calendar days when it is determined that an INCREASE is applicable.

Action on Voluntary Mid-Period Reports MUST NOT result in a decrease in benefits in the current payment period. The EW must inform the recipient that anything reported during the six-month period must be reported again on the next SAR 7.

2.6.5 County Initiated Mid-Period Actions

The EW must inform the applicant of changes that will cause the EW to lower or stop benefits during the payment period in which they happen. The following are exceptions to the frozen eligibility and benefits rule. Action must be taken at the end of the month the:

- Adult in the AU reaches the CalWORKs 48-Month time limit;
- AU member is sanctioned;
- AU member is penalized;
- AU member starts getting aid in another AU;
- Eligible child is placed in Foster Care;
- RCA reaches 8 months time-on-aid;
- Child reaches the age of 18, and will not graduate from high school before the age of 19; unless they meet the *Fry v. Saenz* disability criteria [[Refer to “Fry v. Saenz,” page 13-2](#)].

2.6.6 Other Mid-Period Actions

The EW must inform the applicant of mid-period changes that will cause the EW to lower or stop benefits during the period in which they happen when:

- The EW is informed that the recipient moved out-of-state.
- The EW is informed that someone in the AU dies.
- The recipient requests verbally or in writing to discontinue an individual or case.
- The EW is informed that the recipient moved out-of-county, initiate ICT process and discontinue at the end of the month the 30 day transfer period expires.

2.7 Verifications

Verification is the use of third-party information or documentation to establish the accuracy of statements on the application. Prior to determining eligible for applicant households, sufficient information concerning the applicant's situation must be obtained in order for the EW to make an informed judgment as to the assistance unit's eligibility. Verification and documentation are tools for making this determination.

2.7.1 Required

The EW must verify the following information prior to approving CalWORKs applications for benefits:

- Income
- Citizen/Noncitizen Status
- Identify
- Social Security Numbers
- Residency
- Sponsorship for Sponsored Noncitizens
- Relationship for all applicants
- Property
- Pregnancy (Pregnant Woman Only)

2.7.2 Denial of Applications due to Verification

Deny the application if the applicants fails to provide the missing verification(s) when:

- The application interview was held and all needed verifications were requested, and
- The applicant was informed of the 10-day standard in writing and was notified at the interview of the due date by which all missing verifications were to be provided, and
- The EW assisted the household, if necessary, to obtain verification.

2.8 Caretaker/Relative Rules

Caretaker relatives, other than a parent, may choose to be in the assistance unit (AU) or may choose not to be in the AU.

If the Caretaker relative..	Then..
Chooses to be in the AU	They are Needy Caretaker Relatives (NCR). Include their income and resources in determine the AUs eligibility. Note: Do not use their spouse’s income unless it is voluntarily made available to the AU.
Chooses not to be in the AU,	They are Non-Needy Caretaker Relatives (NNCR).

2.8.1 Non-Needy Caretaker Relative (NNCR)

A NNCR is a person who:

- Meets the degree of relatedness criteria, and

- Is other than the natural or adoptive parent, and
- Chooses not to be included in the AU and requests aid only for the eligible child(ren).

2.8.2 How to Process NNCR

When a person other than the parent requests CalWORKs for the child, the name of the applicant on the SAWS 2 Plus must be that of the caretaker/relative applicant. When the caretaker/relative is a person other than the parent, the EW must:

STEP	ACTION	
1.	Ask how the child happened to reside there.	
	IF...	THEN...
	The child is there as a result of a court placement from Santa Clara County,	The EW must follow the procedures in <i>Miller vs. Youakim</i> . [Refer to “Miller v. Youakim,” page 59-30.]
	The child is placed in this home by another county or state,	Contact an EW Supervisor in the Foster Care Bureau immediately, as the other county/state may be able to pay Foster Care Benefits.
2.	Verify and document clearly the relationship between the caretaker/relative and the child. [Refer to “AU Composition,” page 25-1.]	
3.	Ensure that there is no misuse of CalWORKs funds, exploring the income and resources of the caretaker/relative. No verification is required about this individual's financial situation unless this person is included in the AU as a needy person.	
4.	Complete the “Non-Needy Relative Statement” (SC 345), at intake and whenever a change occurs. (It is not necessary to have this completed at RD unless there is a change in the situation.) A caretaker/relative, with no spouse and/or children of his/her own living in the home, may have CalWORKs linkage if he/she wishes to apply for Medi-Cal on his/her own behalf. [Refer to Medi-Cal Handbook, “Medi-care Coverage,” page 25-1.]	

2.9 Application & Continuing Case Processing For Individuals Displaced By Disasters

| (This information has been moved to Chapter 38 “Federal and/or State Declared Natural Disasters”)

2.10 Completion of Intake Interview

2.10.1 How to Treat Changes During the Application Period

Any changes reported by the Assistance Unit (AU) while the EW is still determining eligibility for CalWORKs shall be used to make a final determination of eligibility and grant amount. If changes take place after the legal beginning date of aid, but before the determination of eligibility, and the change results in applicant ineligibility, the EW shall deny aid. If the changes do not result in ineligibility, but will have an effect on the grant amount, they shall be used to determine the correct grant amount for the AU.



Important:

Current Income Disregard and MAP values must be used in calculations. Income Disregard and MAP values in the example below may **not** reflect current values.



Note:

The examples use a Maximum Aid Payment (MAP) of \$670 for an AU of three and \$800 for an AU of four.

Example 1:

Mary applies for CalWORKs for herself and her two children on June 9th. She is unemployed. Her interview is June 22nd. She informs her worker she was hired on June 20th at a new job and verifies her start date is June 25th. Mary provides verification to her worker that she will be working 20 hours a week at \$9.00 an hour, paid weekly. Her first paycheck is expected July 8th. With that information, the worker can reasonably anticipate no monthly income for June and a monthly income of \$779 beginning in July using a weekly conversion factor ($\$9.00 \times 20 \times 4.33 = \779). Her actual current income of \$0 will be used to see if she passes the first applicant financial eligibility test and her reasonably anticipated income from her new job, across the June - November SAR period, will be used to determine the AU's eligibility and grant amount. The CWD will prorate the June grant amount back to the date Mary applied for CalWORKs (June 9th).

Mary has no reasonably anticipated income for the month of June. Mary's current MAP is prorated beginning June 9th. Aid is granted in the amount of \$491 for the month of June.

Example 2:

Same as above, but Mary doesn't know her start date or how many hours she will be working until **after** her application is approved. Since the worker cannot reasonably anticipate income from her new job, no income will be used to determine the AU's eligibility or grant amount. As long as she met her reporting requirements and reported all changes during the application period within five days, the CWD will not assess an overpayment based on her new job or income.

Mary's current MAP is prorated beginning June 9th. Aid is granted in the amount of \$491 for the month of June. She has no reasonably anticipated income for the remaining months of the payment period so aid is granted in the amount of \$670 for the months of July through November.

Example 3:

John applies for CalWORKs for himself and his two children on August 4th. He has applied for unemployment (UIB) but is not sure of the amount that will be authorized or when he will start receiving payments. At the time of application, his UIB income cannot be reasonably anticipated. Three days after his interview, he receives his first check and reports it to the CWD within five days as required. By the time he reports the income, the application has been approved and he is considered a current recipient. His report will be treated as a mid-period voluntary report and the UIB will not affect the AU's grant amount until the following SAR period.

John's current MAP is prorated beginning August 4th. Aid is granted in the amount of \$588 for the month of August. Aid is granted in the amount of \$670 for the September - January SAR period because John's UIB cannot be used until the following SAR period.

Example 4:

Suzie applies for CalWORKs for herself and her two children on September 1. She works part-time 20 hours a week making \$9.00 per hour and has no other household income. Her monthly income is calculated using a weekly conversion factor ($\$9.00 \times 20 \times 4.33 = \779). On September 10 she loses her job and reports it to the CWD along with verification of her job loss. The application has not yet been approved, so the CWD uses the information regarding her job loss and reasonably anticipates no income when determining the AU's eligibility and grant amount for the September - February SAR period.

Aid is granted in the amount of \$670 for the months of September through February.

Example 5:

Same as above, but when Suzie makes a timely report of her job loss, the application has already been approved on September 5th and the AU's grant has been calculated. The AU's first aid payment is issued on September 5th when the application is approved. The report of decreased income due to the job loss is treated like a voluntary mid-period report and the AU's grant amount will be recalculated based on recipient SAR rules. Any supplemental payments will be provided to the AU within ten days.

Example 6:

On September 8 when Steve applies for CalWORKs for himself, his wife and their two children. He is working 30 hours per week. When Steve comes to his scheduled interview on September 21st, he tells the CWD about his job but provides a lay-off notice that verifies he will be laid off as of September 30th. The only basis for deprivation for this family would be unemployed parent deprivation, but because John worked more than 100 hours in the four weeks prior to applying for CalWORKs, John and his family are not eligible for the month of September. However, as of October 28th, he will meet the 100-hour rule for unemployed parent deprivation. The worker pends the application and sends Steve a Notice of Action (NOA), Suspend Application, NA 290, M41-440G, that he is not currently eligible, but his application will be re-examined on October 28. On November 3, the CWD meets with Steve and verifies that no other changes have taken place since he completed his application. He is still

unemployed, has not yet been granted UIB, and his current and reasonably anticipated income is zero. The AU's application is granted for the October - March SAR period with an October 28th beginning date of aid.

Steve's current MAP is prorated beginning from October 28th. Aid is granted in the amount of \$100 for the month of October and \$800 for the months of November - March.

Example 7:

James applies for CalWORKs for himself, his wife, and their child on September 8th. He is the principal earner, but has been unemployed for three months. When he goes to his interview on September 26th he reports that he has just received an offer for a full-time job that will start on October 17th with a monthly salary of \$1,385. Based on this job offer, he anticipates earning \$0 in October as his first payday will begin on November 1st. In November he reasonably anticipates earning a partial month salary of \$625. His full monthly salary will begin in December. Since he has not worked more than 100 hours in the four weeks prior to his application date, his family still meets the unemployed parent deprivation requirement. His current income is zero, so his family passes the applicant eligibility test. Next the CWD must determine recipient eligibility and grant amount. The SAR period is September - February and his reasonably anticipated, net, nonexempt monthly income for the upcoming SAR period will be calculated as follows:

James has no reasonably anticipated income for the month of September. James' current MAP is prorated from September 8th. Aid is granted in the amount of \$506 for the month of September.

\$670 MAP for three
 ÷ 30 Days in the month
 \$ 22 Subtotal
X 23 Number of days in the month James is eligible
 \$506 Grant amount for September

James has no reasonably anticipated income for the month of October. Aid is granted in the amount of \$670 for the month of October.

James' countable income for the month of November is \$200. Aid is granted in the amount of \$470.

Determining the Net Non-Exempt Income (NNI) used to determine the November grant amount:

\$625 Earned Income
 - 225 Unused DBI Income Disregard
 \$400 Subtotal
 ÷ 2 EID – 50 percent of the remaining earned income
 \$200* NNI *The NNI is rounded down to the next whole dollar amount.

Determining the Grant Amount:

\$670 MAP for three
 - 200 NNI
 \$470 Grant amount for the month of November

James' countable income for the months of December - February is \$580. Aid is granted in the amount of \$90 for the months of December - February.

Determining the NNI used to determine the grant amount for the remaining payment period:

\$1,385	Earned Income
- 225	Unused DBI Income Disregard
\$1,160	Subtotal
÷ 2	EID – 50 percent of the remaining earned income
580*	NNI *The NNI is rounded down to the next whole dollar amount.

Determining the grant amount for the remaining payment period:

\$670	MAP for AU of three
- 580	NNI
\$ 90	Grant amount for December through February

Example 8:

Same as above, but James will be earning \$14 an hour and his job will start on October 1st. He anticipates earning \$2,424 per month beginning in November. His reasonably anticipated, NNI for the upcoming SAR period is as follows:

James has no reasonably anticipated income for the month of September. James' current MAP is prorated beginning from September 8th. Aid is granted in the amount of \$506 for the month of September.

\$670	MAP for three
÷ 30	Days in the month
\$ 22	Subtotal
X 23	Number of days in the month James is eligible
\$506	Grant amount for September

James has no reasonably anticipated income for the month of October. Aid is granted in the amount of \$670 for the month of October.

James' countable income for the month of November - February is \$1,099. Beginning in November, the family will become financially ineligible for CalWORKs.

James' reported reasonably anticipated income for November - February is \$2,424.

\$14.00	Hourly wage
x 40	Hours worked per week
\$ 560	Subtotal Weekly Income
X 4.33	Conversion Factor
\$2,424	Monthly Gross Income

Determining the NNI used to determine the grant amount for the remaining payment period:

\$2,424	Earned Income
- 225	Unused DBI Income Disregard

\$2,199 Subtotal

÷ 2 EID – 50 percent of the remaining earned income

\$1,099* NNI *The NNI is rounded down to the next whole dollar amount.

James is ineligible for CalWORKs beginning November 1st because his NNI exceeds the MAP for an AU of three (\$670).

Example 9:

Jane applies for CalWORKs for herself and her child on January 15th. She is unemployed. When she goes to her interview on February 3rd, she reports that her child's father has moved into the home and is employed full-time. Because Dad hasn't lived in the home for over two years, Mom is the principal earner, so the AU still has unemployment deprivation. However, Dad's income makes the AU financially ineligible and the application is denied.

2.10.2 Documentation

Documentation in the **Maintain Case Comments** window must reflect the applicant's situation. Discrepancies must be clarified. Do not assume what is occurring. Determine what is actually happening and then take appropriate action based on the situation.

Regardless of what is occurring, documentation and verification must be in the case record so that the Supervisor, Co-Worker, Quality Control Examiner, State Auditor, IEVS Examiner, Appeals Examiner or anyone who reviews the case is able to accurately determine eligibility and grant level. **Documentation is critical for the county to maintain federal and state funding and to avoid claiming penalties.**

2.10.3 Case Comments

The following information, NOT FOUND ELSEWHERE IN THE CASE, must be documented in the **Maintain Case Comments** window of CalWIN:

- The content of the intake interview,
- The method of the intake interview (face-to-face, telephone, or telephonic signature);
- Any contacts, either written or by phone, indicating a change or a potential change in the case, (i.e., household composition, income or property change). Explain all the decisions made based on anticipated circumstances where an alternate action could have been taken. For example:
 - Potential income may either be anticipated or ignored for the payment period, depending upon the probability of receipt, i.e., A/P support ignored when A/P has stated he won't pay, or has historically not paid; UIB anticipated after steady employment;
 - Seventeen (17) year-old child is exempted from work registration during the summer because he plans to resume full-time school attendance in the fall;

- Someone is discontinued from the AU effective the first of the following month when they request it in anticipation of her/his leaving the household.
- Any justification for unusual or special actions taken by EW,
- Eligibility for all programs explored and explained if potentially eligible and the client's decision to apply or not to apply for the other benefits,
- Any information from Social Security including the SSN or any possible benefit information,
- The scheduling of appointments,
- Any additional or questionable information that would be helpful to an EW newly assigned the case.

**Reminder:**

THE APPLICANT MAY VIEW THE **CASE COMMENTS** WINDOW AS PART OF THE CASE RECORD. THIS WINDOW IS USED ONLY TO STATE FACTUAL INFORMATION AND ACTIONS TAKEN OR PROPOSED.

2.11 Fraud Early Detection (FRED)

2.11.1 Definition

Fraud occurs when the applicant knowingly and willfully makes a false statement and/or suppresses or withholds information in order to:

- Receive aid, or
- Prevent a denial of aid, or
- Prevent a reduction in aid.

2.11.2 FRED Referral

FRED is an on-line investigation referral process to the DA - Welfare Fraud Division via the CalWIN Client Referral subsystem. The intake EW makes a referral when:

- A fraud alert appears in the case file,
- The EW suspects fraud affecting eligibility or the amount of benefits received,
- The EW is unable to resolve any inconsistency or conflict with an explanation from the applicant, or
- Any of the appropriate criteria for a FRED referral is met.

[Refer to Common-Place Handbook, “FRED,” page 38-1, for a complete discussion about FRED.]

2.12 Restorations [EAS 40-125.9]

2.12.1 Definition

A restoration is an application for the same category of aid in the same county by an applicant whose grant has been discontinued for 12 months or less at the time of the current application.

2.12.2 Restoration

When an individual applies for a restoration of aid, any documentation or verification previously furnished to the EW and in the case file, will not be required again unless:

- The documentation/verification is missing from the case record, and
- The documentation is needed to establish eligibility or grant amount for current or past CalWORKs eligibility.

The EW must review the Integrated Document Management (IDM) System or any existing case file, and prior volumes if necessary, to determine if the required evidence was previously provided.

The EW will not need to examine IDM or the previous case file if it would be unreasonable for the evidence to be in the case if the circumstances for which the verification is needed did not exist during the period the applicant previously received aid. Examples of this include earnings statements, bank verifications, or evidence concerning a person who was not previously in the AU.

2.12.3 Forms Required

A SAWS 2 Plus is required when:

- Circumstances of the applicant have changed in such a way that it is necessary to redetermine eligibility, (e.g., change in household composition or break-in-aid),
- A redetermination is due, overdue or due in the month following the request for restoration,
- There has been a break-in-aid of MORE than one calendar month.

2.12.4 More than One Month Break-in-Aid

For cases with more than a one calendar month break-in-aid:

- Obtain a new SAWS 2 Plus, and
- Prorate the grant amount according to the Beginning Date-of-Aid Rules.

2.13 Restorations With Less than One Month Break-In- Aid

2.13.1 SAWS 2 Plus Requirement

For cases with less than a one calendar month break-in-aid, a new SAWS 2 Plus is required only when:

- Circumstances of the applicant have changed in such a way that it is necessary to redetermine eligibility, (e.g., change in household composition or break-in-aid),
- A redetermination is due, overdue or due in the month following the request for restoration,



Reminder:

A U-parent case that has any break-in-aid must meet the 100 Hour Rule regulations. This AU is considered an applicant AU and must complete a new SAWS 2 Plus.

2.13.2 SAR 7 Not received

When the case has been discontinued for failure to submit a complete SAR 7, the intake EW must:

- Make a good cause determination in relation to rescission. This is a requirement of the final *Balderas* Court settlement.
[Refer to “Criteria for Determining Good Cause [EAS 40-181.23],” page 9-25]]
- Document the decision and reason in the **Maintain Case Comments** window of CalWIN.
- Rescind the discontinuance without a break-in-aid when GOOD CAUSE EXISTS.
- If Good Cause does not exist, restore aid to the AU based on the information provided on the complete SAR 7 and prorate benefits from the date the SAR 7 is received.
These restored AUs are considered recipients and therefore not subject to applicant eligibility criteria.
[Refer to “Restoration of Aid,” page 9-25].]