

Division Family Support  
OPERATION MANUAL  
Volume IIIA

[OMTL-430](#)

KENTUCKY WORKS PROGRAM (KWP)  
Table of Contents

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INTRODUCTION TO THE KENTUCKY WORKS PROGRAM (KWP)	4000-4199
Introduction	4000-4019
<a href="#">Kentucky Works Program (KWP)</a>	<a href="#">4000</a>
<a href="#">KWP Participation Requirements</a>	<a href="#">4005</a>
Systems Support	4100-4139
<a href="#">KAMES Referral Process</a>	<a href="#">4100</a>
<a href="#">[KWP Spot Checks on KAMES]</a>	<a href="#">4120</a>
PROGRAM COMPONENTS	4200-4399
Countable Components	4200-4299
<a href="#">Educational Component for Teen Parents</a>	<a href="#">4200</a>
<a href="#">Vocational Educational Training</a>	<a href="#">4210</a>
<a href="#">Short-Term Training</a>	<a href="#">4215</a>
<a href="#">Coding Vocational Educational Training</a>	<a href="#">4217</a>
<a href="#">Job Readiness Assistance/Job Search</a>	<a href="#">4220</a>
<a href="#">Community Service</a>	<a href="#">4230</a>
<a href="#">Calculating Hours of Participation for WEP/COM</a>	<a href="#">4245</a>
<a href="#">Employment</a>	<a href="#">4250</a>
<a href="#">Work Experience Program (WEP)</a>	<a href="#">4270</a>
Component Support	4300-4309
<a href="#">Accident Insurance for Work Experience and Community Service Placements</a>	<a href="#">4300</a>
Allowable Components	4350-4399
<a href="#">Non-Core and Allowed Activities</a>	<a href="#">4350</a>

<u>Domestic Violence Counseling</u>	4355
<u>Substance Abuse Treatment</u>	4365
<u>Mental Health Counseling</u>	4370
<u>Targeted Assessment Program (TAP)</u>	4373
<u>Vocational Rehabilitation</u>	4375
<u>Adult Education</u>	4380
KWP PARTICIPATION	4400-4799
Case Management	4400-4429
<u>Staff Roles and Responsibilities</u>	4410
Assessment Process	4500-4599
<u>General Health Assessment</u>	4500
<u>Mental Health Assessment</u>	4505
<u>Learning Needs Assessment</u>	4510
<u>Addressing Barriers to KWP Participation</u>	4515
<u>K-TAP Transitional Assistance Agreement</u>	4520
Component Referral and Monitoring Process	4600-4699
<u>Options for KWP Activity</u>	4600
<u>Monitoring and Tracking Participation</u>	4650
<u>KWP Participation Monitoring and Tracking Process</u>	4652
<u>Verification of Participation</u>	4655
<u>Excused Absences/Approved Holidays</u>	4660
Conciliation Due to Noncompliance	4700-4749
<u>Conciliation Process</u>	4700
<u>Sanction Exceptions and Good Cause</u>	4720
Penalty	4750-4799
<u>Applying the KWP Sanction</u>	4750
<u>Curing the KWP Sanction In Active K-TAP Cases</u>	4770

<a href="#">Curing the KWP Sanction at Reapplication</a>	4780
<a href="#">Resolving Erroneous Sanctions</a>	4790
Overview of UPs in KWP	4800-4829
<a href="#">Unemployed Parent (UP) Participation</a>	4800
SUPPORTIVE SERVICES	5200-5399
Introduction to Supportive Services	5200-5249
<a href="#">Introduction to Supportive Services</a>	5200
Child Care Assistance Program (CCAP)	5250-5299
<a href="#">Child Care and Two-Parent Cases</a>	5260
<a href="#">Approval for CCAP</a>	5270
Transportation	5300-5349
<a href="#">Transportation Authorization and Issuance Procedures</a>	5300
Other Supportive Services	5350-5399
<a href="#">Overview of Supportive Services</a>	5350
<a href="#">Supportive Services Items Subject to \$400 Limit</a>	5355
<a href="#">Fee Payments</a>	5365
<a href="#">Summer School Tuition Payments</a>	5370
<a href="#">[Car Repairs and Expenses]</a>	5375
<a href="#">Remedial Health Goods/Services</a>	5380
<a href="#">Authorization and Issuance</a>	5385
<a href="#">[Supportive Services Refunds and Adjustments]</a>	5388
<a href="#">RN and LPN Licensing Authorization</a>	5390

MS 4000

[KENTUCKY WORKS PROGRAM (KWP)]

KWP assists work eligible individuals to obtain employment and educational training that lead to self-sufficiency.

- A. The goal of KWP is to enable work eligible individuals to meet the primary obligation to support their children through self-sufficiency, prior to reaching their 60-month limit.
- B. Work eligible individuals are required to participate in KWP unless the individual meets exemption criteria outlined in Vol. III, [MS 2324](#).
- C. Participants in Kentucky Works may receive supportive services as needed for participation. The supportive services include child care (paid through the Child Care Assistance Program), transportation and other supportive services found in [MS 5350](#).]
- D. A participant with a disability shall receive reasonable accommodation, if needed.

MS 4005

KWP PARTICIPATION REQUIREMENTS

(1)

All work eligible individuals are required to participate in KWP unless the individual meets exemption criteria outlined in Volume III, [MS 2324](#). It is important to enter and track all KWP activities.

The state is required to have a minimum percentage of work eligible individuals participate in activities that are defined by federal regulations. Failure to meet the required rate could result in monetary penalties being imposed on the state.

Exempt individuals do not count in or impact the participation rate.

A. Activities that count in the federal participation rate are:

1. Core activities:

- a. Paid unsubsidized employment (EMP). This does not include employment for in-kind income;
- b. Subsidized employment including the Wage Subsidy Program;
- c. Work Experience program (WEP);
- d. Community service programs (COM);
- e. Job search and job readiness assistance (JRA) for only 6 weeks with no more than 4 consecutive weeks in a twelve month period. Participation in substance abuse treatment programs and mental health counseling may be countable as JRA. See [MS 4220](#);
- f. Vocational educational training, short-term training that leads to a specific employment opportunity and a new skill is learned (such as Certified Nursing Assistant (CNA), accounting, or phlebotomy), or post-secondary education for a maximum of 12 cumulative months (VOC);
- g. Providing child care services for an individual participating in community service. See [MS 4230](#); or
- [h. Attendance in secondary school (HSC or GED) for **teen parents** who do not have a high school diploma or equivalent.]

2. Non-core activities:

- a. Employment Skills Training (EST) directly related to enhancing employment skills or developing skills to a new level (such as Microsoft Office, bank teller takes a course to become a loan officer, or a licensed residential real estate agent becomes licensed for commercial properties). This is coded as EST and is not included in the 12 months of VOC;
- b. [Post-secondary activities beyond 12 months if the core requirement is met. This is coded as JSE;
- c. Education directly related to employment for an individual who has **no** high school diploma or equivalent:
  - 1) Adult Basic Education or Literacy Instruction. These are coded as ABE;
  - 2) General Equivalency Diploma (GED); and
  - 3) English as a Second Language (ESL) classes.]

NOTE: The core hour requirement must be met before non-core hours become countable.

- B. Activities that are allowed as participation, but do not count when determining the federal rates, are:
1. Domestic violence counseling (DOM). There are no limits to the length of time an individual may participate in this activity;
  2. Substance abuse treatment programs (SUB). There are no limits to the length of time an individual may participate in this activity. Programs that meet the weekly hour requirement can be counted as JRA for up to 6 weeks with only 4 weeks consecutive. See [MS 4220](#);
  3. Mental health counseling (MHA). There are no limits to the length of time an individual may participate in this activity. Programs that meet the weekly hour requirement can be counted as JRA for up to 6 weeks with only 4 weeks consecutive;
  4. Vocational rehabilitation (RHB). There are no limits to the length of time an individual may participate in this activity;
  5. Literacy (ABE) may count as non-core if the core requirement is met and the individual does not have a high school diploma or GED;
  6. Adult Education (ABE) may count as non-core if the core requirement is met and the individual does not have a high school diploma or GED;
  7. GED Education may count as non-core if the core requirement is met and the individual does not have a high school diploma or GED;

Participants should be encouraged to participate in a core activity in conjunction with the above activities when possible.

- C. The minimum participation rates the State must maintain are:
1. 50% for all families with a work eligible individual; and
  2. 90% for "W" cases.
- D. In order to be countable in the calculation of the federal rates, recipients in "C" cases are required to participate:
1. An average of 30 weekly hours, 20 of which must be in core activities. The remaining hours may be in core or non-core activities;
  2. An average of 20 weekly hours, all of which must be in core activities for a single custodial parent (M03) or single caretaker relative (M06) with a child under 6 years old. If the child's birthday is the first day of the month, the child is 6 years old. If the child's birthday is after the

first day of the month, the child is considered under 6 for that month. The caretaker relative must be included in the same K-TAP case as the child under 6 years. He/she cannot be the payee of the case.

Example: Shirley receives K-TAP for her child age 12. Shirley has a payee case for her 2 year old nephew. Shirley is required to participate 30 hours as the child in her case is over 6 years old; or

3. In full-time school attendance, including GED attendance, for a teen parent coded M03, head of household.
- E. In order to be countable in the calculation of the federal rates, work eligible recipients in "W" cases are required to participate:
1. 35 weekly hours, 30 of which must be in core activities. Up to 5 hours may be in non-core activities such as adult education, GED or post-secondary activities; or
  2. 55 weekly hours, if the family receives child care assistance (CCAP), 50 of which must be in core activities. Up to 5 hours may be in non-core activities such as adult education, GED or post-secondary activities.
- F. On a case-by-case basis, in order to accommodate a disability, the hours and length of participation and type of activity (core, non-core, or allowed) are adjusted to meet the needs of the participant.
- G. If an individual receives assistance for only part of a month, that month may be counted in the federal participation rate if the participant is engaged in an activity for the minimum average number of hours in each full week the individual receives assistance in that month.
- Example: An individual is approved for K-TAP benefits on 1/9/08 and is attending college. The individual is required to complete 30 hours per week to meet the participation requirement. The individual verifies classroom and study hours for the required average of 30 hours in each of the weeks beginning 1/9/08. This individual is tracked on OTIS and reported as meeting participation for January.
- H. An individual may participate in a combination of activities to achieve the required hours of participation. Only core activities can be used to meet the core requirement; however, core or non-core activities can be used to meet the additional required hours of participation.
- I. Two sets of data are collected for reporting participation rates. The formula for the federal participation rate is the numerator divided by the denominator.
1. The denominator is the number of cases containing a work eligible individual as defined in Volume III, [MS 2322](#).

2. To count in the numerator, a work eligible individual must average the following hours of activity for the given month.
  - a. For "C" cases and the "all family rate":
    - 1) 30 weekly hours (20 core hours plus 10 core or non-core hours); or
    - 2) 20 weekly hours (all core hours) for a participant who is the single custodial parent or single caretaker relative (coded MO6) of a child under 6 years old.
    - 3) One parent in a "W" case completes 30 hours of core activities.
  - b. For "W" cases, where both members are work eligible, and the "2 parent rate":
    - 1) 35 weekly hours (30 core hours plus 5 core or non-core hours); or
    - 2) 55 weekly hours (50 core hours plus 5 core or non-core hours) for participants receiving CCAP childcare assistance.

If one parent completes 30 hours of the participation requirement for "W" cases, the "W" case counts in the all family rate. This should be encouraged, but it is not mandatory.

3. Sanctioned individuals are not counted in the denominator for the first three months of sanction within the preceding 12-month period.

MS 4100

KAMES REFERRAL PROCESS

(1)

[KAMES generates a referral for KWP to the Online Tracking Information System (OTIS) for active adults in a "C" or "W" case with the IMID code of M03, M04, M06, M13 and M14 who are shown as KWP non-exempt. There are two exceptions which are not sent: member 727 (alien) and 844 (teen parent not in school). Basic demographic data is passed to OTIS.

Changes input on KAMES (e.g., adding a child) that impact the data are updated on OTIS. However, OTIS does not update KAMES, with the exception of the Disqualification Segment for KWP sanction information entered on the OTIS Sanction Screen and spot checks that are a result of the sanction.]

- A. When entering the referral status on KAMES, great care must be given to enter the correct KWP status of exempt or nonexempt. If the individual's KWP status changes, update KAMES with the correct KWP information. An incorrect KWP status on KAMES can delay or deny the issuance of supportive services or Work Incentive (WIN) payments. Additionally, an incorrect KWP status may affect KWP participation rates.
- [B. OTIS is dependent on the information received from KAMES, and the worker cannot enter information or authorize payment on OTIS if the client has been coded as exempt on the KAMES system.
- C. When a case is transferred from one caseload to another, the information is passed to OTIS after the KAMES batch cycle is completed. If the case does not show in the new caseload the next day, a "J – No Change" action on KAMES may be required.]
- D. If a K-TAP case is to discontinue with earnings and the adult is coded exempt, remove the exemption code and answer "Y" to the question "Is he/she being referred for KWP?" on the KWP/Work Registration screen on KAMES prior to adding or increasing the income. This will ensure the case is identified for WIN reimbursements, if appropriate.



MS 4200 EDUCATIONAL COMPONENT FOR TEEN PARENTS (1)

Attendance in elementary school, middle school, high school, or an equivalent program is a core activity for teen parents coded M03 age 19 and under.

If the teen parent under age 18 (coded M03, head of household) has graduated from high school or obtained an equivalency diploma, the teen parent is required to participate in a core KWP activity. Failure to participate may result in a sanction.

Attendance for teen parents attending high school, middle school, or elementary school is auto tracked from KAMES and is verified by a quarterly listing generated to the schools. Teen parents, coded M03, that are age 19 or under are auto tracked as long as the school attendance information is entered on KAMES as follows:

- A. Answer "Y" to the question "IS HE/SHE ATTENDING ELEM/MID/HIGH SCHOOL?"
- B. The identifying school number must be entered. After the school number is entered, KAMES will read a school file and upload the name and address of the school. The school number is a 9-digit number consisting of the 3-digit county number, 3-digit district number and 3-digit school number, in this order. The numbers can be accessed by choosing option "N" off the KAMES Inquiry Menu. Enter the three-digit county number and select the appropriate district number and school number for the school the individual attends.
- C. If the teen parent is in a home school situation or a school not covered by the school file, the 9-digit school number is the county number, district number and 999. If the home school code (999) is used, the school name and address fields are unprotected and must be entered by the worker.

[If you discover that school attendance questions were not answered appropriately on KAMES for a teen parent, coded M03, age 19 or under who was attending high school; a HSC component should be entered on OTIS and tracked for any months for which participation can still be captured. See [MS 4650](#).

For teen parents, coded M03, attending GED or other equivalent program, participation is entered and tracked on OTIS by entry of the appropriate component code: General Educational Development (GED), Adult Basic Education or Literacy Instruction (ABE).]

MS 4210

VOCATIONAL EDUCATIONAL TRAINING

(1)

[Vocational educational training is an organized educational program directly related to preparing individuals for employment including baccalaureate and advanced degree programs. Full-time or part-time attendance in this activity can be used to meet core federal participation requirements for a maximum of 12 cumulative months. OTIS will track the number of months used to meet the core requirement. If vocational educational training hours are less than the individual's KWP requirement, the hours can be combined with another core component in order to meet participation.]

Federal guidelines allow individuals enrolled in online courses to receive the same credit for participation as those who attend conventional courses, providing the actual hours spent online are monitored and recorded by the educational institution.

A. Vocational educational training includes the following:

1. Classroom training in one and two year programs at a state technical college, area vocational education center or Job Corps;
2. Programs including advanced degrees, such as masters, PhD, or licensed certified practitioner, at two and four year colleges when the participant has a specific occupational goal;
3. Customized training offered on a short-term basis at a state vocational technical school or other provider. For additional information, refer to [MS 4215](#); and
4. A proprietary school program with a specific occupational goal.

Basic skills training or English as a Second Language (ESL) may count as vocational educational training when it is part of the vocational educational training.

B. In order to correctly count hours that meet participation criteria:

- [1. Use actual CLASSROOM hours, not credit hours, as the weekly scheduled hours on OTIS. For example, physical education classes are often 1 credit hour, but classes meet 3 hours per week. When possible, review class schedules to determine the actual classroom hours.]
2. Scheduled activities outside classroom hours which count toward KWP participation include:
  - a. Clinicals for medical courses;
  - b. Cooperative (co-op) program hours;
  - c. Internships;
  - d. Labs;
  - e. Tutoring;

- f. Study time in a supervised setting; and
  - g. One hour of unsupervised study time for each hour of class time; this includes online classes.
3. Work study programs are considered countable hours of employment and the hours are entered on KAMES on the Earned Income screen. See [MS 4250](#) for the appropriate system entry of work study income.
- [C. Vocational educational components, when used to meet the 20 hour core requirement for a maximum of 12 cumulative months, are coded on OTIS as VOC.
- D. Vocational educational components are coded JSE on OTIS when not used to meet the 20 hour core requirement, such as when the participant meets the core requirement through work study or another core component.]

See [MS 4217](#) for additional information relating to the coding of vocational education components.

- E. The time between semesters or weeks where there is no participation must either be made up or the individual must be placed in another countable activity.

MS 4215

SHORT-TERM TRAINING

(1)

Short-term training is customized training offered in a short time period that leads to a specific employment opportunity.

A. Short-term training programs should be made available to qualified participants. All referrals for short-term training must have prior approval. Case managers make payments for short-term training programs.

1. Each Regional Office will designate staff responsible for determining if a new training class meets KWP criteria. Contact the designated staff in your region before referring individuals to a new short-term training class. If the information is questionable, please send the class curriculum for review to the Family Self-Sufficiency Branch (FSSB) at [FSSBK-TAP@ky.gov](mailto:FSSBK-TAP@ky.gov).
2. Eligibility criteria for a short-term training class include:
  - a. Training that is not covered by federal financial aid. For example, courses less than 50 clock hours at a technical college; nurses' aide training and classroom training for Child Development Associates (CDA);
  - b. Training that is in accordance with the participant's job goal and local labor market trends. The opportunity for a job using the short-term training must exist when training is complete; and
  - c. Training class fees should not exceed \$500 per class per individual.

If a short-term training class fee exceeds \$500 and it is determined the short-term training is appropriate in moving the individual to employment, the KWP Specialist or designated individual contacts the FSSB for approval.

3. The case manager refers the individual to the short term training program after the approval of the KWP specialist or supervisor.
4. Trainings are limited to 2 per person per 12-month period regardless of the cost of each short-term training class.
- [5. Obtain the provider's complete name and mailing address in order to complete form KW-215, Short-Term Training Referral Form.]
6. After the short-term training class is approved:
  - a. Explain to the training facility that form KW-215, must be completed and returned.
  - [b. Payment is authorized when form KW-215 is returned completed by the provider. If the form needs to go to a specific person, enter that information in the address line 2. For example, if XYZ School wants the check to be routed to Mary Smith, enter:

XYZ School  
Attn: Mary Smith  
104 School Road  
Anytown, Ky 40000]

- c. Explain the requirement to monitor and track attendance with the completion process for form PA-33, Verification of Kentucky Works Participation or other participation verification.
7. The case manager:
    - a. Identifies and recruits participants to attend training.
    - [b. Creates form KW-215 from the Payments screen, Supportive Services on OTIS and gives the form to the KWP participant. The participant takes the form to the provider for completion and return. If the training is paid by the Big Sandy ADD, then form KW-215 is issued through E-forms and is for referral purposes only.
    - c. Upon receipt of the completed form KW-215, issues the payment on OTIS and scans the form into the category KWP in the electronic case file.
  8. Utilize provider type (VOC). Enter all short-term training classes on OTIS as the component type VOC. If the provider is not shown as a VOC provider, show the participant active in the VOC code by entering placement information from form KW-215.]
  9. Short-term training is considered vocational training and counts in the 12 cumulative months allowed to be counted in the federal participation rate.
  10. Tracking must be completed for short-term training, including tracking the months of the VOC component toward the countable 12 months of vocational educational training.
- B. For all counties served by the Big Sandy ADD, Big Sandy ADD staff will pay the following:
1. All short-term training tuition costs.
  2. All fees related to short-term training. This does not include non-fee items, such as uniforms, that DCBS pays as a supportive service.

MS 4217                      CODING VOCATIONAL EDUCATIONAL TRAINING                      (1)

[Participation in vocational education activities as a core activity (VOC) is limited to a maximum of 12 months. The individual must meet the required number of hours to count in the federal participation rate. OTIS tracks the number of months VOC is used to meet the core requirement and total months can be found on the OTIS General Information screen. For this reason it is very important that coding of vocational education on OTIS be completed as follows:]

A. Attendance in a vocational educational training can be used to meet the federal participation requirements for a maximum of 12 cumulative months.

1. Participants are placed in VOC components during their 12 cumulative months.
- [2. Any month the vocational activity component (VOC) is used to meet the core requirement OTIS counts as one of the 12 cumulative months reported in the federal rate, regardless of whether participation was met.]

B. After an individual has completed 12 cumulative months of vocational educational training, he/she may continue to participate in post-secondary activities if the core requirement is met by participating in other core activities. These individuals are placed in JSE.

- [1. Close the VOC component on OTIS.]
2. Use code JSE to indicate continued participation in the vocational educational activity.
3. The component JSE is used when hours are combined with a core activity to meet the participation requirement. See [MS 4210](#), Item D.
  - a. [JSE activity must be tracked on OTIS in order to count in the participation rate.]
  - b. Hours in JSE will only count for individuals in a "C" case who are required to participate 30 hours per week and need core or non-core hours in addition to 20 hours in COM, WEP, employment or work study.

JSE cannot be used as part of the 20 hours of core activities (COM, WEP, employment, work study) required of single parents or single caretaker relatives (coded M06) with a child under age 6 who have reached their 12<sup>th</sup> month of post-secondary attendance in vocational training. If an individual needs to use hours of vocational training towards the core requirement, the activity must be tracked as VOC.

Thirty hours, 20 of which are core activities (COM, WEP, employment, work study) are required of single parents and single caretaker relatives (coded M06) with children age 6 and older. JSE can count for the remaining hours of required activity.

- c. For "W" cases, JSE is used for the five hours required in addition to the 30 or 50 hours in a COM, WEP, employment or work study.

To meet the 35/55 hour work requirement, a parent in a UP case may participate in vocational educational training for the 12 cumulative months; however, both parents in a UP case cannot participate in a vocational educational training component at the same time unless one parent is meeting the required number of core hours (30/50).

Example: A UP household is required to participate 35 hours per week and one parent is meeting the required 30 hours in VOC with actual class hours and non supervised and supervised study time. The other parent can complete the remainder of the requirement in another core or non-core activity, such as employment, community service, JSE, etc.

- C. Individuals remain in the JSE component if he/she continues to attend vocational training but the hours are not needed to count towards the participation rate. These hours are only collected for reporting purposes.
- [D. For an individual who meets the core participation requirement of 20 hours per week through employment, work study, or WEP/COM and also attends vocational educational training, code the training to JSE in OTIS. The vocational training in this type of situation is not considered part of the 12 months.]
- E. Activities which involve paid employment are shown as paid employment on KAMES. Work study income is excluded income in the K-TAP case, but is shown on KAMES as earned income with the correct number of monthly hours, one cent (1¢) in the "WAGES" field and one dollar (\$1) in the "IM" field for the "AMOUNT OF WAGES THAT ARE ONLY TO BE COUNTED FOR A SPECIFIC PROGRAM".
- G. Internships, practicum, clinical, and co-op programs which do NOT involve paid employment may be considered as hours toward the vocational educational training or may be a WEP or COM placement. Hours in WEP cannot exceed either the FLSA calculation or the weekly participation requirement, whichever is less. For example, if the clinical requires 20 hours a week and the calculation only allows 6 hours per week, we track 6 hours in the WEP/COM. For more information see [MS 4230](#) for COM and [MS 4270](#) for WEP.
  - 1. The Ready to Work Coordinator at the educational institution will work with the Family Support KWP staff to identify potential WEP or COM placements which may include:
    - a. Internships which involve no pay;

- b. Practicum which involve no pay, including student teaching;
  - c. Co-ops which involve no pay;
  - d. On-campus volunteer activities; or
  - e. Off-campus volunteer activities.
2. The Ready to Work Coordinator will assist with the monitoring and reporting on these activities.
  3. The Ready to Work Coordinator will also monitor supervised study time.

MS 4220                      JOB READINESS ASSISTANCE/JOB SEARCH                      (1)

Job Readiness Assistance (JRA) is preparation to seek and obtain employment. These services are provided by various contractors located throughout the state. Services include development of job seeking skills as well as activities designed to remove barriers to employment such as substance abuse treatment, mental health treatment, rehabilitative services, and life skills training.

Job Search, coded as JRA, is the active search for employment that must include contact with potential employers.

Participation in either JRA or Job Search or a combination of both may be countable as a CORE activity in the federal participation rate for a maximum of six weeks in a preceding 12-month period. A break of one week or more must occur after four consecutive weeks of participation in JRA or Job Search before the remaining two weeks are countable in the federal rate.

[If the participant requires these services for a longer period of time within the same 12-month period, the activity may be allowed but will not count in the federal rates. The component code on OTIS can be MHA, RHB, SUB, or DOM, depending on the activity of the participant.]

Contractors can report relevant information regarding a participant on OTIS.]

- A. Contractors responsible for providing JRA job seeking skills provide:
  - 1. Classes that start the first work day of a month that allows for 4 full weeks of participation;  
  
If contractors offer two week JRA classes, individuals can participate two weeks of JRA classes and four weeks of Job Search, with at least one week break in between.
  - 2. Training in communication, conflict resolution, interviewing techniques, resume preparation, budgeting, and other relevant topics;
  - 3. Employment counseling;
  - 4. Other services which may be identified regionally.
- B. Substance abuse treatment, mental health treatment, or rehabilitative services can be countable as JRA activities. This treatment must be determined necessary by a qualified medical or mental health professional and are services scheduled on a regular basis that occur no less than the 20/30 hour per week requirement.
- C. Job Search (JRA) may be directed by either a contractor or the case manager. The client reported hours are used for tracking Job Search activity. Travel time between interviews can be counted, but not time to and from the participant's home. Verification requirements for Job Search include:

1. A daily log of employer contacts (in person, internet, or phone) maintained by the participant that includes the date and time of each contact, length of contact, type of contact, employer name and contact information, and desired position.

Form KW-300, KWP Job Search Documentation, is an optional form for KWP participants to log information on job search activity, such as type of contact, date and time of contact, employer's name, address and contact number, and the result of contact.

2. Submission of the participant log or form KW-300 to the contractor or case manager is completed monthly, for review, approval, and retention in the case record.

If the participant log or form KW-300 is incomplete or questionable, contact is made with the employer.

MS 4230

COMMUNITY SERVICE

(1)

Community service is a structured program where participants perform work for the direct benefit of the community under the sponsorship of a nonprofit organization. The projects are limited to those that serve a useful community purpose. Examples of permitted community service placements include churches, the Red Cross, Big Brothers/Big Sisters, Habitat for Humanity, local government, and public schools. Providing child care for another KWP individual who is participating in a community service activity is also permitted as a community service placement.

- A. Community service placements can be identified by the case manager or the participant. Placements are usually positions staffed by volunteers in an organization. The organization must be a non-profit or public agency.
- B. Individuals who are likely candidates for community service activities are those who cannot obtain paid employment and who need to increase their employability by improving interpersonal and job retention skills.
- [C. Community service is a core activity that counts toward meeting the 20/30/50 core hours to be countable in the participation rate. The component referral code used on OTIS is COM. For "W" cases to meet the "All Family" participation rate, one parent is encouraged to complete the entire core 30-hour requirement.
- D. The weekly number of hours an individual is allowed to participate in Community Service is determined by completing the Fair Labor Standards Act (FLSA) calculation of permitted hours outlined in Volume IIIA [MS 4245](#). This calculation is completed on OTIS before a COM placement can be made. The individual cannot participate in Community Service activities for hours in excess of the calculation. If the calculated number of allowed hours is less than the core requirement for the case, the difference between the calculated permitted hours and 20/30/50 hour core requirement is considered as deemed participation. If the calculated number of allowable hours is greater than the core requirement for the case, the KWP individual is not required to participate but may participate in the COM more than the core requirement.

Example: The calculation determines the individual in a "C" case, who is required to participate 20 hours, is permitted to participate in a community service activity 15 hours per week. The difference of 5 hours needed to meet the core 20-hour requirement is deemed.

Example: The calculation determines the individual in a "W" case, where child care is not requested, is permitted to participate in a community service activity 15 hours per week. The difference of 15 hours to meet the core 30-hour requirement is deemed. Thirty hours of core participation is reported for COM. The individual is required to participate an additional 5 hours in a

core or noncore activity other than WEP/COM to meet the 35-hour KWP requirement.

Example: The calculation determines the client in a "C" case requiring 30 hours of weekly participation is permitted to participate in a COM activity 23 hours per week. NO hours are deemed to meet the core 20-hour requirement. An additional 7 hours must be met through a core or non-core component other than WEP/COM.

Example: The calculation determines the client in a "C" case requiring 20 hours of weekly participation is permitted to participate in a COM activity 22 hours per week. NO hours are deemed to meet the core 20-hour requirement.

Example: The calculation determines the individual in a "W" case, where child care is not requested, is permitted to participate in a Community Service Activity 20 hours per week. The difference of 10 hours to meet the core 30-hour requirement is deemed. When form PA-33 for COM is returned indicating the client has attended an average of 15 hours weekly. The individual is required to participate an additional 5 hours in a core or noncore activity to meet the 35-hour KWP requirement. Participation is not met in this instance and conciliation should be initiated. ]

- E. If an individual is participating in a Community Service and WEP component at the same time, the sum hours of participation in both activities cannot exceed the amount determined by the FLSA calculation.
- [F. There is no limit to the number of months an individual can participate in a Community Service placement.]
- G. DCBS carries medical and accident insurance on COM participants. These individuals are NOT covered by Worker's Compensation. The insurance only covers the COM participants while attending the COM activity. Refer to [MS 4300](#).

MS 4245            CALCULATING HOURS OF PARTICIPATION FOR WEP/COM            (1)

The weekly hours of participation in a work experience training (WEP) or community service (COM) component, is limited by the Fair Labor Standards Act (FLSA). The FLSA calculator is used to determine the maximum number of hours a participant can participate in a WEP/COM component. If the permitted weekly hours are less than the core requirement for the case, the remaining hours are "deemed" up to 20 core hours for a "C" case and up to the 30/50 core hours in a "W" case.

The FLSA calculation which determines the actual hours permitted for participation in a WEP/COM placement considers the K-TAP benefit, the transportation reimbursement, the amount of child support retained by the State and the SNAP benefit allotment received by the K-TAP family members.

If the SNAP benefit case is comprised of K-TAP and non K-TAP members, only the portion attributed to the K-TAP recipient is considered in the FLSA calculation for permitted hours.

[The FLSA calculation is completed on OTIS before a WEP/COM placement can be made.

A. To manually calculate the permitted hours of WEP/COM participation for a case: ]

1. Subtract the amount of child support retained by the State from the K-TAP benefit for a "net K-TAP" amount. See Volume III, [MS 2610](#) B, for instructions on how to verify and determine the amount of child support income;
2. Add the amount of transportation received. For "W" cases, enter in the appropriate amount (\$200 or \$400), depending on whether one parent or both parents receive transportation assistance. Do not include payments that were issued for 1-3 days of KWP participation;
3. If the K-TAP family members receive SNAP benefits, add the SNAP benefit amount for K-TAP family members to the 'net' K-TAP benefits:
  - a. Do not use the total SNAP benefit if the SNAP benefit case includes household members not included in the K-TAP case;
  - b. If the SNAP benefit case includes non K-TAP members:
    - (1) Divide the SNAP benefit amount by the total number of SNAP benefit members. Do not round;
    - (2) Multiply the result by the number of K-TAP case members and round to the nearest dollar;
    - (3) Add this amount to the K-TAP benefit amount which has been adjusted by any state retained child support;
4. The result is divided by the federal or state minimum wage, whichever is higher, to obtain the monthly permitted hours for individuals in WEP and COM activities. Round the result to the nearest hour;

5. Divide the monthly hours by 4.33 for the individual's actual permitted weekly hours of participation. Round the result to the nearest hour;
- [6. The actual weekly hours the individual is permitted to participate and deemed hours will display on OTIS under the Components screen, WEP/COM Calculation section; ]
7. In cases where there is a benefit reduction to repay a claim, use the full benefit amount for which the household is entitled for both the K-TAP and SNAP cases.

Example: A household is required to pay a claim. The K-TAP benefits are reduced from \$225 to \$202 and the SNAP benefits are reduced from \$364 to \$328. When the FLSA calculator is completed, the state retained child support is subtracted from \$225 for the 'net K-TAP' amount. When adding the SNAP benefits on step 3, the amount used is \$364.

- [B. For cases with permitted hours calculating less than the core weekly requirement (20 hours for a single parent or a single caretaker relative (coded M06) with a child under 6 years old, 30 hours for a two parent family not receiving child care assistance, or 50 hours for a two parent family receiving child care) the difference is deemed up to the core requirement. If the participant does not meet their permitted hours, the deemed hours will not be entered.

Example 1: A KWP individual with a child under 6 must participate 20 hours per week in a core activity. The FLSA calculation shows 18 hours are permitted in a WEP/COM component. The 2-hour difference shows as deemed on OTIS. If the KWP individual averages weekly attendance of 18 hours no additional activity is required.

Example 2: A KWP individual is required to participate 30 hours per week, 20 must be in core activities. The FLSA calculation shows 18 hours are permitted in a WEP/COM component. The 2-hour difference shows as deemed on OTIS. If the KWP individual attends the WEP/COM activity an average of 18 hours weekly, the 20-hour core requirement is met. However, in order to count for federal participation, she must participate in other core or non-core activities besides WEP or COM an additional 10 hours per week.

Example 3: A two parent family must participate 35 hours per week with 30 hours in a core activity. The FLSA calculation shows 25 hours are permitted in a WEP/COM component. The 5-hour difference is deemed and shows on OTIS. If the KWP individual(s) attends the WEP/COM activity an average of 25 hours weekly, the 30-hour core requirement is met. However, participation in other core or non-core activities, besides WEP or COM, for the additional 5 hours must occur in order to count for federal participation.

Example 4: A KWP individual with a child under 6 is required to participate 20 hours per week in a core activity. The FLSA calculation shows 17 hours

are permitted in a WEP/COM component. The 3-hour difference is deemed and shows on OTIS. If the KWP individual averages weekly attendance of 15 hours, the 3 deemed hours will not show on Components – Tracking screen as the individual did not meet the permitted WEP/COM hours.]

- C. For cases with permitted hours calculating more than the core weekly requirement applicable to the case situation, enter the calculated permitted hours and 0 deemed hours will show.

Example: The calculation determines that the client in a “C” case requiring 30 hours of weekly participation is permitted to participate in a WEP activity 23 hours per week. NO hours are deemed to meet the 20-hour core requirement. When participation verification for WEP is returned indicating the client attended an average of 23 hours per week, the component is tracked as meeting the required hours of participation. An additional 7 hours must be met through a core or non-core component other than WEP/COM.

- [D. OTIS will report hours of participation based on entries made as verified by form PA-33, Verification of Kentucky Works, or other documentation provided verifying participation.]
- E. The number of hours permitted by FLSA must be recalculated when the K-TAP, transportation reimbursement, SNAP benefits, child support, or minimum wage changes. Review the calculated number of hours when tracking monthly participation and adjust if needed. Notify the participant and provider of any change to the required hours for the WEP or COM.

MS 4250

EMPLOYMENT

(1)

[Employment including wages, subsidized wages, work study, Ready-to-Work, and self-employment is a core activity. All employment is entered on the Kentucky Automated Management and Evaluation System (KAMES). Hours of employment must be verified and documented when a change is reported or at a minimum, every 6 months.]

A. Wages, including those from subsidized employment, are calculated per Volume III, [MS 2710](#), and counted when determining the K-TAP benefit. Subsidized employment may be arranged by contractors in some counties and may include training that occurs while the individual receives wages. When subsidized employment is verified, answer "Y" to "subsidized" on the KAMES wage screen. Subsidized wages are counted as earned income.

B. Work study, WIA, and Ready-to-Work income are not counted when computing the K-TAP benefit. Hours in these activities are entered on the KAMES wage screens as a monthly amount.

1. One cent (1¢) is entered in the "WAGES" field;
2. Monthly work hours are averaged and converted and entered in the "HRS" field;
3. One dollar (\$1) is entered in the "IM" field for the "AMOUNT OF WAGES THAT ARE ONLY TO BE COUNTED FOR A SPECIFIC PROGRAM".

Example: An individual has work study income of \$7.25 per hour and works 20 hours per week. The projected monthly hours of 87 (20x4.33, then rounded) are entered on KAMES as well as 1¢ monthly income in the "WAGES" field. One dollar (\$1) is entered in the "IM" field for "AMOUNT OF WAGES THAT ARE ONLY TO BE COUNTED FOR A SPECIFIC PROGRAM".

The 1¢ entry in the "WAGES" field ensures no additional money is counted in the SNAP case. The \$1 entry in the "IM" field for "AMOUNT OF WAGES THAT ARE ONLY TO BE COUNTED FOR A SPECIFIC PROGRAM" ensures the Work Study or Ready to Work hours are reported on the federal work participation report.

4. The "Report/Verify Timely" question is answered "N" for any excluded earned income such as work study, ready to work, and WIA income. This prevents incorrect issuance of WIN payments should the K-TAP case discontinue.
- C. Hours of self-employment that are countable in the participation rate must be calculated manually by dividing the monthly profit (gross income less allowed expenses) by the minimum wage. The result is rounded up or down to the nearest whole number and represents the monthly countable participation in a self-employment activity. The weekly hours in a self-employment activity can be determined by dividing the monthly countable participation by 4.33 and rounding. The KWP Countable Hours Calculator

can also be used to determine the number of weekly hours of self-employment that are counted toward the individual's KWP participation. The weekly calculated hours are entered on the KAMES self-employment screen regardless of the number of hours the individual states he/she works.

[Example: An individual earns \$145 monthly from self-employment and has no business expenses. Divide \$145 by the federal minimum wage (\$7.25) and round up or down to the nearest whole number. The result is 20 hours of participation per month. The weekly hours from self-employment is 5 (20 divided by 4.33) Enter 5 hours as the weekly number of hours worked on the KAMES self-employment screen. The individual would need to participate in other core activities to meet KWP participation requirements.]

D. Employed individuals are eligible for transportation payments as well as other supportive services. Form PA-33, Verification of Kentucky Works Participation, is generated by the worker from the Payments, Transportation screen on OTIS. The individual is only required to complete page 2 of form PA-33, Verification of Kentucky Works Participation. Transportation payments are issued from OTIS Payments screen, Transportation option.

E. Employment hours are reported by the KAMES system for the federal participation rates when they become effective in the K-TAP case.

Example: Wages are reported in April and added prior to cut-off effective May. The hours are counted in the federal reports beginning May.

Example: Wages are reported late in April and added after cut-off effective June. The hours are counted in federal reports beginning June.

F. Component type SEE is used to report the hours of participation earned prior to the employment hours being effective on KAMES. SEE components are automatically created by OTIS from information verified on KAMES. OTIS automatically tracks and closes SEE components.

G. Employment information (EMP) will automatically be sent from KAMES to OTIS after the SEE component closes.

The Work Experience Program (WEP) is a work activity performed in return for K-TAP benefits. It provides the individual an opportunity to acquire general work skills and training necessary to obtain employment.

WEP is limited to projects that serve a useful public purpose such as health, social services, education, libraries, public facilities, and government. Family Support staff and/or contracted entities locate and negotiate training site agreements for WEP positions.

[WEP is a core activity that counts towards meeting the 20/30/50 hours countable in the participation rate. The component code used on OTIS is WEP. For "W" cases to meet the "All Family" participation rate, one parent is encouraged to complete the entire core 30-hour requirement.]

- A. The following criteria apply to the provider of the WEP placement:
  - 1. The work experience placement benefits the participant;
  - 2. The WEP provider must:
    - a. Provide sufficient training to ensure development of appropriate and specific skills;
    - b. Provide new tasks after each skill is mastered; and
    - c. Provide intensive participant instruction and supervision at all times; and
    - d. WEP participants cannot displace, reduce the work hours, or infringe upon promotional opportunities of regular employees.
- B. The case manager or contracted entity completes form KWET-241 WEP Training Site Agreement when:
  - 1. The placement is initially negotiated.
  - 2. The hours of required WEP participation, end date of agreement, or training activities change.
  - 3. The WEP agreement ends.
- C. WEP placements can be negotiated for the length of time necessary to provide a meaningful training opportunity to the individual.
- D. A WEP placement is ALWAYS of lower priority than paid employment.
- [E. The weekly number of hours an individual is allowed to participate in WEP is determined by completing the Fair Labor Standards Act (FLSA) calculation of permitted hours outlined in Volume IIIA [MS 4245](#). The FLSA calculation is completed on OTIS before a WEP placement can be made. The individual cannot participate in WEP activities for hours in excess of the calculation. If the calculated number of allowed hours is less than the core requirement for the case, the difference between the calculated permitted hours and 20/30/50 hour core requirement is considered as deemed participation. If the calculated number of permitted hours is greater than the core

requirement for the case, the KWP individual is not required to participate more than the core requirement.

Example: The calculation determines the client in a "C" case is permitted to participate in a WEP activity 15 hours per week. The difference of 5 hours needed to meet the core 20-hour requirement is deemed. When form PA-33 for WEP is returned indicating the client has attended an average of 15 hours weekly, the component is tracked. Twenty hours of core participation is reported.

Example: The calculation determines the client in a "W" case, where child care is not used, is permitted to participate in a WEP activity 15 hours per week. The difference of 15 hours to meet the core 30-hour requirement is deemed. When form PA-33 for WEP is returned indicating the client has attended an average 15 hours weekly, the component is tracked. Thirty hours of core participation is reported for WEP. The client is required to participate an additional 5 hours in a core or noncore activity other than WEP/COM to meet the 35-hour KWP requirement.

Example: The calculation determines that the client in a "C" case requiring 30 hours of weekly participation is permitted to participate in a WEP activity 23 hours per week. NO hours are deemed to meet the core 20-hour requirement. When form PA-33 for WEP is returned indicating the client attended an average of 23 hours per week, the component is tracked. An additional 7 hours must be met through a core or non-core component other than WEP/COM.

Example: The calculation determines that the client in a "C" case requiring 20 hours of weekly participation is permitted to participate in a WEP activity 22 hours per week. NO hours are deemed to meet the core 20-hour requirement. When form PA-33 for WEP is returned indicating the client attended an average of 20 hours per week, the component is tracked.

Example: The calculation determines the client in a "C" case is permitted to participate in a WEP activity for 20 hours per week. NO hours are deemed to meet the core 20-hour requirement. When form PA-33 for WEP is returned indicating the client attended an average of 22 hours per week, the component is tracked.

Example: The calculation determines the client in a "W" case, where child care is not requested, is permitted to participate in a WEP activity 20 hours per week. The difference of 10 hours to meet the core 30-hour requirement is deemed. When form PA-33 for WEP is returned indicating the client has attended an average 15 hours weekly, the component is tracked. The client is required to participate an additional 5 hours in a core or noncore activity to meet the 35-hour KWP requirement. Participation is not met in this instance and conciliation should be initiated.]

- F. If an individual is participating in a Community Service and WEP component at the same time, the sum hours of participation in both activities cannot exceed the amount determined by the FLSA calculation.
- G. DCBS carries medical and accident insurance on WEP participants. These individuals are NOT covered by Worker's Compensation. The insurance only covers the WEP participants while attending the WEP activity. Refer to [MS 4300](#).

MS 4300 ACCIDENT INSURANCE FOR WORK EXPERIENCE (1)  
AND COMMUNITY SERVICE PLACEMENTS

The Department for Community Based Services (DCBS) carries accident insurance for Kentucky Works Program (KWP) WEP/COM participants. These individuals are not covered by Worker's Compensation. This insurance covers WEP/COM participants, while the individual is attending the WEP/COM activity.

If the participant has an accident which results in injury or death during WEP/COM participation, an insurance claim must be filed. When the accident is covered by another insurance (e.g., car insurance or homeowner's insurance), that insurance is billed first, and any uncovered medical bills are paid by the WEP/COM insurance.

The process for filing the claim is as follows:

- A. The worker informs the WEP/COM provider about the accident insurance coverage when the participant is placed in a WEP/COM component. The provider is instructed to contact the staff person (contractor or Family Support) who negotiated the placement immediately when a participant is injured.
- [B. If the individual was placed by a contractor, the contractor notifies the Field Services Supervisor (FSS) of the injury within 3 work days. The contractor also documents the incident on OTIS.]
- C. The FSS or designated representative contacts the Family Self-Sufficiency Branch (FSSB) at [fssbk-tap@ky.gov](mailto:fssbk-tap@ky.gov) to obtain the accident insurance claim form. Identify the e-mail as "WEP/COM Accident Report" in the subject line and include the following information in the body of the e-mail:
  1. Participant's name;
  2. Participant's social security number;
  3. Case number;
  4. FSS assigned to complete the claim process;
  5. The address of the local office;
  6. Date of injury; and
  7. Location, including building and city, of the accident.
- D. The FSS or designated representative contacts the participant by form PAFS-2, Application Letter or Notice of Expiration, within 5 work days of the accident. Form PAFS-2 must state:
  1. Insurance coverage for the injury must be pursued;

2. A claim form must be completed, and itemized medical bills obtained in order to file the claim;
3. The participant is not to use the medical card for injury costs.

If the participant does not respond in 7 work days, the supervisor or designated representative sends a second form PAFS-2. Contact with the participant can be by phone or face-to-face interview. Note: Any and all efforts are made to contact the participant (e.g. hospital visit or home visit). If the participant is unable to be contacted, no further action is needed. If the accident results in the death of the participant, attempt to contact the executor of the participant's estate.

- E. Do not mail claim forms to the participant or the physician. The supervisor or designated representative assists the participant in completing the claim forms and sends the completed insurance claim forms and itemized medical bills to DCBS/FSSB, 275 E. Main St. 3E-I, Frankfort, KY 40621 within 30 days of the initial contact with the participant. Inquire KAMES for information regarding other insurance coverage for the participant. Questions regarding entries on the form are routed to FSSB.
- F. FSSB reviews the claim forms and submits the claim to the insurance company.
- G. The completed claim form must be provided to the insurance company within 90 days after the accident or injury occurs. Notify FSSB if the timeframe cannot be met.
- H. DO NOT complete form PA-40, Third-Party Liability Health Insurance, indicating the participant has this insurance coverage. The insurance only covers the participant while attending the WEP/COM activity.
- I. The supervisor or designated representative submits any subsequent bills to FSSB for submittal to the insurance company.

MS 4350                      NON-CORE AND ALLOWED ACTIVITIES                      (1)

As part of Kentucky Works case management services, it is important to identify and address barriers which prevent an individual's transition to self-sufficiency. The following non-core activities meet KWP participation requirements while addressing common barriers. Some non-core activities may be countable towards meeting the federal participation rates, if combined with twenty hours of participation in a core activity. Supportive services are paid as needed while an individual participates in non-core and allowed activities. It is important to enter and track all KWP activities.

A. Non-core work preparation activities that may count in the federal rate when combined with the required twenty core hours include:

1. Vocational training beyond the 12 cumulative months coded JSE;
2. GED, if the individual does not have a high school diploma;
3. Adult Basic Education; and
4. Literacy

Note: An 18 or 19 year old individual may participate in a GED or adult education program as a countable core activity.

B. Activities that can count for a limited time when coded as JRA activities per [MS 4220](#) are:

1. Substance abuse treatment programs;
2. Mental health counseling;
3. Vocational Rehabilitation; and
4. Life skills training when part of the JRA activity, not a stand alone activity.

[These activities are coded on OTIS as JRA for the period of time they are countable.]

C. Activities that are allowed for work preparation but do not count for federal participation are:

- [1. Vocational rehabilitation coded on OTIS as RHB. Some vocational rehabilitation activities can be coded GED, ABE, VOC, or JRA;
2. Domestic violence counseling coded on OTIS as DOM;
3. Substance abuse treatment programs coded on OTIS as SUB if the activity cannot be considered as JRA; and

4. Mental health counseling coded on OTIS as MHA if the activity cannot be considered as JRA.]

Non-core work preparation activities are completed with a countable core activity when possible.

An individual may be sanctioned for failing without good cause to attend any activity that will assist the individual in meeting the identified goal unless the individual is participating in a core activity which meets the requirements.

MS 4355                      DOMESTIC VIOLENCE COUNSELING                      (1)

Individuals who would benefit from domestic violence counseling are those individuals who are in a situation of battering. Battering is a pattern of coercive control that one person exercises over another. Battering is behavior that physically or emotionally harms or arouses fear in another. Battering is also behavior that prevents an individual from doing what he/she wishes or coerces him/her to behave in ways he/she does not want.

Battering includes the use of physical and sexual violence, threats and intimidation, emotional abuse and economic deprivation.

The following statements may be made by the case manager to a victim who feels she cannot leave the situation.

- A. I am afraid for your safety.
- B. I am afraid for the safety of your children. Children cannot tolerate the amount of abuse you can.
- C. It may only get worse.
- D. I am here for you when you are ready to leave and I can help you with relocation assistance.
- E. You do not deserve to be abused.

[For those individuals who can safely participate in a Kentucky Works activity, domestic violence counseling can be a part of the K-TAP Transitional Assistance Agreement. A referral is made to resources in the community which include Protection and Permanency, TAP, and local spouse abuse centers. Document the situation in OTIS and KAMES comments.

The component code for domestic violence counseling is DOM. The weekly hours and length of counseling is determined by the provider and verified via form PA-33, Verification of Kentucky Works Participation, or other provider completed document.]

MS 4365

SUBSTANCE ABUSE TREATMENT

(1)

An individual who uses alcohol or drugs to the extent that the ability to work and take proper care of the family is impaired could benefit from substance abuse treatment. For those individuals who agree to the mental health screening portion of the Kentucky Works assessment and are determined by a professional to have problems with drugs and/or alcohol, participation in a substance abuse treatment program is an allowed activity.

[Participation in a substance abuse treatment program can count as a core activity if the required hours of participation are met. The activity is coded as JRA on OTIS and is limited to 4 consecutive weeks. See [MS 4220](#).

All other participation is coded SUB on OTIS. There is no time limit on the activity. The individual is permitted to participate in treatment or counseling as long as it is needed.]

- A. The professional assessment can be completed by a community mental health center (Comprehensive Care in most counties), the Targeted Assessment Program (TAP) or OWL/SEEC in counties served by these contractors. These agencies determine whether the participant needs substance abuse education and/or treatment and refers the individual to an appropriate substance abuse program if needed. The findings of the assessment are shared with the individual and sent to the case manager.
- [B. If the findings show no intensive prevention/education or treatment services are needed, scan into the category KWP in the electronic case record and update OTIS comments.]
- C. The findings may indicate intervention is needed, the level of intervention, and the program to which the participant is referred. The community mental health center or the contracted entity will:
  1. Make a referral to either a substance abuse program within the community mental health center or an outside agency in the community or state.
  2. Complete a Release of Information form with the individual in order to set up a referral with another agency and to forward a copy of the assessment and findings to the agency receiving the referral.
  3. Make an appointment for the individual with the treatment center.
  4. Indicate on the findings if there is a waiting list for services and identify the estimated length of time on the waiting list and an interim plan (e.g., Alcoholics Anonymous, waiting list group) for services.
- D. Confirm with the participant the recommended plan of care, unless services are needed immediately as in the case of a medical emergency or detoxification from alcohol or other drugs. In the event of an emergency,

confirm the recommended plan of care as soon as possible following emergency services.

- [E. Complete another form DCBS-1A, if the participant is referred for substance abuse services to an agency other than the community mental health center. This allows the other agency to complete and return a progress/tracking report (form PA-33 or other provider document) on a monthly basis.
- F. The community mental health center staff completes form PA-33 or other provider completed document regarding the participant's attendance at the recommended services, and compliance with agreed upon education or treatment goals.]

Determine if conciliation or sanction is appropriate if the progress/tracking report indicates that the participant is having significant problems with:

1. Attending the recommended services;
2. Is attending but is not making progress towards completing the goals of the service; or
3. Has left the program prior to satisfactory completion.

If the individual is participating in a core activity which meets the requirements, sanction is not appropriate.

- G. Determine whether the individual can proceed with another activity while participating in the recommended substance abuse education or treatment program. If the participant can proceed, place the participant in an appropriate activity.
- H. When the individual completes the recommended level of care or leaves care the local mental health center is requested to send a Termination Summary to the case manager. The Termination Summary varies from provider to provider as to content.

MS 4370

MENTAL HEALTH COUNSELING

(1)

[Individuals who receive a professional screening from the local community mental health center (Comprehensive Care in most counties) or the Targeted Assessment Program (TAP) may be served by those agencies or referred to a provider of mental health counseling. Participation in counseling is an allowed activity and coded MHA on OTIS.]

If the individual is participating in counseling for 20 or more hours weekly it can be coded as JRA and treated as a core activity for 4 weeks. See [MS 4220](#).

[Participation is verified by form PA-33, Verification of Kentucky Works Participation or other provider completed document and tracked on OTIS.]

Whenever possible, counseling should be completed concurrently with other components.

MS 4373                      TARGETED ASSESSMENT PROGRAM (TAP)                      (1)

The Targeted Assessment Program (TAP) is available in selected counties to conduct assessment, pre-treatment, and follow-up services focused on identifying and addressing mental health, domestic violence, substance abuse, and learning problems. Services are provided by TAP specialists who are employees of the University of Kentucky, Center on Drug and Alcohol Research.

TAP specialists are trained, experienced human service professionals who provide clients with a non-threatening atmosphere, foster the development of a trusting therapeutic relationship, and increase the likelihood of client follow-through on the recommended course of action. These professionals:

1. Develop a customized plan for the participant to address barriers.
2. Work with the client and case manager to facilitate appropriate referrals and client follow-through with recommended services.
3. Provide consultation and training to DCBS staff in identifying and addressing barriers such as substance abuse and domestic violence.

Participation in TAP can be a core activity as a job readiness activity (JRA) for substance abuse treatment, mental health treatment, or rehabilitative services up to 6 weeks in twelve month period. The participant attends TAP directed activities scheduled on a regular basis no less than the 20/30/50 hour per week requirement. See [MS 4220](#), Job Readiness Assistance/Job Search.

If the job readiness weeks have already been used, TAP is considered an allowable activity. If a participant is cooperating with TAP, this could be the only activity the participant is required to do. However, if the participant fails or stops cooperating with TAP, he/she can be sanctioned. If the TAP participant is participating in an additional core or non-core activity, the participant is not sanctioned for non-participation in the TAP activities.

[If a participant is referred and cooperating with TAP, the TAP activity is entered on OTIS using the appropriate component code. See [MS 4350](#), Introduction to Non Core Activities. By entering the TAP activity on OTIS, the participant can receive supportive services needed for the TAP activity. TAP participation is verified by form PA-33, Verification of Kentucky Works Participation, or other TAP documentation and tracked on OTIS.]

MS 4375

VOCATIONAL REHABILITATION

(1)

The Kentucky Office of Vocational Rehabilitation (OVR) assists eligible individuals with disabilities to achieve their employment goals. Rehabilitation counselors are located in offices through out the state and provide services to residents of all counties. The directory of staff, office addresses, the guide for consumers, and other information is located at <http://ovr.ky.gov>

The individual must be determined eligible for services by OVR. If eligible, services are provided in the order of priorities set by OVR. Generally persons with more severe disabilities who want to become employed are served first.

A. The OVR may provide the following services to assist the individual in meeting his/her employment goal:

1. Assessment for determining eligibility and vocational rehabilitation needs;
2. Counseling and guidance;
3. Vocational and other training services;
4. Supported employment;
5. Personal assistance services;
6. Interpreter and note taking services;
7. Telecommunications, sensory, and other technology aids and devices;
8. Rehabilitation technology;
9. Job placement and retention services;
10. Employment follow-up and retention services;
11. Employment follow-up and post employment services.

[B. The referral for services provided by OVR is coded RHB on OTIS. Services provided by OVR are not core activities with the exception of: ]

1. Vocational and other training. Code these activities as VOC or JSE. Refer to Volume IIIA [MS 4217](#).
2. Supported employment. Enter hours and wages on KAMES.
3. Participation of 20 or 30 hours per week in any of the other activities provided by OVR for 4 weeks. Code this activity to JRA. Refer to Volume IIIA [MS 4220](#) and [MS 4217](#).

[When a participant is referred to OVR, coordinate the establishment of the individual's short and long term goals and case management with the rehabilitation counselor. Participation in OVR activities is verified by form PA-33, Verification of Kentucky Works Participation, other OVR documentation, and tracked on OTIS.]

MS 4380

ADULT EDUCATION

(1)

Adult education activities include:

- A. [High school education or education designed to prepare a person, who does not have a high school diploma, to qualify for a General Educational Development (GED) certificate. The component code is GED.]
- B. Students can count study time in a supervised setting in addition to one hour of unsupervised study for each hour of class time. An example of supervised study time would be a facilitated group study session.
- C. [Basic or remedial education which provides an individual with a basic literacy level equivalent to at least grade 8.9 in reading and math, in order to fulfill an employment goal. The component code is ABE.]
- D. Education in English proficiency for an individual who is not sufficiently competent in speaking, reading or writing the English language to allow employability corresponding to the employment goal. The component code is ESL.]
- E. For anyone age 20 or older, these activities should be completed in conjunction with a core activity, whenever possible.
- F. Adult education counts toward meeting the additional hours of activity required beyond the 20/30/50 hours of core activities. See Volume IIIA [MS 4005](#).

Example: An individual required to participate 30 hours per week is attending GED preparation classes 5 hours per week, has GED related homework 5 hours per week and is working 20 hours per week. The employment meets the 20-hour core requirement, while the GED classes and homework (unsupervised study time) are used to complete the remaining 10 hours, yielding 30 total hours of countable participation.

Example: An individual required to participate 30 hours per week is attending a WEP component 15 hours, going to GED classes 5 hours, and studying 5 hours per week. The FLSA calculation determined her weekly WEP participation is limited to 15 hours, with the remaining 5 hours deemed. The 15 WEP hours with 5 deemed hours meet the 20-hour core requirement, while the GED classes/homework are used to complete the remaining 10 hours; yielding 30 hours of countable participation.

MS 4410                      STAFF ROLES AND RESPONSIBILITIES                      (1)

The success of the Kentucky Works Program (KWP) is dependent on plans developed and implemented by each region to utilize available community resources and meet the unique needs of individual participants.

A. Staff designated by the management in each region is responsible for the:

1. Identification of community-based agencies and organizations that can assist participants in the resolution of barriers identified in the assessment process;
2. Development of relationships with community-based agencies and organizations to facilitate ongoing communication regarding services and processes to access services;
3. Marketing of KWP to the service and client community;
4. Development of Work Experience Program and Community Service placements;
5. Monitoring of participation and placement activities of participants;
6. Completion of case reviews to monitor compliance with policies and procedures;
7. Development, implementation, and monitoring of corrective action measures to address deficiencies in the provision of services to participants, low participation rates, and other areas identified by case reviews, Quality Control reviews, Central Office reviews, and audits;
8. Identification of and support to staff responsible for the assessment, referral to services and components, and ongoing case management of K-TAP recipients subject to KWP requirements;
- [9. Completion and review of requests to add, delete, or change data maintained for component providers found in OTIS; and]
10. Provision of technical assistance and guidance to line staff responsible for implementation of the program.

B. Staff designated as Case Managers is responsible for the:

1. Delivery of KWP-related services to the participant. This includes but is not limited to:
  - a. An appraisal of the individual's employability potential by review of information obtained in the assessment process;
  - b. Completion of the K-TAP Transitional Assistance Agreement (TAA) at application and recertification which consists of steps needed to

- realize short and long-term goals and any accommodation indicated to address identified barriers;
- c. Referral of the participant to appropriate providers or agencies for needed services or assistance to enable completion of an activity;
  - d. Authorization of supportive service payments;
  - [e. Monitoring participant progress monthly and tracking activities on OTIS;]
  - f. Entering employment information, including hours, promptly on KAMES;
  - g. Conducting conciliation at the participant's request or when problems with participation are identified;
  - [h. Entering and curing sanction actions on OTIS and KAMES; and]
  - i. Counseling, providing feedback and encouraging participants to complete steps on the TAA.
2. Ongoing eligibility determinations for K-TAP and companion cases per Regional directive.
- C. Staff in the Division of Family Support is responsible for the:
1. Negotiation, revision, and monitoring of results of contracts with service providers who receive funding from the Cabinet to provide services to KWP participants;
  2. Completion and submittal of state administrative regulations that form a legal basis for the program;
  3. Completion and submittal of plans and reports required by the federal government in order to fund the program;
  4. Analysis of federal and state laws to determine impact to policies and procedures;
  5. Identification and resolution of problematic policies and procedures;
  6. Development and drafting of instructional material; and
  7. Monitoring and evaluation of statewide data to identify trends and ensure compliance with program requirements.

MS 4500

GENERAL HEALTH ASSESSMENT

The general health assessment screens are reviewed with the individual only after form PA-219, Kentucky Works Assessment Process, is discussed with the individual. Complete the general health screening only if the individual agrees to the screening.

Completion of the screens containing questions relating to health issues is not a requirement of the assessment. The individual can choose to answer some, all, or none of the questions at the initial assessment or at a later date. If appropriate, the worker can access only the worker observations/comments screen to record information and enter any needed referrals.

The general health questions are used to screen for physical disabilities the individual or a family member may have that indicate the need for one or more of the following:

- A. Services or goods to enable the individual to participate in activities.
- B. Modification of activities to accommodate the individual.

For example: An individual with back problems is not expected to participate in a work experience component that involves lifting. An alternate placement that does not involve physical labor is pursued.

- C. Modification of required hours of participation to accommodate the individual.

Example 1: The individual has a recurring appointment for physical therapy twice weekly. The schedule of the work activity is modified to accommodate therapy sessions.

Example 2: The individual is easily fatigued due to a medical condition. She is able to participate in activities a maximum of 3 hours per day, 4 days per week. (12 hours weekly) The individual is permitted this modification of required weekly hours and is not penalized. The 12 hours of weekly activities are confirmed on the K-TAP Transitional Assistance Agreement and the individual is expected to participate the agreed upon number of hours.

- D. Exploration of entitlement to federal disability benefits such as SSI or RSDI. Eligibility for these federal programs is determined by the Social Security Administration.
- E. Referral to the Medical Review Team to determine American Disabilities Act, (ADA) disability if the individual alleges he/she is unable to participate in any activity.

- F. Referral to the Office of Vocational Rehabilitation for individuals with a disability who have an immediate goal of employment. Refer to [MS 4375](#), Department of Vocational Rehabilitation.
- G. Review the exemption status of individuals who state they are needed in the home to care for a disabled family member. Refer to Volume III [MS 2324](#).

MS 4505

MENTAL HEALTH ASSESSMENT

(1)

The mental health needs assessment screening questions are reviewed with the individual only after form PA-219, Kentucky Works Assessment Process, is discussed with the individual. Complete the mental health needs screening only if the individual agrees to the screening.

Completion of the screens containing questions relating to mental health is not a requirement of the assessment. The individual can choose to answer some, all, or none of the questions during the assessment process. The mental health needs screening questions determine if further professional assessment is needed.

The questions on mental health are intended to screen the individual for mental health and substance abuse issues which may indicate the need for one or more of the following.

- A. Referral to entities contracted by DCBS in selected regions, such as the Targeted Assessment Program (TAP) and OWL/SEEC, or the community mental health center (Comprehensive Care in most communities) to complete an in-depth screening and assessment. Use the following guidelines to determine if a referral is appropriate:
  - 1. Individuals who answer affirmatively to one or more of the four questions relating to alcohol or drug use or appear impaired in contacts with the case manager, other staff, or providers. Refer to TAP or OWL/SEEC if available in the county. In counties where these contractors are not available, refer to the community mental health center by routing form PA-75, Referral for Substance Abuse Assessment, and form DCBS 1A, Informed Consent and Release of Information and Records Supplement.
  - 2. For other questions on the mental health assessment screening, determine if the issue is current and the applicant feels it is problematic and refer, per Regional procedures, to TAP, OWL/SEEC, the community mental health center, or other resources in the community.
- B. Services or goods to enable the individual to participate in activities. Depending on the availability of community resources, this could include referral for mental health counseling, support groups, or mentoring services.
- C. Modification of activities to accommodate the individual. Individuals who are screened by a mental health professional who recommends participation in activities or completion of tasks that are not countable in federal participation are allowed to do so without penalty. In some instances, this may be the only activity the individual can reasonably be expected to complete.

- D. Modification of required hours of participation to accommodate the individual. Activities recommended by a mental health professional may not meet the weekly hour requirement. If the individual is unable to participate in any other activities, the difference can be waived.
- E. Exploration of entitlement to federal disability benefits such as SSI or RSDI. Eligibility for these federal programs is determined by the Social Security Administration.
- F. Referral to the Office of Vocational Rehabilitation for individuals who have an immediate goal of employment. Refer to Volume IIIA [MS 4375](#).
- [G. For individuals who are screened by a mental health professional who recommends a determination of disability is appropriate, complete and route form PA-601T, Referral for Determination of Incapacity/Disability, with form MRT-15, Authorization to Disclose Information to Cabinet for Health and Family Services, to the Medical Review Team.]

If appropriate, the worker can access only the worker observations/comments screen to record information and enter any needed referrals. Document any behavioral or physical indicators of substance abuse. Examples of such indicators are slurred speech, staggering, smell of alcohol, glassy-eyed, agitated, drowsiness, restlessness or needle marks. Also, document any other information which may be an indicator of substance abuse such as past admission of alcohol and drug abuse problems, fighting or driving while intoxicated.

MS 4510

### LEARNING NEEDS ASSESSMENT

The learning needs screening questions are reviewed with the individual only after form PA-219, Kentucky Works Assessment Process, is discussed with the individual. Complete the learning needs screening only if the individual agrees to the screening.

The learning needs screening questions determine if a referral for further professional assessment is appropriate. KAMES is programmed to apply a weight to each question and automatically prompt the worker to offer the option of further assessment to the individual.

It is not a requirement of the individual to consent to a learning needs screening assessment. The individual can choose to answer some, all, or none of the questions at the initial assessment or if updating the assessment later. If appropriate, the worker can access only the worker observations/comments screen to record information and document a need for further assessment referrals.

If the individual consents to the learning needs screening and it is determined that further screening for a learning disability is needed, a referral is made to professionals in the community such as the Targeted Assessment Program (TAP) or OWL/SEEK. If the individual has expressed the goal of employment, refer to the Office of Vocational Rehabilitation.

MS 4515 ADDRESSING BARRIERS TO KWP PARTICIPATION (1)

Barriers are situations or limitations in an individual's ability to become employed, self sufficient, or comply with Kentucky Works Program (KWP) activities. Physical or mental impairments which may be barriers to participation are addressed in specific sections of policy. Refer to Volume IIIA, [MS 4500](#), General Health Assessment, [MS 4505](#), Mental Health Assessment and [MS 4510](#), Learning Needs Assessment. The individual's K-TAP Transitional Assistance Agreement (TAA) should include the individual's employment goal and any special limitations.

- A. Information is collected from the individual during the assessment process to identify the following:
1. The need for child care arrangements and back up plans for children who require supervision. If help finding a child care provider is needed, refer the individual to the local Child Care Resource and Referral agency. School based after-school programs, Boys or Girls Clubs, free care by friends or relatives, or other sources can be explored.
  2. The need for a reliable transportation source to travel to and from a job or other activities. Determine if the individual has access to a vehicle and if he/she is able to drive legally. Other options can include public transit, carpools, identifying components near a bus line or within walking distance, or being transported by family members or friends. Supportive services are available to pay for car repairs. Refer to Volume IIIA, [MS 5375](#).
  3. An unstable housing situation. Frequent moves may be an indicator of domestic violence, lack of a personal support system, the need for life skills instruction or linkage to sources of housing assistance available in the community. Options to address this type of situation depend on the reason for multiple moves. Relocation assistance is available to address some issues. Refer to Volume III, [MS 3750](#).
  4. Lack of personal care items, clothing, glasses, or the need for dental care. Assistance with these items can be provided by referrals to community resources or, depending on the availability of funding, paid with KWP supportive services funds. Refer to Volume IIIA, [MS 5350](#).
  5. How employers, service providers, or the case manager can contact the individual. If there is no phone in the home, identify alternate communication sources.
  6. The presence of possible domestic violence. If the worker suspects an abusive or neglectful situation that endangers children or adults, contact with Protection and Permanency (P&P) is legally required. Reports can be made by calling the Adult and Child Abuse Reporting Hotline at 800-752-6200 or following procedures set up by the region.

- a. Follow up the telephone contact in writing with an e-mail or on form PAFS-628, Exchange of Information. Indicate a domestic violence situation.  
[b. Enter a brief summary of the situation in comments on OTIS.]
  7. Issues with a child's behavior. Contact with community resources such as the school based Family Resource and Youth Services Centers, Comprehensive Care, or other locally identified resource is encouraged.
- B. A barrier may impact participation; however, the barrier may not necessarily preclude participation. Develop activities that fit the unique situation of the individual. When seeking to address barriers consider the following:
1. There may be more than one solution.
  2. The best solution may not seem the most logical.
  3. When seeking a solution, be practical.
  4. Avoid confusion; be clear as to the barrier and possible solutions.
  5. The first solution may not always resolve the barrier.
  6. Do not hesitate to seek a solution even if the barrier involves the need for services outside DCBS.
  7. Be creative but realistic when seeking a solution.
- C. If the need for a referral for a service is identified, provide the individual with specific instructions on how to access the service. Instructions include a contact name, telephone number, and address. Whenever possible, call the service provider while the individual is in the DCBS office in order to confirm the referral with the provider and participant.
- [D. Document all referrals. If referred via e-mail, scan the e-mail into the category KWP in the electronic case record and document OTIS comments. If the referral is made by telephone contact, document the referral in OTIS comments.]
- E. Update the TAA, at application and recertification.

MS 4520                      K-TAP TRANSITIONAL ASSISTANCE AGREEMENT                      (1)

After information is analyzed from the assessment to understand the work eligible individual's strengths, needs, interests, and barriers; setting goals and completing the K-TAP Transitional Assistance Agreement (TAA) is the next step.

The case manager discusses with the individual the outcome he/she wants to achieve. The individual and case manager jointly develops a plan that includes the employment goal, actions identified to reach the goal, as well as any special limitations. Suggest reachable goals as beginning steps to higher goals.

A. Numerous elements are considered when setting the employment goal:

1. The individual's response to the assessment question, "What kind of work do you want to do?";
2. The individual's skills;
3. Prior work history;
4. Education or training needs;
5. The individual's preferences;
6. Area labor market;
7. The individual's personal situation; and
8. Accommodation needed to address identified mental, physical, or learning disabilities.

Example:                      An individual expresses a strong desire for an occupation in nursing; however, through the assessment process, the case manager finds that the individual does not have a high school diploma or GED. It is further determined that while the individual was in high school, he/she was placed in an alternative school setting for poor grades.

The case manager lists the employment goal as "Find a job in the nursing field" and refers the individual for further learning needs assessment and an appropriate GED program as the first steps toward the goal of nursing.

Example:                      An individual who has carpal tunnel syndrome wants to return to work. Her past employment included transcribing medical records. She is no longer able to use a regular keyboard to input data but is still interested in a medical related field. The case manager lists the employment goal as "Find a job in a medical related field" and refers the individual to the Office of Vocational Rehabilitation for further assessment, career counseling, and other services.

If the individual states he/she has an inability to participate in employment or training due to a physical mental or learning disability, the following is suggested for the employment goal: "Based on the limitations discussed, I feel I am unable to work at this time". Also, enter the following for "Reasonable Accommodations": "You are being referred for a Medical Review determination to identify the extent of your limitations and ability to participate in KWP activities".

[B. The TAA is used to record the employment goal and the plan to reach it. The TAA is completed on KAMES at the face-to-face interview for an application, reapplication and recertification and printed for the individual and worker to sign. Once signed, the TAA is scanned in the category KWP of the electronic case file.]

C. The following language for the individual's actions steps on the TAA is uploaded on both on the TAA on KAMES and the hardcopy TAA:

"Attend scheduled KWP activity for required number of hours, report changes or problems to case manager, return proof of attendance in activity by the 5<sup>th</sup> of each month, return PA-33 to request transportation if needed, go to appointments related to my KWP activity, notify my case manager/provider if I am unable to attend an appointment, tell my case manager about things I need in order to attend my KWP activity."

D. The following language on the Cabinet for Health and Family Services portion of the TAA regarding supportive services to be arranged is uploaded to both the TAA on KAMES and the hardcopy TAA:

"Child care, help with transportation costs and other items or services I need in order to attend my KWP activity."

E. The Special Accommodations portion of the TAA is completed if the individual requires any special accommodations in order to participate with KWP due to an identified physical, mental, or learning disability. Any special accommodations entered in the physical, mental, or learning disability portions of the assessment should be included in this portion of the TAA.

Example 1: A participant is unable to lift more than 5 pounds. The lifting restriction should be included in the Special Accommodations portion of the TAA.

Example 2: A participant with cancer is receiving radiation therapy five days per week. She wants to participate in KWP activities. However, between regular appointments for treatment and the side effect of fatigue, she is only able to participate in work activities 10 hours weekly instead of the 30 hours usually required. The participant is permitted to participate 10 hours per week and is not sanctioned. This should be included in the Special Accommodations portion of the TAA.

F. Follow-up on implementation of the plan is required. The individual and the case manager are jointly accountable for completing the plan of action.

Through regular contact, the individual and the case manager monitor progress in achieving the objectives.

MS 4600

OPTIONS FOR KWP ACTIVITIES

(1)

Referrals are made for components and services that best suit the individual's needs and preferences based on the assessment. As resources vary by Region and each individual's plan is unique to his/her circumstances, activities are developed utilizing the resources available to the Region.

[Referrals to component activities are entered on OTIS. Form KW-105, KWP Referral Form, is printed from OTIS and provided to the participant only when a referral is made to an agency contracted with the Department for Community Based Services (DCBS).]

Individuals can participate concurrently in more than one activity to meet participation requirements.

Suggested activities based upon the participants' situation are listed below. This is not an all-inconclusive list:

- A. Individuals who are employed may be referred to:
  - 1. Additional core and/or non-core activities to meet weekly hours of participation, if needed; or
  - 2. Educational activities, if there is an interest.
- B. Individuals who have a work history and marketable skills may be referred to:
  - 1. JRA and Job search. See [MS 4220](#); or
  - 2. Subsidized employment, if offered in the Region. See [MS 4250](#); or
  - 3. A Work Experience Program (WEP) or Community Service activity to brush up on work skills, gain exposure to different types of jobs, and network for a paying job. See [MS 4270](#).
- C. Individuals who have a minimal work history and job skills may be referred to:
  - 1. JRA and Job Search. See [MS 4220](#); or
  - 2. A placement in a WEP position to gain workplace skills. See [MS 4270](#); or
  - 3. A placement in a Community Service Program (COM) activity to introduce the individual to a work setting and gain workplace skills. See [MS 4230](#); or
  - 4. The Child Care Service Agent serving the county to explore certification or registration requirements needed to become a provider if the individual is interested in becoming a child care provider. Refer to the Child Care Assistance website:

<http://www.chfs.ky.gov/dcbs/cc/Information+for+Providers.htm>

- D. Individuals who do not have a basic education may be referred to
  - 1. English as Second Language (ESL) classes if appropriate; or
  - 2. Adult basic education or literacy classes available in the county; or
  - 3. GED classes; or
  - 4. Work and Learn programs combined with GED classes.
- E. Individuals interested in employment focused post-secondary education may be referred to:
  - 1. Area vocational and technical schools; or
  - 2. Two or four year colleges; or
  - 3. Ready to Work programs.
- F. Individuals with an identified and verified health or mental disability who want to be employed can be referred to the local Office of Vocational Rehabilitation. See [MS 4375](#);
- G. Individuals screened as needing a comprehensive assessment for learning needs are referred to:
  - 1. The Targeted Assessment Program (TAP), if available; or
  - 2. Vocational Rehabilitation, if the individual wants to be employed; or
  - 3. OWL/SEEC, if available.
- H. Individuals who state a physical or mental reason prevents employment are referred to:
  - 1. The Social Security Administration (SSA) for a disability determination if the condition is severe and expected to continue for 12 months. Form PAFS-5.1 is to be used to refer individuals to the SSA; or
  - 2. The Medical Review Team for an incapacity determination. See [MS 4720](#).
- I. Individuals who have mental health or substance abuse issues are referred to:
  - 1. TAP, if available, for further screening and assessment. See [MS 4373](#); or
  - 2. The local community mental health center for further screening, assessment, and treatment. See [MS 4370](#).

- J. Individuals in a domestic violence situation are referred to:
  - 1. TAP, if available, for counseling; or
  - 2. Protection and Permanency (P&P) for services.
- K. Referrals for component services are documented in OTIS comments.

MS 4650                      MONITORING AND TRACKING PARTICIPATION                      (1)

The monitoring and tracking of verified participation is extremely important. Participation data and entries on the OTIS Tracking screen must be carefully reviewed to ensure all participation is captured and reported, including allowable activities. Tracking is not completed for participants who do not return verification. If the participation rate is not achieved, Kentucky is at risk of losing federal funds.

- A. Enter monthly tracking on the OTIS Tracking screen within 7 work days of receipt of form PA-33, Verification of Kentucky Works Participation, or other participation verification. Participation must be tracked on OTIS in all activities except:
  1. Unsubsidized and subsidized employment including work study which is entered on KAMES; and
  2. Secondary school attendance for a teen parent coded M03 (See Volume III, [MS 2326](#)).
    - a. The teen parent (M03) in school attendance is tracked with the quarterly issuance of the School Report.
    - b. This report goes to the school for return to the local Family Support worker.
    - c. The worker receives a copy of the School Attendance Report for tracking purposes to ensure the school report is returned.
    - d. The teen parent (M03) is considered attending school unless notified otherwise. School attendance is tracked automatically by KAMES.
- B. Attendance must be monitored, verified, and tracked monthly. Refer to [MS 4655](#) for specific information on acceptable verification.
  1. Form PA-33 or other participation verification is used to gather information to monitor attendance. Refer to [MS 4652](#) for details on the KWP participation monitoring and tracking process. Other participation verification can be used to track participation; however, form PA-33 is needed to request transportation.
  2. Enter hours that meet participation criteria for individuals attending vocational training activities in the following manner:
    - [a. Enter CLASSROOM hours including lab hours, not credit hours, in the "Monthly Participation Hrs" field on the Tracking screen on OTIS. For example, physical education classes are often one credit hour, but classes meet 3 hours per week. The scheduled weekly hours considered for the class is 3. Review class schedules for correct number of hours. OTIS automatically enters one hour of unsupervised study time per hour of class/lab time in the "Monthly Study Hrs" field.
    - b. Add the actual hours attended for tutoring or supervised study time to the OTIS-entered study hours and enter the total in the "Monthly Study Hrs" field.

- c. For clinicals for medical courses, cooperative (co-op) program hours or internships, including student teaching, enter the hours of participation as follows:
- 1) If paid while participating, enter as employment on KAMES;
  - 2) If unpaid, determine if it can be a WEP activity. If so, enter the hours for a WEP component on OTIS; or
  - 3) If it cannot be entered as employment or WEP, enter the hours in the "Monthly Study Hrs" field on the Tracking screen for the VOC component.

If these activities are entered as employment or WEP, the hours will not count against the VOC limit.】

- d. Work study programs are considered as hours of employment. Work study hours are entered on KAMES wage screens as the actual number of hours worked monthly and 1 cent is entered in the "WAGES" field to indicate income. One dollar (\$1) is entered in the "AMOUNT OF WAGES THAT ARE ONLY TO BE COUNTED FOR A SPECIFIC PROGRAM" field to ensure the hours of participation are captured on the federal report.
- e. For "C" cases, up to 10 hours of JSE can be entered on OTIS to capture the countable hours of continuing education after the cumulative 12 months if the 20-hour core requirement is met. For "W" cases, up to 5 hours can be entered if the 30/50-hour core requirement is met.
- f. Employment in addition to vocational training/school attendance is countable. In order to be captured, KAMES screens must be updated accurately with the average weekly hours of unsubsidized employment.
- g. Obtain enrollment and class schedule verification at the beginning of each school term and use to enter the component placement information.
3. If the education/training provider fails to provide the daily attendance verification either by form PA-33 or its own form, the participant must get the verification from the provider. Begin conciliation if the participant fails to return verification and do not complete tracking.
4. If form PA-33 or other participation verification is returned with the education/training provider indicating the participant did not attend any hours in the report month, do not complete tracking and begin conciliation.
- C. If a participant misses any scheduled time from the KWP activity and the missed time does not meet excused absence criteria in [MS 4660](#), the time must be made up sometime during the month if needed to meet the required number of hours. A monthly average of the required hours per week is used to determine the participation rate.

Example: An individual is required to participate 20 hours per week. The individual participates 4 hours per day 5 days a week. The individual misses 2 days in one week and must add the 8 hours over the remainder of the month to average the 20 hours per week.

Explain to the participant the necessity of making up the missed hours that are not excused or holiday hours within the month. This is necessary to ensure the participation requirement is achieved. Once the calendar month has ended, it is too late to make up any missed days/hours.

- D. If an individual participates in a combination of activities to achieve the required hours of participation, all the activities must be tracked with the hours of actual participation for the month totaling the participation requirement.

Example: If the individual is scheduled and attends WEP activity for 15 hours a week with 5 hours deemed and VOC for 10 hours a week in order to meet the required hours of participation, enter the total hours of actual participation for the month for both components on the OTIS Tracking screen.

- [E. For participation to be countable in the calculation of the federal rates, the total monthly hours entered for actual monthly hours, holidays, excused absences, and deemed core hours must equal the required number of hours. More than one component may be tracked to reach this requirement.

- F. To track partial month's participation, enter the total hours of participation as verified by form PA-33 or other provider verification in the "Monthly Participation Hrs" field on the Tracking screen on OTIS.

Example: The individual is required to participate 20 hours a week. She started the activity on November 12<sup>th</sup>. Form PA-33 verifies that the individual participated a total of 32 hours. The total of 32 hours is entered in the "Monthly Participation Hrs" field on the Tracking screen.

- G. For WEP/COM components, do not report more hours than the calculated permitted number of hours for an individual with an entry for deemed core hours. If the hours entered are more than the permitted hours, OTIS will alert the worker to adjust the monthly hours. No hours will show for the deemed hours if the KWP individual did not meet the KWP permitted hours. This is necessary due to federal reporting requirements and the FLSA. Refer to [MS 4245](#) for information regarding the calculation of permitted weekly hours in a WEP or COM component.

For activities other than WEP/COM, there is no need to adjust monthly hours of participation.

- H. For a SEE component, enter the employment hours shown on KAMES in the "Monthly Participation Hrs". Employment hours are not reverified each month; therefore, holiday and excused absence hours are not entered for a SEE component. ]

- I. It is extremely important that the correct information is entered and reflected on OTIS for each month of an individual's participation. This information is utilized when calculating and reporting the participation rates and used to generate the Case Status Reports.

J. The time frame allowed to enter tracking and be considered in the federal participation rate varies by month. To ensure the timeframes are met, workers should make every effort to enter tracking the month following attendance. The following list of reports can be reviewed monthly to ensure participation is captured correctly:

1. Caseload List;
2. Good Cause Report;
3. Preliminary Case Status Report;
4. Final Case Status Report;
5. Preliminary Two-Parent Case Status Report;
6. Final Two-Parent Case Status Report;
7. Preliminary Statewide All Family Rate Report;
8. Final Statewide All Family Rate Report;
9. Preliminary Two-Parent Rate Report; and
10. Final Two-Parent Rate Report.

#### CHART FOR ENTRY OF TRACKING ON OTIS

Report Month	Months Tracking Can Be Done	Month Case Status Report Is Produced
January	February & March	April
February	March & April	May
<b>March</b>	<b>April</b>	<b>May</b>
April	May & June	July
May	June & July	August
<b>June</b>	<b>July</b>	<b>August</b>
July	August & September	October
August	September & October	November
<b>September</b>	<b>October</b>	<b>November</b>
October	November & December	January
November	December & January	February
<b>December</b>	<b>January</b>	<b>February</b>

**IMPORTANT:** At the end of the calendar quarter, tracking **MUST** be entered by the **END OF THE MONTH FOLLOWING THE REPORT MONTH**. THESE REPORT MONTHS ARE IDENTIFIED IN RED IN THE CHART.

Individuals active in a component, even a portion of the month, should be tracked as long as verification is received verifying participation. Prior to discontinuing a case, ensure any prior month's tracking is completed.

MS 4652      KWP PARTICIPATION MONITORING AND TRACKING PROCESS      (1)

[Form PA-33, Verification of Kentucky Works Participation, is used to verify participation in a Kentucky Works activity and to request transportation payments. If the individual provides another document to verify participation, the hours can be tracked; however, transportation cannot be paid without a complete and signed form PA-33. Information from the participation verification is entered on OTIS to complete the monitoring and tracking process.

- A. Form PA-33 is issued from OTIS at the end of the month prior to the report month.]

Example: Form PA-33 is issued at the end of May for the report month of June and is returned in July.

- B. The individual takes form PA-33 to the activity provider the first day of participation in the report month.
- C. The provider records participation verification data throughout the report month.
- D. On the last day of participation for the report month, the individual gets form PA-33 or other participation verification from the provider.
- E. The individual completes page two of form PA-33 to request transportation for the month following the next report month.

Example: On form PA-33 for the report month of June, the individual requests transportation for the month of August.

- F. The individual returns form PA-33 or other participation verification to the worker by the 5<sup>th</sup> day of the month after the report month.

Example: The individual must return form PA-33 or other participation verification for the report month of June by July 5<sup>th</sup>.

- [G. The PA-33 list is accessed from the OTIS Welcome screen. The PA-33 list displays all clients in a component who are issued form PA-33 for tracking. The list has two columns to track receipt of forms PA-33 – “Status” and “Follow-up Status”. The “Status” defaults to “not returned” and can be updated until the 7<sup>th</sup> of the month. After the 7<sup>th</sup>, the “Follow-up Status” can be updated. If the Status is showing “not returned” on the 7<sup>th</sup> day, OTIS automatically issues form KW-204, Conciliation Notice.

Upon receipt of form PA-33 and/or other participation verification, review for completeness.

1. If complete, enter the participation data on the OTIS Tracking screen and issue the transportation, if form PA-33 is returned requesting transportation assistance. If other participation verification is

returned, enter the participation data, but do not issue transportation until form PA-33 is returned requesting it.

Entry of the tracking data automatically updates the PA-33 list as "tracked". If tracking of a completed form PA-33 is delayed, update the PA-33 list with "complete" to prevent issuance of form KW-204.

2. If incomplete, update the PA-33 list on OTIS as "incomplete". This will issue form KW-204. Transportation should be withheld during the conciliation process. Once conciliation has ended, transportation can then be issued if form PA-33 is returned.
  3. Issue form PA-105, Notice of Ineligibility, to the individual if the requested transportation payment is denied.]
- I. When an individual is placed in an activity:
1. Explain the PA-33 process to the individual. Give the individual form PA-33E, Overview of the PA-33 Process.
  2. If transportation is requested, give the individual form PA-33 to complete page 2.
  - [3. Issue form PA-33 from the Component Screen on OTIS at the time of placement for any month needed to be tracked prior to the month for which for PA-33 is automatically issued by OTIS.]

MS 4655

VERIFICATION OF PARTICIPATION

(1)

Hours of participation must be verified daily and reported monthly on form PA-33, Verification of Kentucky Works Participation. If a provider has a daily tracking form that captures all the required information, it can be used in place of entering the information on form PA-33. Workers must request and receive the documentation to ensure participants are meeting mandatory KWP requirements.

A. Employed individuals, including self-employed, must verify weekly hours worked a minimum of every 6 months. However, if the individual experiences a change in hours such as a decrease or an increase, the individual must report the change and verify the new hours.

1. Pay stubs, time and attendance records, employer reports, PAFS-700, Verification of Income, written statements from the employer or Work Number verification may be used to verify a participant's hours. All verification must be completed or reported by the employer.
2. Self-employment is verified by copies of customer receipts or invoices initialed and dated by the individual who received the goods or services. A client can keep a log of the date and time jobs were performed and have the individual customers initial and date the log when their job is completed.

Hours of participation for self-employment cannot be verified solely by self-prepared records, except for a self-prepared tax return. Receipts and invoices signed and dated by the customer are acceptable verification of income and cost of doing business. For instructions on how to calculate hours of participation for self-employment, refer to [MS 4250](#).

B. All non-employment activities must be supervised and attendance recorded daily with the completed form PA-33.

1. Service provider attendance records, sign-in sheets, time sheets or form PA-33 may be used to verify hours of participation for the following activities:
  - a. Work Experience Program (WEP);
  - b. Community service (COM);
  - c. Job search and job readiness assistance (JRA);
  - d. Providing child care assistance to a KWP participant in a Community Service Activity (COM);
  - e. Job skills training directly related to employment (JSE);
  - f. Vocational training including short-term training (VOC);
  - g. [High school education or education designed to prepare a person, who does not have a high school diploma, to qualify for a General Educational Development certificate (GED);
  - h. Basic or remedial education which provides an individual with a basic literacy level equivalent to at least grade 8.9 in reading and math, in order to fulfill an employment goal (ABE);

- i. Education in English proficiency for an individual who is not sufficiently competent in speaking, reading or writing the English language to allow employability corresponding to the employment goal (ESL);
  - j. Substance abuse treatment/counseling (Code as SUB when allowable and JRA when CORE/countable);
  - k. Domestic violence counseling (DOM);
  - l. Mental health counseling (OTH unless can be coded as JRA); or
  - m. Life skills stand alone programs (OTH).
2. School records or written statements from teachers may verify participation in a secondary school activity.
  3. For vocational educational training, each student verifying actual classroom hours can maintain a monthly calendar sheet for each class and have the instructor or Ready-to-Work (RTW) Coordinator initial and verify the hours of attendance.
  - [4. On-line training courses directly related to organized educational programs can be considered if the participant is able to verify actual on-line hours spent as part of the course. The verification must include the date and time and be provided by the educational institution which administers the online course.]

If the student claims more hours than reported by the educational institution, the discrepancy must be resolved by the student and the institution. Use the hours reported by the institution.

5. Study hours that are monitored and verified can be considered countable hours for participation.
6. One hour of unsupervised study time for each hour of classroom time is counted toward the required hours of participation. No verification of the unsupervised study time is required.

For online classes, count one hour for every hour reported by the educational institution.

7. The daily attendance records or form PA-33 must include any hours of excused absences or holidays.



Example: An individual is required to participate 87 hours per month. The individual verifies participating 80 hours for the month of November. The individual is normally scheduled to work on Thursday, but the provider was closed in observance of Thanksgiving. Seven holiday hours can be used to meet the participation requirement.

Sanctioned individuals are permitted to use holiday hours toward their participation requirement if an approved holiday occurs during the 15 days in which the sanction is being cured.

C. Excused absences are limited to 80 hours in a 12-month period, not to exceed 16 hours in any one month. It is the responsibility of the KWP contractor or the case manager to advise the service provider of the reasons for excused absences and approved holidays. Inform the service provider of the requirement to obtain and keep verification for the excused absence. Allow an excused absence when hours are missed for the following reasons:

1. The illness of the participant or a family member;
2. A job interview;
3. A doctor appointment for self or child;
4. Court appearances;
5. A school meeting or functions for child;
6. The death of a family member;
7. Work site closure (not to exceed 16 hours per month);
8. Inclement weather;
9. Life-changing event (such as divorce);
10. Family emergency; or
11. Other absence excused by the provider.

D. In order to excuse an absence, the participant must contact and provide verification to the service provider. If an excused absence is annotated on participant verification or form PA-33, consider the absence excused.

Acceptable verification includes but is not limited to:

1. A statement from a health care professional;
2. A subpoena or court summons;

3. A marriage certificate;
4. A parent/teacher conference notice;
5. A newspaper obituary or funeral notice; or
6. Any other reasonable documentation acceptable to the provider.

An individual is not required to make up a verified excused absence. The excused hours are counted as participation when determining if the participant meets the monthly participation requirements. The requirement is the same for a sanctioned individual.

If an individual has attained enough hours during the reporting month to meet participation requirements and also has an excused absence, it is not necessary to use the excused absence hours.

E. To determine the number of hours allowed for an excused absence:

1. Add all the hours the individual participated as indicated on form PA-33, or other participation verification;
2. Subtract the total monthly hours the individual participated from the KWP monthly required hours. The result is the hours still needed to meet participation. If additional hours are needed, allow up to 8 hours per excused absence (not to exceed 16 hours in a month). Only use the total number of excused absence hours needed to meet participation.

Example: An individual is required to participate 87 hours per month. The individual verifies participating 81 hours for the month, with one day of excused absence. Six hours of excused absence can be used to meet the required participation hours.

Example: An individual is required to participate 130 hours per month. The individual verifies participating 120 hours for the month, with two excused absences. Ten hours of excused absence can be used to meet the required participation hours.

F. [Enter the total excused hours for the month and the total holiday hours for the month on the OTIS Tracking screen.

A participant may have a combination of holiday and excused absences in the same month. The hours for each type of absence are entered separately.

For participation to be countable in the calculation of the federal rates the total hours entered in actual participation, holidays, excused absences, and DEEMED CORE must equal the number of required hours. More than one component screen may be tracked to reach this requirement.]

MS 4700

CONCILIATION PROCESS

(1)

Conciliation is an informal process to identify and address problems that prevent a work eligible individual from participating in KWP activities.

A. Conciliation is initiated by sending the participant form KW-204, Conciliation Notice, within 3 work days in the following instances:

1. The KWP participant requests a meeting;
2. A provider identifies a situation which could result in a sanction (e.g., poor attendance, failure to keep a scheduled appointment);
3. A participant refuses to accept employment, terminates employment or reduces hours of employment;
4. A participant fails to return a completed form PA-33, Verification of Kentucky Works Participation or other participation verification; or
5. A worker identifies a potential problem through other means.

[NOTE: Minor difficulties may be resolved through phone contact. If the participant responds by phone and the problem is resolved or provides the needed documents no further action is needed. OTIS comments must be documented.]

B. Form KW-204 is system-generated by OTIS by completing the following steps:

1. When an appointment is needed to resolve the issue, the worker accesses the OTIS Conciliation screen, chooses option for an appointment, and enters the date and time. The worker may also choose the option for the participant to call the worker within 10 days. Forms KW-204 issued in this manner are generated on a daily basis.
2. Form KW-204 is system-generated to the participant when the status on the PA-33 List is "not returned" or "incomplete" by the 7<sup>th</sup> of the month.
3. Form KW-204 can be issued from the General Information screen – Component Details section any time conciliation is necessary.

C. At the discretion of the worker or the request of the participant, a third party may attend a conciliation meeting.

D. Review criteria in Volume III [MS 2324](#) to determine if an exemption from KWP participation is appropriate for the individual. If the individual is eligible for an exemption and states he/she wants to be exempt from KWP activities, document OTIS and KAMES comments and enter the appropriate exemption code on KAMES.]

E. Discuss with the individual any barriers which may be preventing his/her participation in KWP. Be alert to the signs and symptoms of domestic violence, substance abuse, and physical, mental or learning disabilities.

Participants with these kinds of barriers are referred to available professional resources for diagnostic assessment.

1. Review the Kentucky Work's Assessment to determine if the individual previously consented to being screened for physical or mental health issues or learning needs. Ensure that any accommodation or policy modification identified in a prior screening was implemented.
2. If the screening has not been performed in the past and the individual gives consent, perform the screening(s) by updating the assessment on KAMES and make any appropriate referrals.
3. For individuals with a documented physical or mental disability, or a learning need, identify any supportive services, activities, or modification to weekly hours needed to meet the employment goal identified on the K-TAP Transitional Assistance Agreement (TAA). Activities and required weekly hours must accommodate any special needs of the individual.

Example 1: An individual with a learning disability has difficulty completing an education program within the required time limit. As a reasonable accommodation, the individual is granted an extension to the time limit.

Example 2: An individual with cancer is receiving radiation therapy five days per week. She wants to participate in KWP activities. However, between regular medical appointments and the side effect of treatment, she is only able to participate in work activities 10 hours weekly instead of the 30 hours usually required. The individual is permitted to participate 10 hours per week and is not sanctioned.

- F. Determine if a good cause reason prevented participation in the KWP activity. Refer to [MS 4720](#). If good cause is established, a sanction is not appropriate.
- G. Participation is monitored for 15 days beginning with the date the initial form KW-204 is issued. If an extension to the 15-day conciliation period is needed, allow an additional 15 days to determine if the individual is meeting participation requirements. Utilize form KW-204 to schedule any additional conciliation meetings.
- H. [Conciliation may be terminated at any point within the first 15 days, if it is apparent it would be futile to continue or the individual fails to appear for the conciliation appointment. Document OTIS comments with the results of any contacts, contact attempts, and conciliation conferences. When it is determined the individual is not going to cooperate, the sanction is entered within 3 workdays.

Example 1: Form KW-204 is issued on September 1, scheduling an initial conciliation meeting on September 7. Conciliation begins September 1. The nonparticipating individual keeps the appointment. The individual is adamant he/she is not going

to participate in KWP. Conciliation is terminated and a sanction is entered on OTIS. Refer to [MS 4750](#).]

Example 2: A participant has a chronic problem with attendance. Conciliation for poor attendance has occurred twice before. The need for conciliation due to poor attendance is again identified. Using worker discretion, a sanction may be imposed following the conciliation interview, if the worker believes the participant's reasons for poor attendance are not valid and the situation will not change.

[Example 3: The participant fails to keep the conciliation appointment or otherwise contact the worker. Conciliation is terminated and a sanction is entered on OTIS.

- I. If the problem is not resolved through the conciliation process, proceed with the KWP sanction by entering the appropriate information on the Sanction screen on OTIS. See [MS 4750](#) regarding the sanction process.
- J. Document OTIS comments to include: ]
  1. A narrative description of the problem;
  2. Date form KW-204 is issued;
  3. Date of the conciliation appointment;
  4. Result of conciliation and action taken.

MS 4720                      SANCTION EXCEPTIONS AND GOOD CAUSE                      (1)

[If a work eligible individual fails to comply with the work requirements, it is determined during the conciliation process if the individual has good cause for not participating. When good cause is established, the appropriate code is entered on the member's KWP Screen on KAMES. The good cause status displays on the OTIS General Information screen – Member Information section. The length of good cause may vary according to the individual circumstances. Spot check the case for review as appropriate for the individual's situation.]

The individual is not sanctioned if one or more of the following good cause reasons exist:

- A. The individual is unable to engage in employment or training activities due to a physical or mental disability. (Code A)
  - 1. Determine the individual's inability to participate by following the guidelines for an incapacity field determination per Volume III, [MS 2381](#).
  - 2. If a field determination cannot be made, form PA-601T, Referral for Determination of Incapacity or Disability, is completed and sent to the Medical Review Team (MRT) for a determination of whether the individual is able to participate with the Kentucky Works Program (KWP). If form PA-6, Incapacity Determination, has been received from MRT, a second form PA-601T is not needed to grant KWP Good Cause. Follow the procedures found in Volume III, [MS 2379](#).
  - 3. DO NOT submit form PA-601T to MRT if the recipient will lose financial or technical eligibility for any reason other than the 60-month time limit within the next three months.
  - 4. Notify MRT via form PAFS-628, Exchange of Information, or via e-mail at [MedReview@ky.gov](mailto:MedReview@ky.gov), when a case is discontinued prior to receipt of a decision.
  - 5. MRT will respond via form KW-6, Kentucky Works Determination, to a request for good cause:
    - a. Incapacitated – unable to participate in any activity.
    - b. Not Incapacitated
      - 1) Participant has a condition that qualifies for accommodation under ADA guidelines.

[MRT will provide recommendations on form KW-6 of activities the recipient can do based on their assessment of the individual's situation. Send form KW-100, Kentucky Works Contact Letter, when scheduling an appointment to discuss the MRT recommendation. The recommended activity is the participation requirement for the individual.]

Participation in the recommended activity is monitored and tracked.]

If the participant does not attend the scheduled appointment to discuss the MRT recommendation or refuses to participate in an activity, send form KW-204, Conciliation Notice. If the participant does not respond to form KW-204, a sanction is appropriate.

- 2) There are no limitations to participation – the worker takes action to place the participant in an activity. If the participant refuses, conciliate and if appropriate, sanction.
- B. The household contains a child under age six and the only adult is unable to obtain child care (Code B) for one or more of the following reasons:
1. Appropriate child care is not available within a reasonable distance from the individual's home or work site;
  2. Child care by a relative is unavailable or unsuitable; or
  3. An appropriate and affordable child care arrangement is not available.
- C. Child care is terminated through no fault of the individual. (Code B)
- D. Child care does not meet the needs of the child (e.g., a child with a disability). (Code B)
- E. The individual is unable to participate due to the illness of another household member which requires the presence of the participant as documented by medical evidence or by reliable information from other sources. (Code D)
- Review exemption criteria in Volume III, [MS 2324](#) C to determine if the participant's work status can be changed.
- F. The individual is temporarily incarcerated or institutionalized for 30 days or less. (Code E)
- G. The individual is a victim of domestic violence and cannot participate without endangering herself or a family member, (Code V). Verification of domestic violence includes but is not limited to:
1. A protective order;
  2. Involvement of an agency/individual such as a victim's advocate, social worker, TAP worker, etc;
  3. A police report;
  4. Residence in a spouse abuse center.

H. The individual does not accept employment or quits a job due to one of the following reasons:

1. The agency determines there is discrimination by an employer and a formal complaint has been filed based on:
  - a. Age;
  - b. Race;
  - c. Sex;
  - d. Color;
  - e. Disability;
  - f. Religious beliefs;
  - g. National origin; or
  - h. Political beliefs.

For verification, request a copy of the complaint.

2. Work demands or conditions render continued employment unreasonable; such as:
  - a. Consistently not being paid on schedule; or
  - b. The presence of a risk to the individual's health or safety.

For verification, accept the individual's statement.

3. Wage rates are decreased after acceptance of the employment.

For verification, accept the individual's statement.

4. The participant accepts a better job, which because of circumstances beyond the control of the participant, does not materialize.

For verification, accept the individual's statement.

5. The work activity site is so far removed from the home that commuting time exceeds 3 hours per day.

A good cause code is not entered on KAMES for failure to accept or quit a job. Document case comments regarding the circumstances.

MS 4750

APPLYING THE KWP SANCTION

(1)

When good cause for failure to participate in Kentucky Works Program (KWP) activities does not exist and conciliation efforts are unsuccessful, the work eligible individual is sanctioned on OTIS and penalties are applied.

**Sanctions for not participating in KWP activities are inappropriate for Unemployed Parent (UP) cases.**

A. The individual is sanctioned if he/she:

1. Fails, without good cause, to participate in KWP activities in accordance with the Transitional Assistance Agreement (TAA);
2. Refuses to accept employment without good cause;
3. Terminates or reduces hours of employment without good cause, if no longer meeting participation requirements;
4. Fails to return form PA-33, Verification of Kentucky Works Participation, or other participation verification;
5. Is a teen parent age 18-19 who fails to comply with the education or other component requirements; or
6. Is a teen parent under age 18 and has a high school diploma or equivalent who fails to comply without good cause with KWP requirements.

When the sanction is applied and the benefits payable to the individual are zero, the case will automatically discontinue.

[If the individual is a caretaker relative included in the KTAP case, he/she has the option of accepting the KWP sanction or being removed from the case.]

The KWP sanction may be interrupted if a fair hearing is requested in a timely manner. Refer to Vol. I, [MS 0485](#). If the client requests continued benefits, pending the hearing decision, cure the sanction on OTIS until the final hearing decision is received.

B. The KWP sanction penalties are:

1. Pro rata reduction of the KTAP benefits; and
2. Disqualification of the individual in the Supplemental Nutrition Assistance Program (SNAP) case if appropriate.

The effective date of the KWP penalties should be the same in all benefit cases.

- C. When conciliation is unsuccessful, enter the sanction on OTIS within 3 work days and update KAMES with the disqualification for SNAP. Annotate comments on both OTIS and KAMES.

1. The OTIS screens accessed to impose a KWP sanction are "Component" and "Sanction".
  - a. Prior to entering a KWP sanction, close all open and pending components on the OTIS Component screen.
  - b. Choose the appropriate "sanction reason" on the OTIS Sanction screen; and
  - c. The "action date" and "effective date" are uploaded by OTIS.

Example: A sanction is entered on OTIS on 11/10/12. The notice of adverse action is generated by KAMES with the KTAP and SNAP benefits reduced effective 12/1/12.

The "Action Date" uploaded on the Sanction screen is 11/10/12. The "Effective Date" is 12/1/12, which is the date the benefits are reduced on KAMES.

- d. Enter an explanation of the sanction in the "Comments" box on the Sanction screen.
  - e. The KWP disqualification will appear on KAMES inquiry the same day the action is entered on OTIS. To ensure the KTAP benefit is recalculated and reduced, complete a "J No Change" action on KAMES the same day the sanction is entered on OTIS.
2. See Vol. II, [MS 2370](#) and Vol. IIA, [MS 4350](#) for details concerning SNAP penalties due to noncompliance with KWP. The 316 SNAP disqualification is for a minimum period depending on the occurrence and must be served and cured before SNAP eligibility is reestablished unless the KTAP case is discontinued. The 310 disqualification is deleted upon curing the KWP sanction or discontinuance of the KTAP case.

- D. For KTAP cases where the child receives SSI and the only member of the case is an adult, applying a KWP sanction to the adult member will result in zero benefits being authorized. For these cases:

1. Enter the sanction on OTIS;
2. Inquire KAMES to ensure the sanction information passes from OTIS to KAMES;
3. Do not enter SNAP penalties, but review the SNAP work registration requirements;
4. [The case discontinues with code 682 and generates form KIP-105.3 stating, "We stopped your KTAP cash benefits 'Month DD, CCYY'. Here's why: your monthly income equals or exceeds the amount of KTAP you would receive. If your monthly income decreases, you may qualify for KTAP." The member code is 882.]

If the individual reapplies for KTAP, KWP participation is required prior to approval in order to cure the sanction and issue benefits. Do not approve a KTAP case with zero benefits.

- E. A KTAP technical eligibility sanction and a KWP sanction are NOT applied for the same individual at the same time. If an individual is serving a KTAP technical eligibility sanction (his/her needs are removed from the KTAP case), a KWP penalty is NOT applied. For technical eligibility sanction reasons, refer to Vol. III, [MS 2220](#). A sanction is not the same as a disqualification. A KWP penalty may be applied to a participant who is disqualified for being a convicted drug felon.
- F. KWP sanctioned individuals are removed from the denominator when calculating participation rates for 3 months. Sanctioned months are those where KTAP benefits have been correctly reduced due to the 416 disqualification.
- G. The KTAP household is ineligible for cash assistance after 6 cumulative months of receiving K-TAP if both of the following apply:
  - 1. The parent or caretaker relative has received KTAP for 6 cumulative months (this includes receipt of cash benefits from similar programs funded by TANF in other states); AND
  - 2. The individual is currently sanctioned and has been sanctioned at least 3 cumulative months since 8/1/05. A sanctioned month is defined as a month the KTAP benefits were correctly reduced due to the 416 disqualification.
- H. The sanction continues until the individual participates as required in KWP activities or is determined exempt or to have good cause reasons for not participating. Discontinuance of the KTAP case does not end the sanction.

MS 4770 CURING THE KWP SANCTION IN ACTIVE K-TAP CASES (1)

The KWP penalty may be cured by a determination that the individual has good cause, has become exempt from participation in KWP activities, or has demonstrated compliance by participating for 15 calendar days. Discontinuance of the K-TAP case does **NOT** automatically cure a KWP penalty.

A. For individuals who participate as requested, become exempt, or are determined to have good cause **before** the effective date of the reduction in K-TAP benefits on KAMES:

1. The sanction is deleted on the OTIS Sanction screen.

A sanction can be deleted up to the last day of the month prior to the effective month of the penalty. If the KWP sanction is deleted after cut-off, a K-TAP supplemental may be required for the next month.

Example 1: An individual is sanctioned and the K-TAP benefits are reduced effective September 1. On August 10, the individual is determined exempt. The sanction is deleted on OTIS. No supplement is needed for September as the benefit is not decreased.

Example 2: An individual is sanctioned and the K-TAP benefits are reduced effective September 1. On August 26, the individual is determined exempt. The sanction is deleted on OTIS. A supplement for September is appropriate as K-TAP cannot be increased effective September due to August cut-off.

Example 3: An individual is sanctioned and September benefits are reduced effective September 1. On August 26, she returns a completed form PA 33. The sanction is deleted on OTIS. A supplement for September is appropriate as K-TAP cannot be increased effective September due to August cut-off.

2. If a KWP sanction is deleted, the KAMES "YY" tracking screen must be adjusted by a supervisor or principal worker.

3. Complete a "J-No change" action on KAMES to recalculate the K-TAP case.

4. Annotate OTIS and KAMES comments to document the action taken.

[5. If applied, delete the 431 KWP disqualification on the KAMES Disqualification Menu.]

6. Refer to Volume IIA [MS 4350](#), Noncompliance with Other Work Programs, for information on the impact to the SNAP case.

- B. For individuals who become exempt, or are determined to have good cause **after** the effective date of the reduction of K-TAP benefits on KAMES:
1. The sanction is cured on OTIS. **DO NOT** delete the KWP sanction. Enter the date the exemption or good cause determination is made in the cure begin and end date fields on the OTIS Sanction screen. The cure begin date cannot be earlier than the "Effective date" on the OTIS Sanction screen.  
  
Example: An individual is sanctioned and the K-TAP benefits are reduced effective September 1. The individual is determined exempt September 10. A cure begin and end date of September 10 is entered on OTIS.
  2. Supplemental benefits are **not** appropriate for the month the sanction is cured. Federal reporting requires that this month be reported as a sanction month and benefits issued reflect the sanction. Do not adjust the KAMES "YY" tracking screen in this situation.  
  
In the example, a supplement would not be issued for the month of September.
  3. If the individual is determined exempt, ensure the appropriate exemption code (U, D, T, or G per Volume III [MS 2324](#)) is entered on KAMES.
  4. If the individual is determined to have a good cause reason (see Volume IIIA, [MS 4720](#)) for not participating, enter the appropriate code on the KAMES Good Cause screen. The screen is accessed from the KAMES Case Change menu, Option MM-KWP/Work Registration and option F-Good Cause.
  5. Annotate comments on KAMES and OTIS to document the action taken.
  6. If appropriate, manually enter a spot check to review the case in the month the exemption is anticipated to expire.
  - [7. If applied, delete the 431 KWP disqualification on the KAMES Disqualification Menu to provide MA benefits.]
  8. Refer to Volume IIA [MS 4350](#), Noncompliance with Other Work Programs, for information on the impact to the SNAP case.
- C. If a penalized individual agrees to participate after the sanction has been imposed, the penalty may be cured. The individual is required to participate for the required number of KWP hours per week within a period of 15 calendar days before considered in compliance. The 15 calendar days begins the day the individual starts participating in a KWP activity. Provide the individual with form PA-33, Kentucky Works Participation, to verify compliance.

The individual must meet the required KWP hours within the 15 calendar days unless there is an ADA accommodation that limits the hours of participation. To determine the needed hours of participation, calculate the monthly participation requirements and divide by 2. For example, an individual with a 20 hour requirement must participate 87 hours ( $20 \times 4.33$ ) in the month to meet participation. In order to cure the sanction, the individual must verify 44 hours ( $87/2$ ) of participation.

Example: The individual is sanctioned for not completing the required 20 hours per week of community service. The individual agrees to comply and begins participating on June 10. The individual completes 44 hours within 15 calendar days. The cure end date entered on OTIS is June 25 even if the 44 hours of participation were completed before the 15<sup>th</sup> day.

For an individual who is sanctioned for not complying with a non-core activity, he/she must comply with the agreed requirement in order to cure the sanction.

Example: The individual is required to meet with a TAP worker once a week as his/her KWP activity. He/she is sanctioned for not attending the meetings. The individual agrees on April 15 to begin meeting with the TAP worker again. April 15 is entered as the cure start date. He/she attends the weekly meetings. The sanction cure date is entered on OTIS on April 30.

1. Enter the Cure Begin Date on the OTIS Sanction screen and enter the appropriate component. Sanctioned members are NOT eligible for supportive services. When an individual, who is serving a sanction, begins to cure the sanction and a cure begin date is entered on OTIS, supportive services should not be paid until the sanction is cured. Any supportive services, such as transportation, can be backdated to cover the cure period.
2. If the individual successfully participates the required hours within the 15 calendar days or is willing to participate but an activity is not available, enter the cure end date on the Sanction screen as the first day following 15<sup>th</sup> day of the participation period.

Supplemental benefits are **not** appropriate for the month the sanction is cured.

**[**Example: The individual is sanctioned and K-TAP benefits are reduced effective September 1. On Thursday, October 10, the individual begins participating in activities. The cure begin date entered on OTIS is October 10. The individual participates the required hours within the 15 calendar days. The cure end date entered on OTIS is October 25. Supplemental benefits are not appropriate for October. In this example a supplement is appropriate for November as the sanction was cured after cut-off in October.**]**

3. Complete a "J-No Change" action on KAMES to recalculate the K-TAP case.
  - [4. If applied, delete the 431 KWP disqualification on the KAMES Disqualification Menu.]
  5. Refer to Volume IIA [MS 4350](#), Noncompliance with Other Work Programs for information on the impact to the SNAP case.
  6. If the individual fails to successfully participate the required hours within the 15 calendar days:
    - a. Continue the sanction.
    - b. Update OTIS by entering an explanation of the failure in the Comments box and pressing the "Fail Cure" button on the OTIS Sanction screen.
    - c. OTIS updates the Sanction screen with the fail cure status.
- D. Paid employment or a combination of paid employment and participation in other KWP activities to meet KWP participation requirements may cure a KWP sanction. The hours from employment or a combination of employment and another KWP activity must meet the KWP required hours and the individual must meet the requirement within the 15 calendar days prior to curing the sanction. In-kind income DOES NOT cure a sanction and MAY NOT be utilized as a good cause reason.

MS 4780 CURING THE KWP SANCTION AT REAPPLICATION (1)

Discontinuance of the K-TAP case does not end the individual's sanctioned status. For full family sanction reapplications, refer to Volume III, [MS 2015](#).

A. At reapplication, the individual may cure the KWP sanction by:

1. Verifying he/she meets exemption criteria in Volume III, [MS 2324](#). The appropriate exemption code (D, U, T, or G) is entered on KAMES. The K-TAP case is approved with the sanction in place and a reduced benefit is issued for the month of application, unless the individual has a previous full family sanction. The sanction is cured on OTIS after the application is processed with the cure begin and cure end dates entered as the application date. A supplement may be appropriate for the month following application.
2. Verifying good cause criteria in Volume IIIA, [MS 4720](#), is met. The K-TAP case is approved with the sanction in place and a reduced benefit is issued for the month of application. The sanction is cured on OTIS after the application is processed with the cure begin and cure end dates entered as the application date. A supplement may be appropriate for the month following application.

Example: An individual is sanctioned effective September. The K-TAP case is discontinued effective November. A reapplication is taken January 15 and the individual meets good cause criteria. The application is approved prior to curing the sanction on OTIS and a reduced benefit amount is issued for January. After the approval is processed, good cause is entered on KAMES and the sanction is cured on OTIS by entering the cure begin and end date of January 15. In February, the individual is eligible for the full benefit amount.

3. Participating in an activity for the required number of hours per week for 15 calendar days. The activity must be current and expected to continue. The individual must meet the required KWP hours within 15 calendar days unless there is an ADA accommodation that limits the hours of participation. To determine the needed hours of participation, calculate the monthly participation requirements and divide by 2. The K-TAP case is approved with the sanction in place and a reduced benefit is issued for the month of application.

Example: An individual with a 30-hour requirement must participate 130 hours (30 x 4.33) in the month to meet participation. In order to cure the sanction, the individual must verify 65 hours (130/2) of participation within the 15 calendar days. The approval action for K-TAP is processed prior to curing the sanction on OTIS. Holiday and excused absence hours can be used in curing their sanction. When using holiday hours, the holiday must be one of the 15 calendar days. Excused hours can be used provided the individual has not

exceeded 16 hours for the month or 80 hours for a 12-month period.

- [4. If verification is received that participation has begun, the cure begin date entered on OTIS is the day the individual started participating. The cure end date is the first day following the 15 calendar day period of verified required participation.]

The penalty for not participating in KWP activities is removed effective the month after the cure end date.

[Example 1: An individual is sanctioned effective October. The K-TAP case is discontinued effective December. A reapplication date is January 4. The application is approved prior to curing the sanction on OTIS and a reduced benefit amount is issued for January. The individual verifies she will begin KWP activity on January 5. The cure begin date is January 5 and the cure end date is January 21 on OTIS. The individual returns verification on January 20 that shows the required participation was met for the 15 calendar day period. January 21 is entered as the cure end date. The individual is eligible for the full benefit amount in the month of February.]

Example 2: An individual is sanctioned and the case is discontinued effective November. A reapplication date is November 23. The application is approved prior to curing the KWP sanction with a reduced benefit amount for November and December. The individual will begin KWP activity on Nov 24. The cure begin date is November 24 and the cure end date is December 10. The individual returns verification on December 9 that shows the required participation was met for the 15 calendar day period. December 10 is entered as the cure end date. The individual is eligible for the full benefit amount in the month of January.

If the individual has participated the required hours within 15 calendar days prior to the application date and continues to participate, the cure begin and end date is the application date.

Example 3: An individual reapplies January 20<sup>th</sup> and reports that she attended community college starting January 3<sup>rd</sup> and will continue through May 25<sup>th</sup>. She provides verification that shows she met participation within the 15 calendar day period prior to January 20<sup>th</sup>. The cure begin date is January 20 and the cure end is January 20.]

- B. If the individual chooses not to participate, the case is approved with the sanction in place and receives reduced benefits until the full family sanction is applied.

MS 4790                      RESOLVING ERRONEOUS SANCTIONS                      (1)

[Great care should be taken when entering sanctions as the sanction data cannot be corrected, for federal reporting purposes, after the effective date entered on OTIS. Actions may be taken to resolve the error on the local level, but the case will be considered as sanctioned for federal reporting purposes.]

A. If a sanction is applied in error and is discovered prior to the effective date, the following steps are taken:

- [1. The sanction is deleted from OTIS.]
2. The "YY" tracking screen is adjusted by a supervisor or principal worker.
3. A "J-No change" action is completed on KAMES to recalculate the K-TAP case.
- [4. Annotate OTIS and KAMES comments to document the action taken.]
5. Delete the 431 KWP disqualification on the KAMES Disqualification Menu.
6. If these steps are followed after cut-off a supplemental may be issued.

[Example: An individual is sanctioned March 15, effective for April 1. The individual provided the needed PA-33 on March 15, but the form was misplaced and found March 16. The sanction is deleted from OTIS. No supplement is needed for April as there was no decrease in the benefit amount.

Example: An individual is sanctioned March 27, effective May 1. The worker discovers the sanction was applied in error on April 28, after cut-off. The sanction is deleted from OTIS. A supplement is issued for May as the benefit amount was reduced.]

The case will not be reported as sanctioned on the federal report as long as the sanction is deleted prior to the first day of the effective month of sanction.

B. If a sanction is applied in error and not discovered until after the effective date, the following steps are taken:

- [1. The sanction is cured on OTIS. Enter the cure begin and end date as the first day of the month the sanction was effective on the OTIS sanction screen.]
2. The "YY" tracking screen is adjusted by a supervisor or principal worker.
3. A "J-No change" action is completed on KAMES to recalculate the K-TAP case.
- [4. Annotate OTIS and KAMES comments to document the action taken.]
5. Delete the 431 KWP disqualification on the KAMES Disqualification Menu.
6. Issue a supplement for the month of erroneous sanction.

[Example: An individual is sanctioned March 30, effective May 1. The worker discovers the sanction was applied in error on May 5. The sanction is cured on OTIS; with a cure begin date of May 1 and a cure end date of May 1. A supplement is issued for May as the benefit amount was reduced erroneously and the case could not be corrected effective May.]

In this example, the case will be removed in the federal reports from the denominator for May as a sanctioned case.

MS 4800 UNEMPLOYED PARENT (UP) PARTICIPATION (1)

Parents in a UP case must participate in the Kentucky Works Program (KWP) for a minimum average of 35 hours per week. The Kentucky Works Program (KWP) assessment and Transitional Assistance Plan (TAA) is required for each parent. If the family receives child care assistance from the Child Care Assistance Program (CCAP), the parents must participate for a minimum monthly average of 55 hours per week.

A. Participation requirements for UP cases are as follows:

1. To meet the 35/55 hour work requirement, parents must participate in a core component for 30/50 hours and an additional 5 in a core or non-core activity. Five hours per week of the 35/55 hours may be in one of the following activities:
  - a. Job skills training directly related to employment;
  - b. Education directly related to employment, in the case of a recipient who has not received a high school diploma or equivalent; or
  - c. Attendance at high school or an ABE or GED program, in the case of a recipient who has not received a high school diploma or equivalent.

Indicate in OTIS comments if the 35/55 hour participation is split between the adults. Only 5 hours per case is allowed in a non-core activity.

In-kind employment arrangements are not acceptable employment hours for participation.

2. Either parent can participate in the required number of hours to meet the federally required participation rate for "Two Parent" cases. However, the Qualifying Parent (QP) has the primary responsibility for participation and must actively seek employment. To meet the federally required "All Family" participation rate one parent must complete the entire 30 hour core requirement.
3. One parent may participate for the entire 35 hour requirement or both parents may share in the work activities. However, if both parents share the work activities, case workers should encourage one parent to complete the core requirement of 30 hours per week while the other parent completes the remaining 5 hours of the requirement. If the parents must meet a 55 hour weekly requirement, one parent should be encouraged to complete the core requirement of 30 hours per week while the other parent completes the remaining 20 hours of the core requirement. Either parent can complete the remaining 5 hours.

This will fulfill both the "Two Parent" and the "All Family" federally required participation rates.

When parents participate in a combination of activities to achieve the

required core hours only one parent can complete the requirement by attending full-time higher educational activities during the same time period. However, if one parent is coded in a vocational educational activity on OTIS, the other parent can complete the remainder of the requirement in employment such as Ready-to-Work or other work study.

If the nonqualifying parent completes the entire 35 hour requirement, the QP must be available for and actively seek employment. The QP's statement is acceptable as long as the nonqualifying parent is meeting the requirement.

- [B. Individuals may participate in excess of 35/55 hours per week to ensure 35/55 hour per week monthly average is achieved; however, they cannot participate in WEP/COM over the FLSA calculated hours.]
1. Any UP recipient may be required to participate in the KWP program if he/she does not meet good cause criteria. Refer to [MS 2843](#) for determination of good cause criteria.
  2. At the time of application and recertification, inform all UP recipients of the required participation in the KWP program and the penalties for noncooperation.
  3. Review with the parents the KWP activities to determine which activity is in the best interest of the family in reaching the goal of becoming self-sufficient.
    - a. Determine how the parent wishes to meet the 35/55 hour per week participation requirement; or
    - b. Determine which parent can best be expected to successfully meet the 35/55 hour participation requirement.
- C. If the parent misses any scheduled time from the KWP activity, the time must be an approved holiday, excused absence or must be made up during the month.
- D. In calculating whether an individual has met the requirement, the individual's participation over the month that is being measured is averaged. The total hours shown on form PA-33 for the report month are entered on the OTIS Component screen – Tracking. OTIS calculates the weekly average.
- E. Non-core activities are permissible for parents in a UP case. These include:
1. Domestic violence counseling;
  2. Life skills training;
  3. Substance abuse programs;
  4. Mental health counseling;

5. Vocational rehabilitation; and
6. GED/ABE/Literacy.

NOTE: Parents in a UP case are NEVER shown as exempt on KAMES. Exemptions are not appropriate in a UP case.

- [F. If the participation requirement is not met by either one or both parents, initiate conciliation by issuing form KW-204, Conciliation Notice, to both parents through OTIS. If form PA-33 or other verification of participation is not returned, both parents must be given the opportunity for conciliation before the case is discontinued.
1. If a parent states he/she cannot participate due to a mental or physical condition, refer to Vol. III, [MS 3670](#), for procedures to determine if incapacity is appropriate.
  2. If the one or both parents agree to participate, monitor the activities for 15 calendar days from the date form KW-204 was issued. An additional 15 calendar days may be allowed if necessary to meet the participation requirement. If participation requirements are not met by the end of the conciliation period, discontinue the "W" case by entering "N" for the question on KAMES IM Work Registration screen, "Cooperation with KWP?" and "N" to the question "Participating". The W case discontinues with reason code 657.
  3. For policy and procedures for "W" case reapplications, refer to Vol. III, [MS 3667.](#)]

MS 5200

INTRODUCTION TO SUPPORTIVE SERVICES

(1)

Work eligible individuals who are employed or participating in Kentucky Works activities are provided supportive services. Supportive services include transportation, car repair, other vehicle expenses, child care and other fees, items or services required for KWP participation.

A. [Payments are authorized on OTIS for: ]

1. Car repairs, which include vehicle registration costs, vehicle license fees, liability insurance for the vehicle, vehicle property tax, repairs on the vehicle to make it functional, and other car expenses needed by the KWP individual in order to participate.
2. Other items or services needed to begin or continue participation in a KWP activity including employment. Examples of such services are uniforms, school supplies such as books or software, fees for driver's education classes, etc.
3. Transportation costs which are incurred while working, participating or preparing to participate in KWP.
4. Remedial health goods or services for work eligible individuals if the items or services are needed for participation in KWP and are not payable through Medicaid. These payments can ONLY be made when funds are available. Staff is notified of the availability of funding.
5. Summer school tuition and books when funds are available.

B. Child care assistance is paid to the child care provider by the service agents who administer the Child Care Assistance Program (CCAP). See Volume IIIA, [MS 5270](#).

MS 5260

CHILD CARE AND TWO-PARENT CASES

Information specific to child care payments in a two-parent case is provided below.

- A. If both parents in a UP case are participating in the Kentucky Works Program (KWP) a minimum of 55 hours per week and child care is needed, form DCC-85A, Approval for Child Care Assistance, is completed.
- B. If one parent is participating in KWP, while the remaining parent is employed, a child care expense is provided as a deduction from the employed parent's earned income if the earnings make the case not eligible for K-TAP without a deduction (see Volume III MS 2849) or assistance is provided through CCAP.
- C. If the parent requests child care due to the belief that it is not in the best interest of the child to leave the child in the care of the other parent, assistance from CCAP may be provided. Accept the client's statement.
- D. If one parent is participating in KWP and the other parent is unable to care for the children due to a good cause reason (i.e., temporary illness or incapacity), child care assistance may be provided through CCAP. Use a doctor's statement to verify the parent's inability to care for the children.

MS 5270

APPROVAL FOR CCAP

(1)

Use form DCC-85A, Approval for Child Care Assistance, to approve the work eligible individual for the Child Care Assistance Program (CCAP) once the assessment and Transitional Assistance Agreement (TAA) is completed on KAMES and the individual is placed in an activity. Form DCC-85A is submitted via e-mail to the Division of Child Care centralized mailbox CHFS DCBS DCC 85 or typing the e-mail address, [DCC85@ky.gov](mailto:DCC85@ky.gov). If form DCC-85A is submitted via e-mail, scan the form in the K-TAP electronic case file and document on OTIS comments to specify the date form DCC-85A was sent. ]

The eligibility date entered on form DCC-85A can be no earlier than ninety days prior to completion of the form. Contact the Family Self-Sufficiency Branch for guidance if the case situation calls for back dating more than ninety days.

- A. If Child Care Assistance is needed as a result of the KTAP recipient's employment, first determine if the recipient is KTAP eligible without the deduction for child care expenses. Refer to Vol. III, [MS 2840](#). If the recipient remains eligible, complete form DCC-85A approving the client for child care assistance.
- B. If child care assistance is needed for a work eligible individual who is employed or in a KWP activity, complete and send form DCC-85A within 10 days of the time the need is identified.

On-line educational activities monitored and verified by Ready to Work (RTW) Coordinators are KWP activities. Work eligible individuals who participate in on-line educational activities are eligible for child care assistance including assistance for the allowed study hours.

- C. If child care assistance is needed for children who live in the home but are not included in the work eligible individual's KTAP case, explain the situation in the comments section of form DCC-85A.

Example 1: A mother, who is a work eligible individual, receives KTAP for herself and her son. She also has an MA only case for a niece who lives in the home. Child care is needed for the son and niece in order for the mother to participate in work activities. Include this explanation on form DCC-85A.

Example 2: The work eligible individual has a KTAP as well as a Kinship Care case. Child care is needed for the Kinship Care children in order for the individual to participate in work activities. Include this explanation on form DCC-85A.

Example 3: The work eligible individual receives KTAP for her child. She and her child live with her boyfriend and their child. Their child is not eligible for KTAP due to no deprivation. The boyfriend works. Child care is needed for both children while the mother participates. If income information is available for the boyfriend, include that information on form DCC-85A with an explanation of the situation.

- D. Provide a copy of form DCC-85A to the individual to present to the child care provider documenting approval for child care assistance.

If the individual has not located a child care provider, advise the individual to contact the local Child Care Resource and Referral Agency (CCRRA) at (877) 316-3552 for assistance.

- E. Provide form DCC-112, Selecting Quality Child Care for My Child, to the individual.
- F. Advise the individual that they will receive form DCC-91, Client Fact Sheet, from the service agent. This form must be signed and returned to the service agent.
- G. If the 2-month earned income exclusion is applicable, complete form DCC-85A and note in the Comments Section the effective month the income will be considered. Also, provide the amount of the income excluded.
- H. [If the case is KTAP ineligible, refer for child care assistance using form DCC-86, Referral for Low Income Child Care Assistance, to the service agent in the county of the individual's residence if the child care is requested. Form DCC-86 is a referral only to allow eligibility to be determined by the service agent. The service agent also determines eligibility for child only KTAP cases with no work eligible individual.]
- I. Report changes that impact the CCAP to the service agent, including the KTAP benefit amount, KTAP case discontinuance, number of hours of the activity or work that affects the need for child care changes, loss of employment, and change in marital status or family members. These changes can be reported by sending an e-mail to the DCC centralized mailbox CHFS DCBS DCC 85 or typing the e-mail address, [DCC85@ky.gov](mailto:DCC85@ky.gov).]
- J. CCAP will pay child care enrollment fees for KWP participants. If payment of fees is needed, indicate the need in the comments section of form DCC-85A.
- K. Individuals are eligible for child care services during the time period a KWP sanction is being cured. This also applies at application for a sanctioned individual. The KTAP case must be either active or pending on KAMES to receive child care assistance for a sanctioned individual.
- L. The eligibility period for a KWP child care case is no more than twelve months from the eligibility date entered on form DCC-85A. A shorter eligibility period can be entered if the case situation warrants a shorter time frame.
- M. Service agent staff will notify Family Support staff when a redetermination of child care eligibility is due.

[1. If the individual continues employment or KWP activities, a new form DCC-85A must be completed and submitted to DCC centralized

mailbox CHFS DCBS DCC 85 or typing the e-mail address, [DCC85@ky.gov](mailto:DCC85@ky.gov).

2. If the individual is no longer eligible for approval by the DCC-85A process, provide the individual with form PA-105, Notice of Ineligibility, and advise the individual to contact the service agent if child care is needed. Form DCC-86 may be used to refer the individual to the service agent.】
- N. Use form DCC-113, Child Care Assistance Program (CCAP), as a quick reference guide in determining eligibility for child care and answering questions concerning child care eligibility.
- O. If a recipient requests a fair hearing concerning CCAP and the hearing issue concerns the authorization of child care assistance by form DCC-85A, Approval for Child Care Assistance, family support staff processes the request. The service agent processes hearing requests relating to parental co-payments, provider payments or other issues relating to the CCAP case.



[EXAMPLE: The participant is placed in a component 3/3/10. The participant completes form PA-33 from OTIS on 3/3/10 to request the number of days transportation is needed for March (the current month). The participant completes an additional form PA-33 to request the number of days transportation is needed for April (the second prospective month). A third form PA-33 is given to the participant to verify actual participation for the month of March. OTIS will then begin system generating forms PA-33 at the end of March to capture April participation to be returned in May.]

4. At initial request, if the participant does not return form PA-33 within 10 days, send form PA-105, Notice of Ineligibility, to notify the participant of the denial of payment of the transportation expense.
- C. After the initial months, the individual requests transportation payments prospectively on form PA-33 by completing the appropriate block in the "Request for Transportation Payment" section that corresponds with the number of days the participant is scheduled to attend his or her activity.
- D. Transportation can be authorized in one of two ways:
- [1. Transportation issued by completion of the Component screen - Tracking on OTIS.
  2. Transportation issued through the Payments screen – Transportation on OTIS.]

MS 5350

OVERVIEW OF SUPPORTIVE SERVICES

(1)

Work eligible individuals may be eligible for supportive services payments for items or services needed to participate in KWP activities, including employment. Supportive services payments may be issued for car repairs and other vehicle related needs, items and services needed by the individual in order to work or participate in a KWP activity, summer school or short term training tuition, remedial health care goods and services, and miscellaneous fees.

- [A. Sanctioned members are NOT eligible for supportive services. When an individual, who is serving a sanction, begins to cure the sanction and a cure begin date is entered on OTIS, supportive services should not be paid until the sanction is cured. Any supportive services, such as transportation, can be backdated to cover the cure period.]
- B. Fleeing felons or convicted drug felons are not included in the K-TAP benefit amount; however they are considered work eligible individuals and are required to participate in KWP activities. Fleeing felons and convicted drug felons are eligible for supportive services which are authorized and paid in the same manner as other work eligible individuals.
- C. Supportive services payments cannot be authorized to reimburse the client for expenses he/she has already paid.
- D. Supportive services payments should be withheld during conciliation.
- E. The payment limits for the different categories of supportive service payments are:
  - 1. Supportive Services for all items not listed below - \$400 limit per 12 months;
  - 2. Car repair - \$1500 limit per FAMILY per 12 months;
  - 3. Short-term training- \$500 per class unless approved by Central Office. Refer to Volume IIIA, [MS 4215](#);
  - 4. Summer school tuition, refer to Volume IIIA, [MS 5370](#);
  - 5. Remedial health goods and services, refer to Volume IIIA, [MS 5380](#); and
  - 6. RN and licensing fees, refer to Volume IIIA, [MS 5390](#).
- F. [If the KWP participant requests a supportive service that is eligible for payment, determine whether a balance exists in the supportive services or car care account on OTIS.

Before completing form PA-32, Authorization for Supportive Services Payment, OTIS determines if there is a sufficient balance in the supportive services or car care account to cover the request.]

MS 5355 SUPPORTIVE SERVICES ITEMS SUBJECT TO \$400 LIMIT (1)

The following items may be authorized for purchase if required for KWP participation, including employment, and not reimbursable by the employer or covered by financial aid or Medicaid. Payments for these items and/or services reduce the \$400 supportive services balance.

- A. [A timepiece, if necessary for employment or training;
- B. Tools required for employment;
- C. Licensing fees, which can include exam costs to obtain a professional license or certificate or driver's license fee;
- D. School supplies and books for the work eligible individual only, not for the children;
- E. Cost of photo identification, if needed to access training, employment, or testing;
- F. One suitable interview outfit for a work eligible individual seeking employment;
- G. Up to three uniforms or clothing and/or shoes particular to a service, profession or company;
- H. Cost of criminal records check fee;
- I. Driver's education class fee; or
- J. Drug screening test fee.]

MS 5365

FEE PAYMENTS

(1)

[Fee payments do NOT reduce the supportive service balance. Make payments for the following fees:]

- A. Training registration fees;
- B. Financial aid application fees;
- C. Testing fees (e.g., entrance exam, ACT test, SAT test, license exams for KWP participants in an education slot);
- D. Application fees required by vocational schools for specific programs;
- E. Liability insurance fees not related to car insurance;
- F. Copy of records fees;
- G. Activity fees if mandated by the institution;
- H. RNET practice state board exam fee for a registered nurse (RN). See [MS 5390](#) for other fees relating to RN or licensed practical nurse (LPN) licensing; and
- I. Other required fee payments. This does not include short-term training. Refer to [MS 4215](#) for information on the payment of short-term training fees.

The examples listed next to the types of fees are not all-inclusive.

MS 5370                      SUMMER SCHOOL TUITION PAYMENTS                      (1)

Summer school tuition, books and fees may be paid for work eligible individuals who are enrolled in a post secondary educational activity including 2 and 4-year programs. This includes online classes. Summer school payments can only begin after notification by the Family Self-Sufficiency Branch (FSSB) that funds are available for Summer School Tuition Payments.

The maximum total payment amount for summer school tuition is \$1,800 per participant for the summer. Individuals with sufficient financial aid funds to cover summer school expenses are not eligible.

A. Eligible Participants

1. The participant must be enrolled in a technical school, post-secondary institution, college or community college. A student may enter a new program as a summer student and be eligible.
2. The student must request summer school funds from the worker/case manager.

B. Payment Obligation

- [1. Issue form KW-32SS, Authorization for Summer School Payments, from the Payments screen – Summer School on OTIS, to obtain tuition, books and fee costs for each eligible participant. Explain to the student the importance of meeting timeframes for completion and return of the form.]
2. The participant has a 10-day deadline for return of form KW-32SS.

DO NOT issue form KW-32SS after the deadline established by FSSB, or at the point when notified that funds are no longer available.

C. Payment Authorization

[The participant MUST be active on OTIS in order for payment to be authorized. Payment of forms KW-32SS up to \$1800 per participant are made.

After summer school tuition costs are paid, books and/or fees can be paid from the remaining summer school tuition funds allowed for each participant.

1. If the participant uses all \$1,800 for allowable expenses and still requires payment for books or fees:
  - a. Books may be paid using regular supportive services for school supplies and books. This payment DOES reduce the participant's supportive services balance. See MS 5355.
  - b. Summer school fees paid using the summer school funds will not reduce the participant's nonrecurring supportive services balance. See MS 5365.

2. Summer school fund payments can be entered upon notification from FSSB. Ensure all payments from summer school funds are entered promptly. The summer school funds cannot be accessed after the close of business of the last work day in July or when the funds are depleted, whichever is first. Payments cannot be entered after that date.
  3. Payments made from summer school funds do not reduce the nonrecurring supportive services balance.
- D. OTIS automatically monitors the amount of obligated payments as to not exceed the total funds available for the summer school session.]

MS 5375

CAR REPAIRS AND EXPENSES

(1)

[Car repair funds are limited to \$1500 per family. When an individual requests assistance with an item which can be paid with car funds, remind the individual that these funds are limited. Car repair payments can be provided to Kentucky Works Program (KWP) participants if necessary for participation in a KWP activity including employment.]

A. Eligibility criteria for authorization of payment:

1. The owner of the vehicle must be a work eligible individual participating in KWP.

Exception: If both parents are in the home and an SSI parent owns the vehicle, car repair payments can be authorized for the work eligible individual if needed for participation.

If the individual provides an out-of-state driver's license and or vehicle registration, advise the individual that he/she must obtain a Kentucky license and registration within 30 days of the move to Kentucky, and supportive services can help pay for them. Do not deny the request for repair based on the out-of-state license or registration;

2. Repairs must be approved by the case manager based on written estimates;
3. Providers must be reputable, established garages as determined by local staff, including vocational/technical schools that offer auto repair courses. No private individuals may be paid for car repairs;
- [4. Participants are eligible for \$1500 per 12-month period. In cases of two-parent households, it is \$1500 per family NOT per work eligible individual. OTIS calculates the available balance based on the outstanding and paid forms PA-32 for the household. OTIS does not allow form PA-32 that exceeds the available balance to be issued; and]
5. Only items related to making the vehicle operable are allowed.

B. The following expenses can be paid with car repair funds:

1. A repair which makes the car functional such as:
  - a. Brakes;
  - b. Transmission or engine repair;
  - c. Mufflers; or
  - d. Tires;
2. Property tax on the vehicle;
3. Vehicle registration costs;

4. Vehicle license fees;
  5. Liability insurance for the vehicle;
  6. New or used automotive parts purchased by the work eligible individual to make the vehicle functional; and
  7. Other car expenses needed by the work eligible individual for participation.
- C. If the individual has a problem or issue with the service received from the provider, it is the responsibility of the individual to resolve it with the provider. The Cabinet does not intervene in such matters.
- D. To authorize car repair payments:
1. [Access Payments screen – Supportive Services to determine if the funds are available. If there are two work eligible individuals in the case, OTIS checks both records. Each parent will show a beginning balance of \$1500; however, as funds are obligated for either individual, both balances reduce accordingly. The family is eligible for \$1500, not \$3000 per 12-month period.]
  2. Determine if the requested expense meets criteria for eligible expenses.
  3. Determine if the requested provider meets criteria.
  4. Utilize Form PA-34, Car Repair Estimate, or obtain a written estimate from the vendor prior to issuance of form PA-32.
  - [5. When an approved estimate is received, issue form PA-32 on OTIS for the amount of the estimate. Payments are issued to the provider, not the individual.]
- Exception: Property taxes, vehicle registration and licensing fees, and auto liability insurance are issued to the individual who is responsible for payment.
6. If the costs exceed \$1500, DO NOT authorize payment for the balance unless the individual has a written agreement with the provider to accept responsibility for and pay the remaining balance.
- Example: A repair estimate is \$1550 from Big O Tires. Verify the participant has a written agreement to pay the balance of \$50. If not verified, do not issue form PA-32.
- [7. Once form PA-32 is returned, make the payment on OTIS.]

MS 5380

REMEDIAL HEALTH GOODS/SERVICES

(1)

Remedial Health Care Funds are limited. The Family Self-Sufficiency Branch (FSSB) notifies staff when funds for this purpose are available and when the funds are depleted, payments will no longer be allowed. Do not approve requests unless notified of funding.

[These payments are authorized by form PA-32, Authorization of Supportive Services Payment. Workers request approval from the Region's designated individual prior to issuing form PA-32. Payments are made on OTIS as either Remedial Medical Services or Remedial Medical Goods.

When Remedial Health Care Funds are available, the following items or services may be paid for a work eligible individual if needed to participate in a KWP activity. These payments have no specific limit per payment.]

Medical goods and services are not allowed if payable through Medicaid.

Payment can be made for:

- A. Eyeglasses or corrective lenses;
- B. Dentures;
- C. Hearing aids, if not available through Vocational Rehabilitation; and
- D. Medical goods or services required as a condition of employment (e.g., the employer requires a physical exam prior to employment and the individual has already had the annual physical exam covered by Medicaid).

[A drug screening is not paid as Remedial Health goods/services. Drug screenings are paid using supportive services. See [MS 5355](#).]

MS 5385

AUTHORIZATION AND ISSUANCE

(1)

[Payments for supportive services are issued directly to the provider with the exception of some car repair/vehicle related expenses and GED and NCLEX test fees. For procedures concerning GED test fees, refer to item J of this section. The participant is NOT eligible to be reimbursed for payments he/she has already made.

For RN and LPN licensing and testing fees, refer to [MS 5390](#).]

To authorize and issue payments for supportive services, use the following procedures:

- A. Discuss the necessity of the items with the participant.
  1. Obtain verification of the need for supportive services items ONLY if questionable. If questionable for participants in KWP activities, contact the institution or provider to determine if the item is required.
  2. A criminal records check may be paid if the provider's or employer's policy is to require the individual to pay the fee. The participant must provide a completed Kentucky State Police Release Authorization form prior to the completion of form PA-32, Authorization of Supportive Services Payments.

Exception: If a contracted provider is required to pay this fee as stipulated in their contract, payment is not authorized.

- B. Determine on OTIS if the available supportive service funds are sufficient to cover the costs.
- C. Advise the participant of the amount remaining and explore the potential for free or discounted items.
- D. For expenses of \$100 or more, approval must be obtained from the supervisor/designated individual before form PA-32 is given to the participant.
- E. Create form PA-32 on OTIS and list the specific items needed and maximum payment for each item, if free items are not available. List the dollar amount available for the purchase of the items on form PA-32.

EXAMPLE: The participant needs a pair of shoes and a nurse's uniform. Next to each entry on form PA-32 the case manager annotates the expected cost of each: Shoes \$30, uniform \$35.

- G. Instruct the participant to:
  1. Take form PA-32 to the appropriate provider. Ensure the participant understands the form is only good for 30 days. If the form is not used

within 30 days, the participant will need to return form PA-32 and obtain a new form PA-32.

2. Sign the form when the items/services are received and give the form to the provider. The provider must return form PA-32 within 30 days from the date of the issuance of the form. The individual may need to select another provider if a provider will not accept form PA-32. The provider returns form PA-32 along with invoices to the case manager.

H. Once form PA-32 is returned with an invoice, make the payment on OTIS.

- I. If form PA-32 is not returned or lacks an invoice, contact the provider to explain the importance of form PA-32. Ensure the vendor understands if it fails to return the completed original form PA-32, or an invoice, the agency will stop utilizing the vendor to provide goods/services. However, payment may be made on any outstanding invoice to the vendor.

[If form PA-32 is never returned to the local office, do NOT cancel the form. Form PA-32 should ONLY be cancelled if the form is returned to the local office because it is incorrectly issued or no longer needed.]

J. For GED testing and payment, use the following procedures.

1. An individual must first pass the GED Ready test (a practice test) before the individual can take the official GED test. The GED Ready test can be taken free at any Kentucky Adult Education Center. It can also be taken online through the GED website; however, the online tests cost \$6 per segment or a total of \$24. The practice test scores are good for 60 days. The official GED test can only be completed at a Pearson VUE testing center.
2. The fee for the official GED test is \$30 for each segment or a total of \$120 for all 4 segments. The payment is made online by the individual at the time the test is scheduled. Use the following procedure to issue the payment.
  - a. When an individual requests payment for a GED test, ask for the results of the GED Ready test to verify the individual is eligible to take the official GED test.
  - b. Issue form PA-32, Authorization for Supportive Services, to the individual. The payment will be issued to the individual and it will be the responsibility of the individual to pay the GED test fee.
  - c. Once the individual signs form PA-32, issue the payment.】

MS 5388                      SUPPORTIVE SERVICES REFUNDS AND ADJUSTMENTS                      (1)

Use the following procedures for supportive services refunds and adjustments.

- A. When a supportive services provider is paid by the Department for Community Based Services (DCBS) in error and has cashed the check and subsequently refunds either a partial amount or the total amount of the payment, the refund should be made via check made payable to the Kentucky State Treasurer. Forward the check with form PAFS-61, Notice of Returned Check and Authorization for Disposition, to:

Division of Family Support  
Family Self-Sufficiency Branch  
275 E. Main St., 3E-1  
Frankfort, KY 40621  
DO NOT FORWARD

[The Family Self-Sufficiency Branch (FSSB) reviews the case and adjusts the OTIS record. FSSB forwards the check to Division of Administration and Financial Management (DAFM), Fiscal Services Section, for redeposit of the returned funds.

- B. When form PAFS-61 is submitted to cancel an OTIS payment or to refund a partial or complete repayment, FSSB reviews the case to determine the appropriate action. FSSB forwards the check to DAFM, Fiscal Section to cancel the check and redeposit the funds. FSSB adjusts the payment record on OTIS.]

MS 5390

RN AND LPN LICENSING AUTHORIZATION

(1)

[Eligible participants can receive assistance for Registered Nurse (RN) and Licensed Practical Nurse (LPN) licensing and NCLEX exam. Use the following procedures for authorizing payments.

When an eligible participant requests payment to complete the RN or LPN licensing requirements, the case manager issues form PA-32, Authorization for Supportive Services Payments, through OTIS. These fees are authorized for the full amount and are paid one time only.

A. While form PA-32 is issued from OTIS, the charges are not paid through OTIS. These two charges are paid through an inter-accounting process with the Kentucky Board of Nursing (KBN): ]

1. A fee of \$40 to request a paper application from KBN; and
2. The KBN \$110 payment which covers the application as well as education and criminal background reviews.

B. Complete the following steps to authorize payment for licensing with KBN:

1. The participant must complete the request form to receive a paper application and submit to the worker. This form can be found at [http://kbn.ky.gov/NR/rdonlyres/2F44342D-8E10-4DB2-8078-A52C50444FB5/0/paper\\_req\\_exam.pdf](http://kbn.ky.gov/NR/rdonlyres/2F44342D-8E10-4DB2-8078-A52C50444FB5/0/paper_req_exam.pdf).
2. The worker will send the request form with form PA-32 for \$40 to:

Kentucky Board of Nursing  
Attn: Inter-Account  
312 Whittington Parkway, Suite 300  
Louisville, KY 40222-5172

3. [The application will be sent to the participant. The participant will complete and submit the application to the worker. The worker will then send the application along with form PA-32 for \$110 to KBN at the address above.
4. Do NOT pay forms PA-32 for KBN through OTIS. Leave the status of form PA-32 as "obligated" unless verified that the charges have been paid through interaccounting. If payment is verified, cancel forms PA-32.

C. Complete the following steps to authorize payment for the \$200 NCLEX exam fee:

1. When an individual requests payment of the NCLEX exam fee, ask for verification of completion of a nursing program.

2. Issue form PA-32 to the individual after receipt of the verification. The payment will be issued to the individual and it will be the responsibility of the individual to pay the NCLEX exam fee.
  3. Once the individual signs form PA-32, issue the payment.】
- D. Kentucky has two test sites, Louisville and Lexington.
- E. Advise participants to schedule the exam time carefully, since the payment can only be paid once. If the participant schedules an appointment to test and does not appear, BOTH charges must be paid again. Any subsequent test payments as a result of a missed test are the participant's responsibility.
- F. EXCEPTIONS:
1. 【If a participant needs a reinstatement of the Kentucky RN or LPN license or if he/she requires an endorsement, the total cost is the \$110 payment to the Kentucky Board of Nursing. An endorsement is the Kentucky Licensing for an individual who has a license issued from another state. Annotate in OTIS if this is the situation authorized. An NCLEX application form and \$200 payment is NOT required for a reinstatement or endorsement.】
  2. An NCLEX fee of \$200 is charged each time a re-exam is necessary; there is no reduced amount for a re-test.
  3. 【If the participant wishes to receive licensure for a state other than Kentucky, identify the state in OTIS comments.
  4. If an exceptional situation exists and one of the fees will be paid by the participant or another agency, the other party should pay NCLEX and not the Kentucky Board of Nursing. Enter the information regarding why only one payment is needed in OTIS comments.
- G. Payment can be made for other expenses related to obtaining an LPN or RN license.
1. If a participant has been licensed in another state, utilize form PA-32 to pay the processing fee required by the other state to release verification of prior license status. Pay this fee as "other fees" through OTIS.】
  2. If an AIDS course is required for completion of course requirements, pay the course fee which reduces the supportive services balance. The participant can identify approved providers for the course from the institution where the nurse's training was received. The agency may help the participant select the most economical provider.

3. [Payment for the RNET practice state board exam is made through OTIS. A separate form PA-32 is completed for this fee. See [MS 5365.](#)]