Objectives

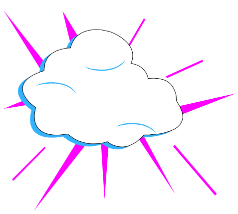
- Participants will discuss the goals, expectations, and basic format of the training program.
- Participants will assess their learning styles.
- Participants will engage in a discussion of the Orientation experience.
- Participants will discuss Welfare Reform.
- Participants will review the Food Stamp Program Employment and Training allocations and mandates.
- Participants will explain some acronyms used in the Food Stamp E&T program.
- Participants will discuss their responsibility in reporting child abuse or neglect.

Training Information

TRAINING SCHEDULE:

Training will begin at 9:00 a.m. and end at 4:00 p.m. with one hour for lunch and both morning and afternoon breaks. In addition to class time, the trainers are also available one hour before class time to answer questions and allow extra practice in the SUCCESS computer lab. If multiple people need assistance, they will need to make an appointment with the trainer.

LEAVE



POLICY:

It is important that you attend training every day. If, however, you must take sick leave or annual leave, you must receive prior approval from your supervisor. The trainer does not have the authority to approve or deny leave. You will be responsible for obtaining the material missed in the event of an absence.

INCLEMENT WEATHER:

In case of inclement weather, the decision of whether to hold training will normally be based on the facility where we are training. If the weather is inclement in your area, please let your county and the trainer know that you will be absent.

FLSA TIME SHEETS:

During training, the trainers will not sign your time sheets. Your county should instructed you on completion. Please make sure you annotate all absences on your time sheet.

MATERIAL:

During training, you will need the following material:

< Economic Support Services Vol. III, Sections 3345, 3350, 3355, 3360, 3365, 3370, 3375, and 3380

< Participant Guide

< Calculator

CERTIFICATES:

Upon successful completion of this course, you will be issued a Certificate from the University of Georgia.

EXAM:

There is one exam which is application oriented. The exam is open-book. All resources (policy manual, participant guide, notes, etc.) may be used. The exam is timed; there will be a review before the exam. An 80% overall grade average is required in order to pass the course. There are some suggestions and study hints in the Participant Guide.

Exam Date: ____________________________

EVALUATION:

A Final Evaluation will be sent to your county director at the end of training. Copies of these reports will be given/mailed to you as well. Refer to the sample copy of this report in your Training Manual.

UNSATISFACTORY PERFORMANCE:

Your performance will be reported to the county as required and it will be their decision as to the action to be taken.

Expectations

Participants will:

- Engage in the learning process by participating in activities and selected exercises.
- Maintain confidentiality.
- Give and receive feedback from each other and the trainer(s).
- Attend every training session and be on time.
- Respect other people s opinions and be courteous. Only one person should talk at a time.
- Examine your current interpersonal style and be willing to learn new skills.

Trainers will:

- Be prepared.
- Be responsive to participants' questions and concerns.
- Create a positive climate that facilitates learning and skills enhancement.
- Begin and end sessions timely.

SUGGESTIONS FOR STUDYING FOR AND TAKING TIMED OPEN-BOOK EXAMS

1. Take notes in class to supplement material already in the manual.
2. When working on exercises, complete all assigned. If you need additional emphasis, complete extra exercises and those not assigned in class. Answer in pencil first, then in ink as class goes over, or answer on a separate sheet and use the questions again as study help before tests.
3. Review class notes and pertinent sections of manual DAILY.
4. Read manual sections relevant to topics covered in class notes. Become familiar with the location of these sections.
5. Review exercises - determine if the concept behind the question is understood.
6. Study with others.
7. Make arrangements with trainer to discuss areas which are still unclear.
8. Study DAILY - do not CRAM the night before an exam!
9. Study as carefully as you would for a closed-book exam.
10. Manage your time wisely during the exam - be aware of the total number of questions and/or forms to be completed. Assign yourself a general time frame for completing each section.
11. Read each situation carefully; identify pertinent data which will help you make policy decisions.
12. Read each question carefully.
13. If you are unable to determine the correct answer, come back to it later. Sometimes another question will remind you of a policy concept. Sometimes you may want to clarify a policy from your manual or notes.
14. Once you have answered a question, do NOT change your answer unless you have SOLID evidence that you answered it wrong the first time.
15. Be sure you have answered every question.
16. If you have a different study method which has been successful for you, USE IT!

DHR

B. J. Walker, Commissioner

Georgia Department of Human Resources • Division of Family and Children Services • David Statton, Interim Director
Two Peachtree Street, Suite 19-490 • Atlanta, Georgia 30303-3142 • 404-657-5202 • 404-657-5105

Date

MEMORANDUM

TO: ____________________E&T Supervisor
____________________ County DFCS

FROM: ____________________, Trainer

SUBJECT: Final Evaluation of Participant in Food Stamp Employment and Training Program New Worker Training

Below is a training evaluation of _________________, who attended this session of the New Worker Training. Please be sure that the case manager receives a copy of the evaluation. All case managers who pass the course will receive a certificate which is enclosed.

If you have any questions about the evaluation, please call Jean Cheese, E&T Unit Manager at (404) 657-9391.

1 = Needs Improvement 2 = Meets Expectations

________ Understands the general purpose of the job.

________ Learning at satisfactory rate of speed.

________ Producing work of satisfactory quality.

________ Producing work of satisfactory quantity (keeping up with the class).

________ Displays appropriate organizational skills.

________ Appropriate use of time in class.

________ Attentiveness in class.

_______ Adheres to rules and policies of class.

________ Interacts appropriately with peers.

________ Interacts appropriately with trainers

GRADES:

Exam Score ____

ATTENDANCE:

Dates absent: **Times:**

ADDITIONAL COMMENTS:

Beliefs That Support the Right Work the Right Way

1. Welfare is not good enough for any family.

2. There is dignity in work whether with the head or hand.

3. Families are capable and responsible for making change happen.

4. Productive partnerships empower families to take charge of their lives.

5. If we want adults to take primary responsibility for the quality of their families' lives, we must encourage self-sufficiency.

6. With proper preparation, support, and supervision, we can help our customers create a more secure employment future for themselves.

7. We can best serve families by telling them, and ourselves, the whole truth as we see it about their strengths and challenges.

Georgia Works Collaboration

Georgia Faces an Exciting opportunity and challenge as we move into the twenty-first century -- to ensure that our state develops a workforce prepared to meet employer demands in an increasingly global marketplace. The Departments of Human Resources (DHR), Labor (DOL), and Technical and Adult Education (DTAE) have unique and important roles in education, training, employment and support to contribute to this effort.

The vision of the Collaboration is a seamless, streamlined service delivery system that provides easy access and value-added service for all customers, the citizens of Georgia. It is the commitment of the Collaborative partners that each of our customers will receive services that support their transition to meaningful, productive employment and advancement through continuous skill development. For each individual who is a customer of these services, the Collaborative commits to provide services that are based on the needs, integrity and personal success of that customer.

During the past decade effective workforce development has become an increasingly important concern throughout our country. The global economy of which we are now a part necessitates that we compete in the worldwide market. This reality in itself requires a well-trained technologically advanced workforce capable of performing in a wide variety of arenas. Meeting this requirement requires that state government agencies partner with one another in order to deliver a cohesive system of complementary services.

Based on a commitment to reduce duplication of services and provide an improved level of service for customers the DOL, DHR, and DTAE entered into a collaborative agreement.

The collaborative initiative began as a joint effort of DHR and DOL in March 1997, with DTAE joining the collaborative in July. The Collaborative Plan was developed by Team: WORK, an interagency work group composed of managers from the state and local levels. Guiding principles include the commitment for each department to:

- Focus on work opportunities for common customers
- Reduce redundancy within and across systems
- Build and strengthen linkages for each service access for our customers
- Increase flexibility and/or remove barriers to improve responsiveness to our customers
- Support existing local coordination successes

Approved by a Steering Committee composed of senior managers from DHR, DOL, and DTAE, the plan lays out goals supported by critical success factors, outcomes, tasks, schedules, responsibilities and potential measures for success. The goals are:

- Develop and Implement Common Intake System
- Create a Common and Shared Assessment System

- Coordinate Case Management
- Establish Mutual Work Readiness Criteria
- Ensure Quality Education and Training for Employment
- Coordinate Job Development and Placement Activities
- Secure and Use Employer Input Regarding Needs
- Provide Linkage of Computer Systems for Data Sharing Across Agency Lines
- Provide Staff Training and Development
-

The Steering Team has given responsibility for implementation of the plan to Team: Work and nine implementation work teams who were charged to develop processes for local and state staff to carry out the plan. In addition, each agency has designated a project manager to assure coordination.

ACRONYMS

ABAWD	-	Able Bodied Adults Without Dependents
AU	-	Assistance Unit
DOL	-	Department of Labor
DRS	-	Department of Rehabilitation Services
DTAE	-	Department of Technical and Adult Education
E & T	-	Employment and Training
ES	-	Employment Services
FNS	-	USDA Food and Nutrition Service
FSP	-	Food Stamp Program
WP	-	Work Plan
TANF	-	Temporary Assistance for Needy Families

EDUCATION AND TRAINING SERVICES SECTION

DIVISION OF FAMILY AND CHILDREN SERVICES TRAINING PROGRAMS

CLASSROOM STANDARDS, EXPECTATIONS AND ATTENDANCE POLICY

As professional employees with the Department of Human Resources (DHR), Division of Family and Children Services (DFCS), all participants in any DFCS training programs must abide by the DHR Standards of Conduct, which set forth acceptable and unacceptable conduct toward peers, supervisors, managers, and clients. Trainees are encouraged to review the DHR Standards of Conduct found at:

http://www2.state.ga.us/departments/dhr/ohrmd/Policies/1201.pdf

The standards and expectations for the professional behavior of trainees in the classroom are as follows:

When Division employees are in training, their conduct must reflect their commitment and service to DHR and DFCS. Time spent in the classroom and in field practice is a normal workday.

Trainers serve in a supervisory role in the classroom. Responding to the trainer in accordance with the DHR Standards of Conduct is standard operating procedure.

Trainees are expected to complete written tests that cover material presented in class.

Trainees are expected to behave in a respectful manner. Examples of behaviors that are unacceptable and will not be tolerated include the following:

- inattentiveness during classroom time as exhibited by holding side conversations, conducting personal business, reading outside material or sleeping
- personal attacks, use of offensive language, argumentativeness, or excessive talking
- use of the Internet for reasons other than classroom activity
- eating food while in the computer lab
- use of cell phones, radios or beepers during class. All such devices must be turned off during class and replies to calls must be made during official breaks.

Engaging in these behaviors or in any behavior deemed disruptive or inappropriate by the trainer may result in an immediate conference with the trainer, notification to the trainee’s immediate supervisor, administrator or director, or expulsion from class. The trainer will confer with the appropriate authority prior to expelling a trainee from class.

Trainees are expected to dress in accordance with Personal Appearance During Work Hours per section IV of the DHR Employee Handbook as follows:

While the Department does not specify a Department-wide dress code, employees are expected to be clean and neat in appearance during work hours. As representatives of the State, employees should present a business-like professional image. Dress code policies may be established by DHR organizational units. In certain types of jobs, employees may be required to wear uniforms.

DHR organizations units may designate specific days as "casual days". Dress on casual days may be less formal, but should always be clean, neat and suitable for the work place.

If lettered or illustrated clothing is worn, it should not promote a particular political, moral, religious, personal or other opinion. Clothing which is obscene, vulgar, offensive or inflammatory is prohibited. Employees may be required to change inappropriate dress or instructed not to wear the same or similar clothing in the future. Employees who do not comply with established dress code standards may be subject to disciplinary action, up to and including separation.

Trainees are encouraged to review the DHR Employees Handbook at:

http://www2.state.ga.us/departments/dhr/ohrmd/Publications/index.html

In addition to adhering to the Classroom Standards and Expectations, the following attendance policies apply to all staff while engaged in any training:

Trainees are expected to arrive on time and adhere to the time allotted for breaks and lunch. If an emergency arises that warrants arriving late or leaving early, the trainee must address the emergency with the trainer in concert with approval from the supervisor.

Annual leave should not be requested and cannot be approved during training. Any exceptions must be discussed with the appropriate authority prior to training. The only acceptable excuses for being absent from classroom training are the following:

Sick leave (e.g. emergency illness or medical appointments for acute illnesses). In the case of sick leave, trainees must notify their immediate supervisor in the county office as soon as possible to report their absence from classroom training.

OR

Court leave (e.g. subpoena to court, unexcused jury duty). In the case of court leave, trainees must obtain prior approval from their immediate supervisor in the county office as soon as possible in order to be absent from classroom training.

The county supervisor or administrator is the only employee who can approve a trainee's leave request. For Centralized Hire trainees, the administrative supervisor is the only employee authorized to approve a trainee's leave request. The trainer/facilitator **will NOT** approve any leave.

The county supervisor must notify the appropriate authority as soon as possible that a trainee will be absent from class due to sick or court leave. The appropriate authority will notify the trainer of the absence.

Trainees absent from class due to approved sick or court leave may be required to make up all or part of the course depending on the length of the absence and the length of the course. This may affect time frames for their completion of training. The appropriate authority will determine with the trainer whether a trainee will continue a course, after consultation with the trainee's supervisor.

For the purposes of determining expulsion from a class, notification regarding leave or continuation in a class, the appropriate contact via an e-mail is:

- For attendance at any Office of Financial Independence training e-mail: OFItraining@dhr.state.ga.us
- For attendance at any Social Services training e-mail: SStraining@dhr.state.ga.us

I _________________________________ have read and understand the Classroom Standards, Expectations and Attendance Policy for DFCS training programs.

Signature ______________________________________ Date ___________________

EDUCATION AND TRAINING SERVICES SECTION

DIVISION OF FAMILY AND CHILDREN SERVICES TRAINING PROGRAMS

CLASSROOM STANDARDS, EXPECTATIONS AND ATTENDANCE POLICY

SIGNATURE PAGE

I, ____, have read and understand the Classroom Standards, Expectations and Attendance Policy for DFCS training programs.

Signature ____________________________________

Date ___________________

MEMO

Re: FLSA Non-Exempt Employees Attending Required Training
May 1, 1995

The purpose of this memo is to provide further directions in reference to what is considered work time while attending required training.

The time spent in training is the actual hours training is in session. (For example: If training is from 9:00 a.m. to 4:00 p.m. with an hour for lunch, the actual work time is six hours.) Breaks are included as work time. However, lunch is not work time unless the employee is performing work during the lunch period. The fact that there is a planned luncheon does not necessarily mean that the lunch period is work time. A planned luncheon or reception after training is not work time unless the employee is specifically required to attend. Homework is not work time unless it's assigned. Trainers should designate a specific time frame for employees to do homework after class. (For example: The trainer ends class at 3:30 p.m. and states for the class to spend one hour after class reading the next day's assignment. This one hour is considered work time.)

Time spent to travel to training and back is considered work time regardless if the employee is driving or traveling with someone. The time it takes the employee to travel from home to the regular work site may be deducted.

FLSA is not concerned with work periods when less than 40 hours of work is performed. If hours spent in training, traveling to and from training and assigned homework add up to less than 40 hours, pay the full salary for that work period. Unless the employee habitually works less than 40 hours or the hours of work become a disciplinary matter, consider that the State requirement for a 40 hour week may be averaged over a three-month period. If the employee actually works over 40 hours in a work period after all adjustments for leave or time off are made, then overtime must be paid.

Time sheets should be kept by each employee attending training and signed by the employee and the employee's supervisor, not the trainer. The time sheet is an agreement between the employee and their supervisor, not the employee and trainer.

This information should be shared with all staff before they are required to attend training. If you have any questions regarding this matter, please contact the DFCS Employee Relations Unit.

THE DEPARTMENT OF HUMAN RESOURCES
SERVICE MODEL

OUR MISSION:
To strengthen Georgia's families – supporting their self-sufficiency and helping them protect their vulnerable children and adults by being a resource to their families, not a substitute.

VALUES:
- Do not accept welfare and total dependence on government for any family.
- Expect adults to work.
- Be a resource and support, not a substitute, for families.
- Expect every consumer to invest/participate in their own recovery.
- Serve people as close to home, family and community as possible.
- Give customers as much control over getting the information they need as technologically possible.
- Use data and information to help make decisions.
- Do not accept "business as usual" – it's not good enough.
- Spend government money like it's our own.
- Treat customers as if they were our own family.
- Make it faster, friendlier, easier for people to deal with us.
- Reward our workforce for performance.
- Deliver services as if we were not the only one who could do that work.

Goal of DHR/DFCS Staff:

- **Working/Self-Sufficient Customers:**

  Increase the number of DHR families achieving self-sufficiency through work or work related activity.

- **Home/Community-Based Services:**

  Increase the supply and use of home and community-based human services.

- **Technology Access:**

  Increase customer and staff access to information that improves productivity.

- **Employee Engagement:**

  Improve DHR employee engagement with customers.

- **Prevention:**

  Increasing the number of Georgia citizens engaging in healthy, pro-social behavior.

DFCS Focus:
Develop Strong Families

Developing strong families means:

- ☑ Ensuring safety, permanency and well-being for Georgia's children
- ☑ Keeping kids safe
- ☑ Keeping kids happy, healthy and learning with families and in their communities
- ☑ Keeping adults providing for their families by working, weighing options and learning to effectively problem solve
- ☑ Keeping the elderly healthy and connected to life affirming activities.

The Right Work the Right Way

- ❖ Making our services faster, friendlier and easier to all Georgians
- ❖ Incorporating values into the work we do
- ❖ Building trust by showing genuine interest in learning about and understanding the family
- ❖ Engaging customers in the most effective and efficient way
- ❖ Focusing on the entire family unit to motivate, remove barriers and weight options
- ❖ Empowering customers with options that will provide positive outcomes and produce movement in their lives to help strengthen their families
- ❖ Working in unison with Social Service Case Managers and other organizations to secure the support and resources needed by our families.

Your Responsibility in Reporting Child Abuse or Neglect (MR 2015)

ALL DFCS EMPLOYEES ARE REQUIRED BY LAW TO REPORT CHILD MALTREATMENT OR SUSPECTED ABUSE.

Even though your contact with a family may be limited to short office visits and telephone calls, you could observe or receive information that warrants a referral to child protective services.

ANY SUSPECTED ABUSE OR NEGLECT MUST BE REPORTED.

Your responsibility will be to report anything that you suspect is abuse. This includes but is not limited to the following:

1 observing physical signs (ex., bruises, black eye) on a child during an interview
2 observing abusive action during the interview
3 someone discloses information during the interview
4 someone discloses information during a telephone call

IF IN DOUBT, REPORT - ALWAYS ERR ON THE SIDE OF THE CHILD

CPS intake workers will screen all reports and determine whether to assign for investigation.

ALL REPORTS SHOULD BE MADE VIA TELEPHONE CALL AND FOLLOWED UP IN WRITING AS SOON AS POSSIBLE

If someone tells you of abuse during the interview or in a telephone call, connect them with the CPS intake unit at that time if possible. It is always best for the CPS worker to talk with the person who has the most knowledge. If you suspect the abuse, you need to call CPS. Always follow up in either situation with a Form 713 and route to CPS intake in your county. Keep a copy of the Form 713 for your record. If the child who is reported as being abused lives in another county, your CPS intake staff will follow up with notifying the correct county.

INCLUDE AS MUCH INFORMATION AS POSSIBLE IN THE REFERRAL

1 Child's name, age and address (and current location, if different from address)
2 Parent's name, address and telephone number
3 Reason for the referral (observation or information disclosed)
4 Reporter's name, address, telephone number and relationship to the problem.

IF SOMEONE ELSE DISCLOSES THE INFORMATION THAT WARRANTS THE REFERRAL, THEY DO HAVE THE RIGHT TO REMAIN ANONYMOUS

CPS Referral Situations

Situation 1: Client comes in for a Food Stamp review and brings her two children with her. One is four and the other is six months old. Both get restless during the interview and begin crying. The client screams at the four-year-old to stop crying. You notice he screams and shrieks back in terror. You observe bruises on his cheeks and his arms. She picks up the baby and shakes her roughly also telling her to be quiet. You notice also that there are bruises on the baby's legs.

Action to be Taken: Try to calm the client down and help with the children. Do not confront the client about her inappropriate behavior. Call CPS intake immediately after the interview and follow up with a Form 713.

Situation 2: An absent parent for one of your clients calls you because your client asked him to verify the child support he sends to her. He is angry and tells you he does not want his child receiving any public assistance because he provides for his child. He says if DFCS wants to do something they should give custody to him because he states your client uses and sells drugs and is not providing a safe place for the child to live. He says his child (age 6) has called him numerous times to come and pick the child up. When he got there your client was "out of it".

Action to be Taken: Encourage the absent parent to make the referral and transfer him to the CPS intake unit if he agrees to this. You will also need to call CPS intake. Then, follow up with a completed Form 713.

Situation 3: A mother and her three children come into your office. The mother says, "I cannot handle these kids any longer and I want you to take them!" The mother insists that DFCS take the children now. The client appears agitated and upset. She starts weeping and says she is sick. She says we must take the children.

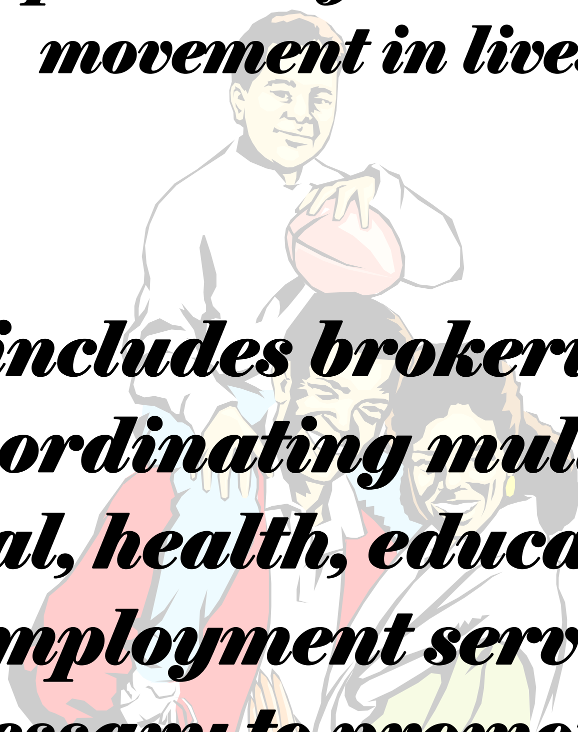
Action to be Taken: You alert your supervisor about the situation and then you call CPS intake to arrange for someone from Services to come right away and talk to the client. Follow up with a Form 713.

Objectives

- Participants will discuss the definition and philosophy of Case Management
- Participants will review the basic principles of Case Management
- Participants will review the basic components of the Case Management process
- Participants will discuss and utilize the strengths perspective in Case Management
- Participants will discuss the Core Functions of Case Management
- Participants will explain how culture influences service delivery and how to use this knowledge in carrying out a culturally sensitive case management approach.

What is Case Management?

It is the process by which we create movement in lives.



It includes brokering & coordinating multiple social, health, education & employment services necessary to promote self-sufficiency & strengthen family life

□□□

Case Management Philosophy

- Λ Self-sufficiency of each ABAWD is our goal.
- Λ ABAWDs are capable of taking control of and responsibility for their own lives.
- Λ ABAWDs have strengths and resources which should be acknowledged and built upon.
- Λ The case manager-ABAWD relationship is a joint venture where decisions are mutually negotiated and agreed upon.
- Λ The ABAWD should be actively involved in all phases of the employment plan.
- Λ Change and self-sufficiency is the ABAWD s ultimate responsibility.
- Λ The ultimate goal is the employment of the ABAWD.

Basic Principles of Case Management

- T Focuses on the ABAWDs' strengths as well as their immediate and long-term needs.
- T Emphasizes an ABAWD s need over the confines of the existing service delivery systems.
- T Presents the ABAWD with a systematic approach for identifying and achieving personal and professional goals.
- T Strives to simplify ABAWDs' interactions with complex delivery systems.

□□□

Case Management Process
Outreach: Letting People Know

Actions:

- Educate the community
- Engage the community
- Foster community awareness about our programs and the services we provide
- Accept the initial statement of need by the client
- Engage our clients immediately
- Educate our clients
- Provide to our clients an overview of our programs and services
- Discuss alternatives to dependency on government assistance and discuss the resources that can help end dependency
- Target points of contact for our clients in the community
- Enable our clients to make informed choices (diversion)

Principles:

- Case management begins with letting people know that you are available and are able to help.
- Outreach takes many forms. Effective outreach results in people (including other case managers) believing that you are able to help, and in what ways you can help. Ineffective outreach makes promises that cannot be delivered, and gives information that is incomplete or inaccurate. Uninformed staff cannot do effective outreach.
- Outreach is the first opportunity to let people know that things have changed and that the old idea that people are entitled to welfare if they qualify, has been replaced with the idea that people have responsibility for their own well-being. Effective outreach begins this “change of mind” process.

Case Management Process
Making a Connection: Receiving a Case

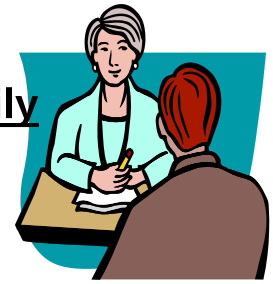
Actions:

- Receipt of an application for assistance
- Screening (SUCCESS, OCP, etc.) and registration on SUCCESS
- Information and referral – obtaining information from a family; giving information to the family about process; referral to move forward in the process or to move elsewhere if the client so chooses.

Principles:

- This is the point at which the client formally enters the management process. At this point, effective case management requires that the client chooses to participate.
- This can be the point at which it is determined whether the client is appropriate for the program/services in which they are choosing to participate. Intake and the eligibility determination are commonly part of this step.
- Whether or not the client remains in the process, it is important at this point that the case manager gathers enough information so that subsequent contact can be made.
- At this point, effective case management centers on sufficiently engaging the client to make sure that she is in the right place to receive what she is signing up for.

Case Management Process
Assessments: Learning About the Family



Actions:

- Relationship-building and customer-engagement
- Fact – finding mission
- Assessment from completion or review of “Risk-Assessment,” if applicable
- Process of verifying information that has been gathered.

Principles:

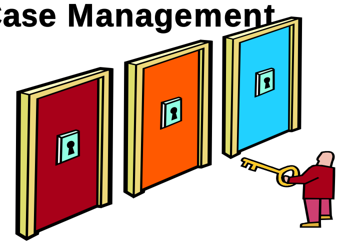
- Because case management is not merely about determining eligibility for assistance, effective assessment becomes crucial as the foundation for everything else that follows.

- Effective assessments are interactive with the client and allow the worker to understand the client’s (families) current situation regarding the goals of the program. If the program is focused on employment, the assessment has to gather information regarding readiness for employment, employment history, and current or potential barriers to employment.

- Effective assessments are never achieved by the client or case manager operating in isolation from one another.

- Effective assessments provide the information that is needed to develop as plan. Ineffective assessments obtain unfocused or irrelevant information, and can be unnecessarily intrusive into the client’s life.

- The most effective assessment process result in the client understanding his own situation better, including the strengths and resources he has.



Case Management Process

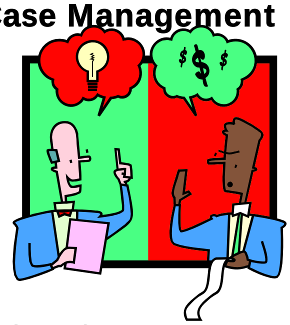
Case Planning: Reviewing, Analyzing, Deciding

Actions:

- Prioritize goals and objectives identified during the assessment phase.
- Identify types and duration of existing barriers.
- Develop a service action plan that outlines steps necessary for movement towards goal and that identifies service level (not job-ready, near job-ready, or job-ready).
- Complete the final eligibility functions on SUCCESS.

- **Principles:**

- Case planning is the process of establishing goals and the steps to reach those goals. Effective case planning is dependent upon effective assessments.
- After gathering information, the case manager has to pull the information together in a way that answers the question: "What does this all mean?" The information has to be reviewed and analyzed, and conclusions drawn.
- In programs that offer different services to people with different levels of need, this is the point at which the determination is made about the appropriate level the person fits into (e.g. job readiness levels).
- At this point, effective case management means the provision of clear, consistent direction as decisions are made regarding the provision of services.
- At this point, the supervisor should discuss with the case manager the information gathered so far, and should provide direction about the case decisions to be made.
- Effective case planning requires that the worker and the client are clear and agree upon the ultimate goal of their work together. What they agree upon must, however, be compatible with the goals of the program.
- Goals must be prioritized. People cannot work on everything at once.
- Goals must be achievable. Someone who has never worked should not have as their first goal to go out and find a job.
- The most effective case plan allows the client to experience successes on the way to their ultimate goal.



Case Management Process

Job Readiness Levels

NOT JOB-READY – This level means that the client is not job-ready now, and will likely not be job-ready for 6 months to one year. During this time, the case manager will engage the client with services that will remove or significantly reduce major barriers to employment. The client may

- have major mental or physical illness
- have long-standing, severe substance abuse problems requiring in-patient treatment
- have significant literacy deficiencies that prevent employment
- be non-compliant/sanctioned.

NEAR JOB-READY – This level means that the client is not job-ready now but can be job-ready in three to six months. During this time, the case manager will engage the client with services that will remove or significantly reduce these minor barriers to employment. The client may

- have substance abuse issues appropriate for short-term outpatient treatment / unable to pass drug screen
- have minor mental health illness or mental health illness treatable with medication
- have functional impairment caused by severely low self-esteem or other issues
- lack child care
- lack reliable transportation
- have poor hygiene
- lack skills
- have treatable health problems.

JOB-READY – This level means that the client is ready to fully participate in activities that will lead to immediate employment. (Note – Based on the caseworker's judgment. Not all basic factors* must be included. A combination of the basic factors for an individual would decide if that individual is job ready.)

- The client is motivated to work toward a goal or is motivated to avoid an unwanted circumstance.

- The client has a work history that would not deter the client from being hired.

Basic requirements for successful employment are in place – the client has a diploma/GED, reliable transportation, child care, can pass drug screen and is physically fit for work (perhaps with accommodations).

Case Management Process

Resource Identification: Matching Needs with Resources

Actions:

- Resources appropriate to the client's needs are identified, accessed, and matched to the client
- Engagement of service providers on behalf of the client
- Coordination of services for the client
- The client takes responsibility for keeping appointments and following through
- Staff follow-up to verify customer follow-through and to make sure that the client received needed services.

Principles:

- At this point in the case management process, the case manager's most important job is to identify and secure the resources needed by the client.
- Optimally, each case manager should know the range of resources needed by their clients.
- At this point, effective case management requires that the case manager establishes a relationship, if one does not already exist, with the provider of the service for which the client will be referred.
- Any connection of a client with a service, whether it is inside or outside of the agency, is a referral.
- Clients should never be given a "blind" referral, i.e., sent somewhere without the case manager having checked on the availability and appropriateness of the service for the client's needs.
- Referrals must always be verified – that is, the worker must always find out from the provider that the client has made the connection and received the service.
- Clients should never be overwhelmed with referrals, e.g., being sent to five different places in one month.
- Referrals for service must be consistent with the case plan. Clients should not be sent for mental health treatment when the service plan says nothing about mental health needs. Conversely, if the service plan indicates the need for a certain service, there should be referrals made to address the need.
- Some things don't require a referral. E.g., it is not necessary to formalize recommending that a client find out the public transportation schedule to a potential place of employment.

Case Management Process

Follow-up and Monitoring: Revisiting the Case Plan

Actions:

- Monitor, on an ongoing basis, the client's progress toward the goal
- Reassess level of service required (not job-ready, near job-ready, job-ready)
- Readjust goals based on progress/accomplishment
- Teach problem-solving skills and self-advocacy skills
- Provide worker feedback, reinforcement, and encouragement
- For as long as a case remains active, maintain focus on the progress the client is making toward reaching the goal.

Principles:

- This is where the "management" part of case management really applies. The case manager is really "working" with the client to achieve their goals.
- Maintaining engagement after the initial case plan and action steps are taken is critical to keeping the client moving. Actually, helping the client create and sustain movement is what follow-up and monitoring is really about. Monitoring is far more than merely "checking up on" the client.
- During the follow-up and monitoring phase, it may become necessary to re-assess the client's status and needs and to re-visit and revise the case plan.
- Case managers need to have mechanisms in place to prompt them to contact and follow-up with their clients on a regular basis. Timeframes for follow-up contacts should be established. People can easily fall through the cracks during this phase.
- Case plans must be reviewed, updated, and revised according to the client's progress.

Core Functions of Case Management

Assessment of ABAWD's Needs/Skills	Development of a Work Plan
Arrangement/ Coordination of Services	Follow-Up

Case Study:

The Cortes Family

Mr. Juan Cortes receives Food Stamps for himself, his wife Consuela, his son Gustavo, and his daughter Maria. All are eligible aliens.

Mr. Cortes, age 54, works at a poultry processing plant.

Mrs. Consuela Cortes, age 53, is a homemaker and has never worked outside the home.

Gustavo Cortes, age 25, works as a construction laborer 40-50 hours per week.

Maria Cortes, age 23, assists her mother in homemaking duties.

Objectives

- ⇨ Participants will review the Family Independence Case Manager’s responsibilities in the Food Stamp Program.
- ⇨ Participants will discuss the E&T Case Manager's responsibilities in the Food Stamp E&T Program.
- ⇨ Participants will review work registration exemptions.
- ⇨ Participants will identify who is an ABAWD and which ABAWDs meet the 15% Participation Exemption.
- ⇨ Participants will demonstrate their ability to determine work registration exemptions and participation exemptions.

Forms

- ⇨ 492, Communication Form
- ⇨ 830, Food Stamp Employment and Training (E&T) Program Facts

Food Stamp Work Requirements

Family Independence Case Manager Responsibilities

Determine **EXEMPT** or **MANDATORY** Status for **EACH** AU Member

Provide Orientation to E&T Program

Provide Copy of **Form 830** to **All MANDATORY** Registrants

Determine ABAWD Status

Grant 15% Participation Exemption, **if appropriate**

Complete Work Screen:
Review / Change Any System-Determined Work Status
Code ABAWDS Correctly

Determine Eligibility For Food Stamps

Track Months of ABAWD Eligibility

Communicate Changes To E&T CM via Alerts

Determine Good Cause for Failure to Comply with Work Requirements

Impose E&T Sanctions For Failure to Comply

Work Registration Exemptions

(An exempt AU member is not required to comply with FS work requirements.)

Food Stamp Exemptions	**SUCCESS Exempt Reason Code**	**SUCCESS Work Status Code**
Under age 16	AG	NI
Age **16-17** and not head of AU	AG	NI
Age 60 or older	AG	NI
Student enrolled at least half-time in any school or training	ST	NI
Refugee participating in a recognized refugee education/training program at least half time	RF	NI
Caretaker of a dependent child under age 6. The child does not have to be in the FS AU or reside in the same home.	CA	NI
Caretaker needed for a incapacitated individual. Verify with Medical statement. The incapacitated individual does not need to be AU member or in the home.	CA	NI
Temporarily ill/ unfit for employment with medical verification	TI	NI
Receiving or certified for a temporary permanent disability benefit (SSI, RSDI, 100% VA, Railroad Retirement, Worker's Compensation, etc.)	FE	NI
SSI/FS initial application filed at SSA. Verification of SSI application status not required if information is forwarded from SSA	SS	NI
High risk pregnancy must be verified by medical statement	PR	NI
IPV and SSN disqualified, ineligible AU members	AD	NI
Employed (includes self-employment) an average of 30 hours a week on a job expected to last at least 30 days.	EM	NI
Receiving weekly earnings equivalent to 30 hours times the federal minimum wage (includes self-employment)	EM	NI
Seasonal (migrant or non-migrant) farm worker who is under contract to begin work within 30 days	MI	NI
VISTA volunteer	V V	NI
Regular Participant in a drug addict or alcohol treatment or rehabilitation program	DR	NI
Receiving, applied for or approved for Unemployment Compensation Benefits (UCB). Verification of application for benefits required if questionable.	UC	NI

Registered and complying with TANF Employment Services.	PC	NI

Note: **An AU member, between the ages of 16 through 59, who does not meet one of the exemption criteria is a <u>M</u>andatory <u>Re</u>gistrant**

An ABAWD is someone who is:

- a mandatory E&T registrant (in other words - not exempt),

AND

- age 18 through 49

AND

- not pregnant,

AND

- not physically or mentally unfit for employment,

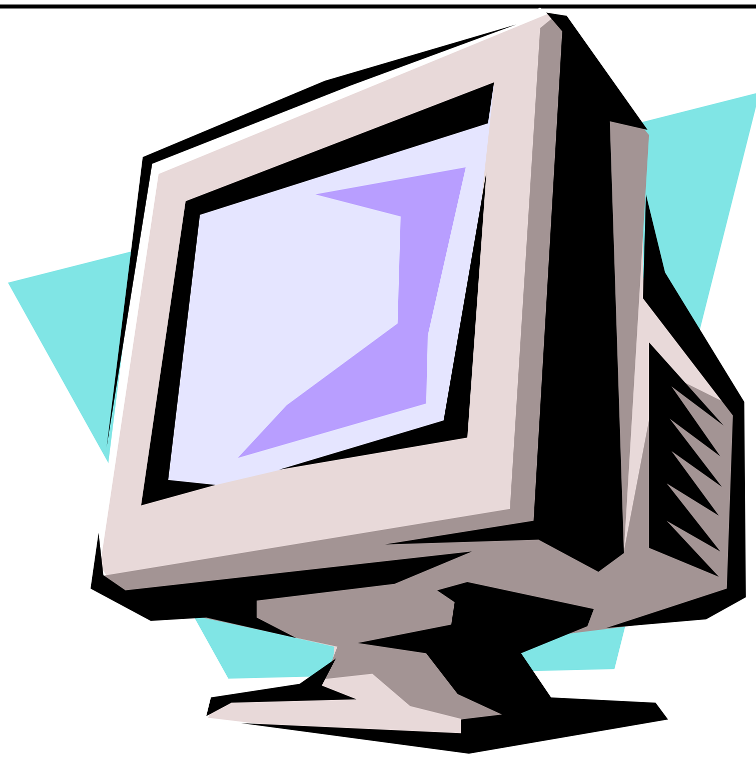
AND

- not included in the AU with a child under age 18.

Work Registration Status Codes

- **AB** Mandatory ABAWD in a non-exempt area (not covered by the ABAWD waiver or 15% ABAWD exemption)
- **AE** ABAWD in an Exempt area (covered by the ABAWD waiver or 15% exemption)
- **FP** ABAWDS in counties exempt by 15% exemption because a major city is exempt by the ABAWD waiver.
- **MR** Mandatory Registrants that are not ABAWDS
- **RA** Mandatory ABAWD refused to cooperate with ABAWD requirements (also enter offense number on WORK screen)

Note:	**RA will change financial responsibility code to SA (sanctioned) and STAT reason will be based on what violation number is entered on the SUCCESS WORK screen.**



```
CHANGE                    WORK REGISTRATION/PARTICIPATION - WORK              WORK 01
Month 02 01                     0098          01 03 01
Client Name JUDY  CARTER                                    Client ID   191713500
             - - - - - - - - - - - - - - - Employment Services - - - - - - - - - - - - - - - -   Applicant        Job Search
Exempt                     Partic      Num       Comp       Supp  DA/PE       Non-Partic       AJS Start
Reason        Stat     V     Date       Offns      Req        Work              Reason             Date
  CA
  FS          AB      CS   01 03 01                                                OT

             - - - - - - FS ABAWD Non-Compliance - - - - - -
  High School               Non-compliance      Regain        Dates         2nd 3 months
  Grad/GED                  Bnft      mth/yr      Start         End           Bnft     mth/yr
     N                      1
                            2
                            3

  Message
     16-esme                17-mo< 18 - mo>                  23 - alau
```

Note: **SUCCESS will create an ESPR screen when the case is finalized if the STAT field is coded "AB" and the Applicant Non-Partic Reason field is coded OT.**

If <u>OT</u> is not entered, an error will appear for the AJS Start Date field. DO NOT fill in an AJS Start Date. Enter OT in non-partic reason field.

Food Stamp E&T
Participation Requirements

E&T Case Manager Responsibilities

Provide employment services case management for all ABAWD registrants

Screen Referrals

Schedule appointment with ABAWD

Conduct orientation and assessment within 10 days of referral.
Enter information in SUCCESS

Determine if ABAWD is eligible for Registration/Participation Exemptions

Complete WP and arrange for ongoing participation
Enter information in SUCCESS

Monitor Compliance with participation requirements

Determine Good Cause for non-compliance with participation requirements

Communicate changes to FS worker within the appropriate SOP

Terminate E&T case when appropriate

Date ______________

ABAWD PARTICIPATION APPOINTMENT NOTICE

Dear ____________________:

Congratulations, it is time to begin your participation in Employment Services. Participation in work, education or training activities is required for you to receive Food Stamps. You are being offered a work experience since you are not currently working, in school, or in training. Space has been reserved for you to begin your work experience participation at the Department of Family and Children Services on _______________ at ______________.

Please plan to stay at this office for 2-4 hours. During your initial work experience participation you will be required to perform duties such as filing, organizing files, typing, or a variety of other duties. In addition to performing your work experience duties, you will learn about job placement assistance and other education and training resources.

Also, you will learn of other community resources which may be used to help you prepare for employment. Assignment to another work experience sponsor or an education or training activity may be provided for future participation. Support services such as transportation will be provided or arranged to help you participate.

We look forward to helping you reach your employment goal. If you have questions, please call your caseworker. Your caseworker's Load ID number and phone number are listed below. If you are unable to begin your work experience participation on the date assigned, you MUST contact your caseworker shown below before that date.

Again, we welcome you to begin your participation in Employment Services on
at _______________ the address shown above unless a different location is noted below.

Caseworker: ___________________ Address: ______________________

Caseload ID: ___________________ ______________________

Telephone: ____________________ ______________________

Orientation to E&T Program

- Purpose of the E&T Program
- Program Components
- Participant Requirements
- Rights and Responsibilities of participants
- Support Services
- Resource List - Employment/Training

15% Participation Exemption for ABAWDS

Some ABAWDs in non-exempt counties will meet the "15% Participation Exemption."

These ABAWDs meet one of the following criteria:

- Are **homeless** and their primary residence is a homeless shelter or a place not ordinarily used as a regular sleeping accommodation (e.g. car, hallway, viaduct, bus station, etc.).

- Are unable to be placed in any training or work experience activity due to their current circumstances (e.g. ex-offender status or problems in the past in the community). Note: exemption requires approval from FS Program Specialist.

Recording Ongoing 15% Exemption:

- **Document the reason- "ABAWD 15% Exemption granted due to (reason)" on ESPR, WORK, and REMA screens. If unable to place and exemption is granted, document all efforts to place ABAWD.**

- **Close ABAWD on ESPR screen with reason "FPE".**

- **Leave the ABAWD work status code "AB" on the WORK screen.**

Review of Ongoing 15% Exemption:

- **Review the homelessness or unable to place exemption at the next annual registration referral or initial application, unless a change in work status is reported prior to then.**

15% Participation Exemption for ABAWDS
(continued)

- Have received an historical non-compliance month(s) due to SRR case. Exemption is granted only for historical month(s); ABAWD must be referred to an appropriate activity for the ongoing month.

Recording Historical 15% Exemption

- **Due to SRR**
- **Create a step on the Work Plan (ESWP) for Job Search Initial (JSI).**
- **Enter "Historical/temporary exemption due to SR or Agency Error in the Services Need Field."**
- **Enter "Receive 15% participation exemption for SR or Agency Error in the Participant Will field."**
- **Enter "Grant 15% exemption for (specify months)" in the 'Agency Will' field.**
- **Document granting the exemption on the REMA screen for ESWP.**
- **On ESAC screen for JSI, enter status "X" for never enrolled, enter actual Begin and End Dates as the first day of the month(s) the data is being entered and "DFCS" as the provider.**

An Overview of Handling ABAWD Cases

Steps completed by the E&T worker are in bold

STEP 1: Determine if the individual is a mandatory registrant.

STEP 2: Identify Able-bodied Adults Without Dependents.

- ✧ Is the individual mandatory for E&T?
- ✧ Is the individual not in the AU with a child under 18?
- ✧ Is the individual not pregnant?
- ✧ Is the individual physically or mentally fit for employment?

STEP 3: Assign an appropriate SUCCESS code on WORK screen.

STEP 4: Assign a SIX month Period of Eligibility.

STEP 5: ***Schedule an interview with ABAWD for orientation, assessment, and work experience offer.***

STEP 6: ***Complete the orientation/assessment interview.***

STEP 7: ***Determine ABAWD participation activity.***

- ✧ **Working an average of 20 hours per week (80 hours averaged monthly - to be monitored by FICM at FS review)**

OR

- ✧ **Participating in Education or Training 20 hours per week**

OR

- ✧ **Performing work experience hours based on the FS allotment divided by minimum wage**

STEP 8: ***Arrange for ABAWD to participate in the activity.***

- ✧ **If work experience is chosen, ABAWD must begin on the day of the assessment appointment.**

STEP 9: ***Complete a Work Plan with ABAWD based on activities selected.***

STEP 10: ***Provide support services****.*

STEP 11: ***Monitor participation in the activity each month.***

- ✧ If the ABAWD is Working (20-29 hrs/week), verify hours worked for each month at FS review.
- ✧ **If the ABAWD is in an Educational Activity or Training,** verify satisfactory progress and 20 hours per week attendance every month.
- ✧ **If the ABAWD is in Work Experience,** verify hours in the work experience activity, satisfactory performance, and no unexcused absences every month.

STEP 12: **Take action if the ABAWD fails to participate without Good Cause.**

- ✧ Failure to participate without good cause **WILL** result in:
  - ➔ E&T sanctions

AND

  - ➔ Non-Compliance Month(s)

STEP 13: **Report ABAWD Participation/Exemptions/Sanctions in SUCCESS.**

- ✧ Completed by FS Worker and/or E&T worker.

Exercise:

Work Registration Exemption, Mandatory Registrants, and ABAWDS

Instructions: The following is a list of 14 FS Assistance Units. Complete the following steps on TM -17:

Step 1: Identify the individuals who meet a work registration exemption and indicate the SUCCESS exemption reason code.

Step 2: Identify the individuals who are mandatory registrants.

Step 3: From the list of mandatory registrants, identify ABAWDS.

1. Mr. Johnson lives alone; he's 36 years old. His only income is Compensation Benefits (UCB).

2. Ms. Davis is 29, she lives with her niece who is 12. Their only income is child support. No one else is in the AU.

3. Mr. Harris is 43, lives with his sister Karen Harris (41) and Karen's children Bonita (16) and Vera (12). The AU receives FS benefits together. Mr. Harris has no income; Karen receives TANF for herself and her children.

4. Ms. Carmichael is 19 and pregnant; she lives alone. She has no income; her parents pay her rent.

5. Mr. Segall is 54; he lives alone. He has no income.

Exercise:

Work Registration Exemption, Mandatory Registrants, and ABAWDS **(continued)**

6. Ms. Sarah Ford is 26; she lives with her sister Betty Ford (24). Sarah and Betty have only contributions and loans for income. They receive FS benefits together. Ms. Sarah Ford cares for her disabled mother who lives in the next apartment. Ms. Sarah Ford provides medical verification that care is needed.

7. Mr. Gordon is 31; he lives with his 8-year-old daughter. Mr. Gordon is employed full time.

8. Mr. and Mrs. Harmon are 23 and 24 years old and both are unemployed. They live with Mrs. Harmon's parents, who do not receive FS benefits.

9. Ms. Cunningham lives with her daughter, Eva (16), and her two sons Harold (19) and Richard (23). They all receive FS together and Ms. Cunningham and Eva receive TANF. Harold and Richard have no income. Eva works part time after school.

10. Ms. Burns is 25; she lives in the home with her brother, John Burns, sister-in-law, Meg and her niece, Jane. John, Meg and Jane do not receive FS benefits.

11. Ms. Brown is 31; she lives alone and is participating in a certified outpatient drug treatment program.

12. Mr. Wilson is 17 years old and is married to Kim, who is age 16. Mr. Wilson dropped out of school when he was 16.

13. Ms. Dobbs is 42; she sleeps at the bus station.

14. Mr. and Mrs. Jenkins are ages 32 and 30 respectively. They have a two-year old daughter and they are both looking for work.

Exercise:

Work Registration Exemption, Mandatory Registrants, and ABAWDS (continued)

Step 1: Exempt Individuals	Step 2: Mandatory Registrants	Step 3: ABAWDS

Food Stamp Employment Training

Training Manual

Participation Activities

Objectives

- ⇨ Participants will review the education and training activities that are available through the E&T program.
- ⇨ Participants will identify the minimum participation requirements and satisfactory progress definition for each activity.
- ⇨ Participants will identify verification forms used to document participation in activities.
- ⇨ Participants will calculate hours of participation for ABAWDs participating in Work Experience.
- ⇨ Participants will explain how to place ABAWDs in qualifying work activities and report these activities.

Forms

- ⇨ 482, Work Experience Agreement
- ⇨ 495, Job Search Record
- ⇨ 516, Record of Attendance and Performance Report
- ⇨ 517, Record of School Attendance and Performance Report
- ⇨ Business Associate Agreement

Determining the Work Requirement For an ABAWD

The ABAWD **MUST** comply with the ABAWD work requirement, which includes either:

- ✓ Working an average of 20 hours per week (80 hours averaged monthly)

OR

- ✓ Participating for at least 20 hours per week in training or education activities

OR

- ✓ Performing work experience for the required number of hours per month as established by the following formula: FS allotment divided by minimum wage ($5.85). Always drop fractions of an hour.

Example 1: ***FS allotment = 162 ÷ 5.85 = 27.69 = 27 hrs/mo.***	***Example 2:*** ***FS allotment = 500 ÷ 5.85 = 85.47 = 85 hrs/mo.***

Note: ABAWDs participating in work experience are NOT assigned another qualifying activity; the work experience meets the ABAWD work requirement.

Maximum participation in all E&T activities must not exceed 120 hours per month.

Employment and Training Qualified Component Activities

ACTIVITY/SUCCESS CODE	MINIMUM PARTICIPATION REQUIREMENTS	SATISFACTORY PROGRESS REQUIREMENT	VERIFICATION REQUIREMENT
Work Experience/WPU	Household FS allotment divided by federal minimum wage ($5.15) rounded down	Satisfactory rating or better from work site supervisor. No unexcused absences	Form 516, Record of Attendance and Performance- submitted monthly by the 5th.
Basic & Remedial Education/ GED or GOA	20 hours/week minimum	Improve one grade level every three months	Form 517 submitted monthly by the 5th.
GED Preparation/ GED or GOA	20 hours/week minimum	Improve one grade level every three months	Form 517 submitted monthly by the 5th.
Education in English Proficiency (including English as a Second Language)/ESL	20 hours/week minimum	Improve one grade level every three months	Form 517 submitted monthly by the 5th.
Post Secondary Education / COL	20 hours/week minimum	Maintain 2.0 GPA per quarter/semester	Form 517 submitted monthly by the 5th.
Vocational Training/VOC (Sponsored by DTAE)	20 hours/week minimum	Maintain 2.0 GPA per quarter/semester	Form 517 submitted monthly by the 5th.
Job Skills Training/JST Provides participants with vocational skills	20 hours/week minimum	Progress according to standards set by training provider	Form 516 submitted monthly by the 5th.

Employment and Training Non-Qualifying Components
Allowable provided the Work Plan includes participation in a qualified activity.

ACTIVITY/SUCCESS CODE	PARTICIPATION REQUIREMENTS	SATISFACTORY PROGRESS REQUIREMENT	VERIFICATION REQUIREMENT
Job Search Secondary JSS	Less than 50% of the total hours required in a qualified activity. One completed job application is considered one hour of participation	Completion of minimum job contacts	Form 495, Job Search Record submitted by the 5th of each month
Job Readiness Training JRE	Less than 50% of the total hours required for the qualifying activity	Satisfactory progress as defined by the program requirements.	Form 517, Record of School Attendance and Performance submitted by the 5th of each month

BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement is made and entered into by and between the Georgia Department of Human Resources ("DHR"), acting through the County Department of Family and Children Services, and the Business Associate named below. The parties acknowledge that DHR is "Covered Entity" under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (HIPAA) and the Standards for Privacy of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 ("Privacy Rule"). The Privacy Rule requires DHR to obtain satisfactory assurance that Business Associate will appropriately safeguard the privacy and provide for the security of Protected Health Information ("PHI") within Business Associate's possession, custody or control. Business Associate is a Business Associate of DHR as that term is defined under HIPAA and the Privacy Rule. Accordingly, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, in order to establish the permitted and required uses and disclosures of PHI, the parties agree as follows:

Business Associate will not use or disclose PHI except as permitted or required by this agreement or by law, and when using or disclosing PHI, will make reasonable efforts to limit PHI to the minimum necessary to accomplish the intended purpose of such use or disclosure. Business Associate will establish and use appropriate safeguards to prevent unauthorized use or disclosure of PHI. Business Associate will promptly report any unauthorized use or disclosure promptly to DHR, and will ensure that any individual or organization to whom it provides PHI agrees to the same conditions and restrictions with respect to PHI that are applicable to the Business Associate. Business Associate will allow individuals access to their own PHI, an opportunity to request amendment of such PHI, and all information required to provide an accounting of disclosures of PHI as provided by the Privacy Rule. Business Associate will make its internal practices, books and records relating to use or disclosure of PHI to both DHR and the Secretary of Health and Human Services for purposes of determining DHR's compliance with the Privacy Rule. Upon termination of this agreement, Business Associate will return all PHI to DHR or destroy same, retaining no copies of such PHI, and will assure that its agents and subBusiness Associates treat PHI in their possession or control in the same manner. This agreement may be terminated upon notice by DHR if the Business Associate violates any material term hereof.

IN WITNESS WHEREOF, DHR and Business Associate have executed this Business Associate Agreement in duplicate on the _____ day of __________________, 200___.

GEORGIA DEPARTMENT OF HUMAN RESOURCES/DIVISION OF FAMILY AND CHILDREN SERVICES

By: ________________________________
Authorized Signature

BUSINESS ASSOCIATE

____
Typed or Printed Name of Business Associate

By: ________________________________
Authorized Signature

Department of Human Resources-Rev. 02/03

IN WITNESS WHEREOF, DHR and Business Associate, through their authorized officers and agents, have caused this Amendment to be executed on their behalf as of the date indicated.

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Designee, County Department of Family and Children Services

By:____
Authorized Signature

BUSINESS ASSOCIATE

BY: ____
Authorized Signature

[If Business Associate is a Corporation, use the signature block below.]

BUSINESS ASSOCIATE NAME

BY: ____
SIGNATURE

____

____
TITLE

AFFIX CORPORATE SEAL HERE
(Corporations without a seal, attach a Certificate of Corporate Resolution)

ATTEST: ____
SIGNATURE

____
TITLE

Georgia Department of Human Resources
RECORD OF SCHOOL ATTENDANCE AND PERFORMANCE REPORT

____________ County Department of Family and Children Services

Georgia Department of Human Resources
WORK EXPERIENCE AGREEMENT

____________ County Department of Family and Children Services

Case Name ____________ Case Number ____________
Client Name ____________ Case Manager/Caseload ____________
Client ID Number ____________ Case Manager Telephone (____)____________

Sponsor Name ____________
Address ____________ ____________ ____________
Street Address City/State Zip Code
Contact Person/Title ____________ Telephone # (____)____________
Skills to be Learned ____________
Placement Period (Start) ___/___/___ (End) ___/___/___ Hours per Week ____________
Mo Day Year Mo Day Year

The sponsor agrees to:

- place the participant in a position that makes it possible for the participant to gain job skills and experience
- give consideration to the participant if qualified for employment in an available paid position
- provide supervision and training for the participant
- complete the participant's monthly Record of Attendance and Performance Report
- furnish all needed supplies and equipment for the participant
- provide for the health and safety of the participant
- not use the participant to fill a vacancy created by a strike, lockout, or other bona fide labor dispute or action
- not displace a paid employee or fill a vacant paid position with a work experience participant
- not discriminate against the participant on the basis of race, color, religion, gender, age, national origin, or disability
- not involve the participant in partisan political activities
- notify the DFCS County Director if the participant is involved in an accident.

By signing this agreement, the sponsor understands that no reimbursement will be provided for any expenses incurred by the sponsor for providing training, supervision and work experience for the participant. This agreement becomes effective with the signatures of both parties. Either party may terminate the agreement at any time by notifying the other party in writing.

____________ ____________
Signature of Sponsor / Date Signature of Site Developer / Date

____________ ____________
Title of Sponsor Mailing Address

Placement Terminated ____________ / ____________
Date Signature/Title

Reason Terminated ____________

Form 482 (Rev. 02/2003) White copy – Case Manager Canary Copy - Sponsor

Georgia Department of Human Resources

RECORD OF ATTENDANCE AND PERFORMANCE REPORT

________________________ County Department of Family and Children Services

Case Name ______________________________ Caseload # __________ Case Number ________________

Client Name ______________________________ Client ID# ____________________________

Report Month/Year ______________________________

Scheduled activity: Subsidized Employment _____ Work Experience _____ Community Service _____ OJT _____

Vocational Training _____ Other (specify) ________________________________

Activity location/site ____ Duties ____________________

Scheduled hours per week ________________________

Maximum TANF hours if subject to FLSA ________ Maximum FS hours ________ Maximum total hours ________

ATTENDANCE: Enter Hours Present OR E - Excused U - Unexcused S - Weekend N - Not Scheduled

	M	TU	W	TH	F	SA	SU	Total
1st Mon ______								
2nd Mon ______								
3rd Mon ______								

	M	T	W	Th	F	SA	SU	Total
4th Mon ______								
5th Mon ______								

Note: When a month has a 5th Monday, hours for the entire week must be reported for the calendar month in which the 5th Monday falls.

Performance codes: E - Excellent G - Good S - Satisfactory U - Unsatisfactory

Consider the following attributes and assign the most appropriate of the performance codes listed above:		Rating
Attitude	*Demonstrates a positive attitude toward work, coworkers; accepts supervision.*	
Judgment	Exercises good judgment in the supervisor's absence.	
Accepts supervision	Accepts criticism without anger and asks appropriate questions.	
Performance of duties	Completes tasks accurately, thoroughly and timely.	
Cooperation	Cooperates with coworkers and supervisor; follows workplace rules.	
Courtesy	Respects coworkers, interacts with courtesy; *conduct is appropriate to work setting.*	
Personal grooming	Dresses appropriately for the work setting; is clean and neat.	
Works well with others	Collaborates appropriately with coworkers; is willing to follow or lead as needed.	
Punctuality	Is on time to begin work, to return from lunch or breaks, and leaves on time.	
Dependability	Attends regularly; provides as much notice as possible when absent or late.	
Willingness to work	Is flexible; is willing to work as *needed; requests new assignments when tasks are done.*	

Overall performance satisfactory or better? _____ Yes _____ No

Comments:

____

____

____

Failed to report ________ Placement Terminated ________________________________

.e/Reason ____

____

Instructor/supervisor signature Date

This report is due by the 5th calendar day in the month following the report month. If the report month has a 5th Monday, the report is due by the 10th calendar da

Georgia Department of Human Resources
RECORD OF SCHOOL ATTENDANCE AND PERFORMANCE REPORT

________________________ County Department of Family and Children Services

Case Name ______________________________ Case Number ________________________

Client Name ______________________________ Case Manager/Caseload ________________________

Client ID Number ____________________________ Case Manager Telephone _(___)________________

Report Month/Year ____________________________

Scheduled activity: High School _____ GED _____ Education related to employment _____ College _____

Other _____ Name/location of school

Course of study

ATTENDANCE: **Enter Hours Present** OR **E** - Excused **U** - Unexcused **S** - Weekend **H** – Holiday **N** - Not Scheduled

	M	TU	W	TH	F	SA	SU	Total
1st Mon _______								
2nd Mon _______								
3rd Mon _______								

	M	T	W	Th	F	SA	SU	Total
4th Mon _______								
5th Mon _______								

Note: When a month has a 5th Monday, hours for the entire week must be reported for the calendar month in which the 5th Monday falls.

Overall performance satisfactory or better? _____ Yes _____ No

Comments:

Class termination _____ Yes _____ No.

Reason for class termination

Instructor 's Signature Date

This report is due by the 5th calendar day in the month following the report month. If the report month has a 5th Monday, the report is due by the 10th calendar day in the month following the report month.

Georgia Department of Human Resources

JOB SEARCH RECORD

______________________________ County Department of Family and Children Services

Case Name ______________________________ Case Number ______________________________

Client Name ______________________________ Case Manager/Caseload ______________________________

Client ID Number ______________________________ Case Manager Telephone _(____)________________

1. You must apply for ________ jobs during the next ________ weeks.
2. You must apply for any job your case manager tells you about.
3. You must keep all scheduled appointments with your case manager.
4. ☐ Your next scheduled appointment is ______________ at ______________. Please bring this form with you.

Or

☐ You must complete this form and return it to your case manager by __________________.

Employer Contact	Employer Contact
Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____	Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____
Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____	Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____
Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____	Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____
Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____	Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____
Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____	Company ________________ Address ________________ Date visited __________ Job type __________ Name/telephone# of contact person __________ ________________________ Result: Application filed ____ Hired ____ Not hiring ____

I understand that my failure to complete the required employer contacts may result in denial of my application or termination or sanction of my active case.

________________ ______________________________

Date Participant's Signature

REPORTING ACTIVITIES (ESS 3360-6)

A filled slot occurs on the first day that the ABAWD reports to a work experience, education or training assignment for a given month. It is reported each month in which participation in an activity occurs.

A filled slot is reported in the following situations:

% When an ABAWD participates during the month but does not meet participation requirements

% When an ABAWD participated during the month but is later found out to be exempted from registration or participation, or incorrectly received benefits.

E&T CM reports and validates “filled slots” by entering actual participation hours on ESAC.

No slot is counted if the following events occur:

% Prior to the assessment/orientation/work experience interview the ABAWD reports circumstances that will exempt him/her from work registration or participation.

% ABAWD attends the assessment/orientation/work experience interview, but it is determined the ABAWD is exempt from work registration or participation, and the work experience activity is not begun.

% The ABAWD fails to attend the assessment/orientation/work experience interview, and reports circumstances at the time of the interview that exempts him/her from work registration or participation.

% The ABAWD fails to continue a work experience activity after attending the assessment/orientation appointment and completing the one or two hour work experience with the same provider.

EXERCISE:
CALCULATING ABAWD WORK REQUIREMENTS

1. Mr. Jack Brown (38) and Mrs. Julia Brown (35) receive $202 per month in FS. They are both ABAWDs. Mr. Brown is in vocational school and Mrs. Brown is in work experience. How many hours per month must she participate in work experience? How many hours per week must he attend school?

2. Mr. Walker Stevens (28) and Mrs. Hannah Stevens (25) receive $220 per month in FS. They are both ABAWDs, both completing work experience as their ABAWD work requirement. How many hours per month must they participate in work experience?

3. Mr. Larry Dumas (39) lives with his three brothers, Johnny (27), Alvin (25), and Michael (21). They receive $450 per month in FS. They are all ABAWDs. How many hours must they participate in work experience?

4. Ms. Kathy Smith lives with her father, Nathan (59) and her five aunts and uncles, June (60), Gloria (55), Sally (54), Grady (52), and Jerry (50). They receive $705 per month in FS. Ms. Kathy Smith is the only ABAWD in the AU. How many hours must she participate in work experience?

EXERCISE:
Combining activities

1. Ms. Carter (43) lives alone and receives $122 per month in FS. She works part-time 15 hours per week and is paid $5.85 per hour.

   Does Ms. Carter need to participate in additional activities in order to meet her ABAWD requirement?

   If Ms. Carter participates in work experience in addition to working, how many hours per week must she participate?

2. Mr. Abe Conners (35) receives $141 per month in FS. He attends Basic Education classes 5 hours per week.

   Does Mr. Conners need to participate in an additional activity to meet his ABAWD requirement? If yes, how many additional hours per week must he participate?

   What would be the maximum number of work experience hours per month for Mr. Conners?

   Which activity will be Mr. Conners' ABAWD work activity? Why?

3. Mr. Jeff Coleman (36) and his brother Mark (18) receive $208 per month in FS. They both are ABAWDs. Mark Coleman meets his ABAWD requirement by working 20 hours per week. Jeff Coleman attends vocational training 12 hours per week.

   Does Mr. Jeff Coleman need to participate in an additional activity in order to meet his ABAWD requirement?

   What would be the maximum number of work experience hours per month for Mr. Jeff Coleman?

   How many additional hours per week must he participate?

   Name at least two activities that Mr. Jeff Coleman can participate in to supplement his hours to meet the ABAWD work requirement.

4. Mr. Larry Franklin (29) lives alone and receives $135 per month in FS. He works 5 hours per week. How many additional hours per week must Mr. Franklin participate in order to meet his ABAWD work requirements?

   What is the total number of hours per month he must participate to meet his ABAWD work requirement for employment?

   If Mr. Franklin participates in work experience, what would be the maximum number of work experience hours per month?

   Explain which activity will be used to meet Mr. Franklin's ABAWD work requirement.

Exercise:
Filled and No Slots

For each situation described below, determine whether it is considered to be a "filled" or "no slot".

1. Case Manager mails an Orientation/Assessment appointment letter to Ms. Mia Hudson for an appointment on May 3. Ms. Hudson reports on May 1 that she has applied for SSI and application is pending.

2. Mr. Jack Terry attends his Certified Manufacturing Specialist Training Program as scheduled.

3. Mr. Kenny Hill is participating in work experience as scheduled in September. At his Food Stamp review on September 10, he states to the Food Stamp worker he has been evicted from his apartment.

4. Ms. Jody Cash fails to attend her Orientation/Assessment appointment on February 12. She calls the Case Manager on February 12 and states she is now working 30 hours per week at Tiny Tots Child Care Center.

5. Mr. George Adams applies for Food Stamps on March 4, and is approved on March 6. He attends his Orientation/Assessment appointment on March 10 and agrees to participate in work experience. He completes 2 hours of work experience on March 10 at your county DFCS.

6. Ms. Lana Hemingway is scheduled to perform work experience for 25 hours per month. In November, she completes 15 hours of work experience.

7. Ms. Connie Payne attends her work experience site as scheduled in April. On April 20, she calls to report she is now working full time at One Hour for One Dollar Laundromat.

8. An Orientation/Assessment appointment is scheduled for Mr. Larry Ellis on June 4. He does not attend. The Case Manager discovers on June 4 that the Food Stamp case is closed.

9. Ms. Allie Mance completed 5 of her 25 hours of work experience in February. On February 23, she reports that she is now pregnant.

Exercise: Participation Activities

Indicate true (T) or false (F) for the following statements.

______1. All activities have a maximum number of hours which participants cannot exceed.

______ 2. Work Experience placements should not be calculated at 20 hours per week for everyone.

______3. ABAWDs whose activity is employment will have their E&T case closed after 90 days.

______4. The CM must determine how many hours a week an ABAWD must participate in work experience based on the availability of placement sites.

______5. If the household's food stamp allotment is $716 and there is only one ABAWD, this person must complete 80 hours per month of work experience in order to meet his primary work requirement.

______6. If the household's food stamp allotment is $313 and there are three ABAWDs, each person must complete 60 hours per month of work experience in order to meet his/her primary work requirement.

______7. Obtaining a master's degree in education is allowable in E&T as long as the participant does not exceed the time limitation.

______8. Work experience is an activity in which participants receive $5.85 per hour training allowance from the employer.

______9. Participants that are involved in educational activities must provide annual verification of their grades.

______10. Mr. Walker is an ABAWD who is working 20 hours a week. The CM can accept Mr. Walker's statement at review to verify that he is meeting his work requirements.

______11. Ms. Brown is an ABAWD who is attending GED classes each week. The CM receives Form 517 from Ms. Brown on October 4 verifying the following attendance in September: 20 hours for week one, 20 hours for week two, 19 hours for week three, and 21 hours for week four. Ms. Brown met her work requirement for September.

______12. ABAWDs can be placed in Job Search alone to meet the work requirement.

Objectives

- ➪ Participants will discuss support services that are available to clients.
- ➪ Participants will discuss the limitations on these services.
- ➪ Participants will demonstrate an ability to determine which support services may be provided to a client.

❖❖❖

Providing Support Services for ABAWDS

- **Support services** are any services needed by the ABAWD to participate in E&T activities. ABAWDs are eligible for **Transportation** and **Incidental Services.**
- Support services **MUST** be provided to **ALL** ABAWDs required to participate in E&T activities.

Record the provision of support services on ESSS

Transportation

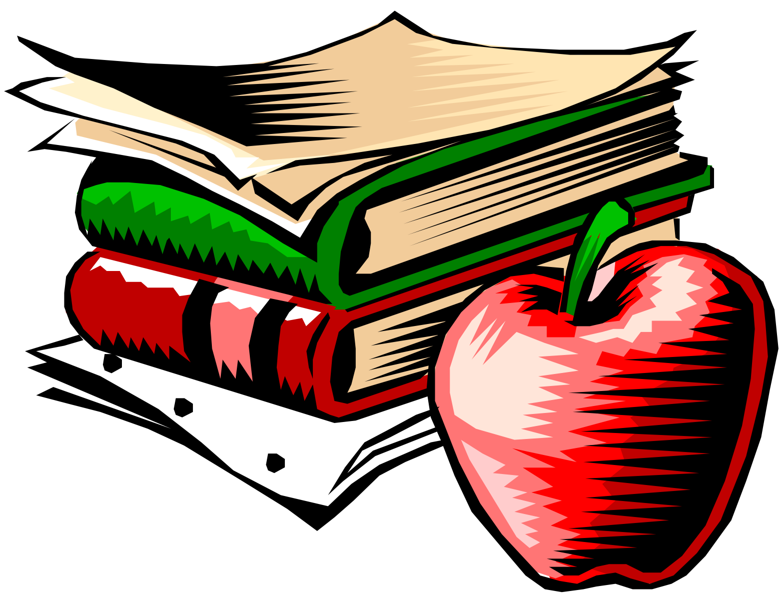
- Transportation services are provided to get the ABAWD back and forth to E&T activities other than paid employment.
- Transportation cost may be paid to ABAWDs as a reimbursement or an up-front payment.
- Up-front transportation payment of $30 to begin participation only for the first month of E&T activity.
- A client reimbursement of $3 per day or $30 per month, whichever is greater, may be provided if deemed more appropriate than the up-front transportation payment.

- Arranged/provider transportation services may be provided via public or private transportation services arranged by DFCS. These services may be provided up-front for all required activities. The maximum limitation is $400 per month.

Incidentals

Incidental services are other services needed by the ABAWD to complete participation in E&T activities.

- Incidental services may be purchased only when not available from other sources.
  - Must be directly related to participation in activity.
  - Must be pre-approved by CM.
- A statement of the need to purchase these services to participate or complete the activity must be documented in the



case record.
- Incidental services include the provision of the following items:
  - Books, educational or vocational testing fees, registration fees.
  - Tuition for short-term (up to 6 months) education or training.

- ➔ Required wearing apparel limited to $150 per participation.
- ➔ Tools and supplies limited to $500 per participation.
- ➔ Occupational licensing fees needed to perform the occupation for which the participant has been trained. This includes a driver's license if needed to accept employment. This incidental is limited to $300 per participation.

NOTE: **For those incidentals limited to "per participation", participation begins with registration and ends when the participant is exited from the program.**

❖❖❖

Determining Payments for Transportation

Use the following chart to determine the correct method for issuing payment for transportation costs to the ABAWD.

IF	THEN	PAY
Participant receives $30 upfront payment	Submits attendance record verifying attendance for 9 or more days during the month, the E&T case manager determines the amount to be reimbursed by multiplying the days of attendance by the $3.00 daily rate and subtracts the $30 upfront payment from the total.	$3.00 per day minus $30.00
Participant receives $30 upfront payment	Submits attendance record verifying attendance for less than 9 days, no reimbursement is owed to the participant or to DFCS. Participant has already received the $30.00 minimum	No payment due.
Participant does not receive upfront payment	Submits attendance record verifying days of participation, the E&T case manager multiplies the days of attendance by the $3.00 daily rate. If result is less than $30.00, pay the minimum $30.00	$3.00 per day or $30.00 minimum

Food Stamp E&T Program
UAS and Entitlement Codes

UAS **549** Food Stamps E&T **ABAWD** Transportation

Entitlement Code	Description	Service Requirements
16	Client Reimbursement	$3 per day
23	Arranged or Provider Transportation	Maximum $400 per calendar month
25	Client Reimbursement	$30 per calendar month
34	Upfront Payment to participant	Maximum $30 per calendar month for transportation.

UAS **559** Food Stamps E&T **Incidentals for ABAWDs in Work Experience**

Entitlement Code	Description	Service Requirements
38	Required Wearing Apparel	$150 limit per participation
40	Occupational Licensing Fees	$300 limit per participation
06	Expenses which are necessary, reasonable and directly related to participation in E&T.	Use services at no cost when available.

UAS **569** Food Stamps E&T **Incidentals for ABAWDs in Education/Training**

Entitlement Code	Description	Service Requirements
21	Adult Education/GED	Tuition Costs
22	Other Tuition	Cost of purchasing short-term training for which no other financial aid is available.
37	Books, Registration & Testing Fees	No Financial Limitations
38	Required Wearing Apparel	$150 limit per participation
39	Tools and Supplies	$500 limit per participation
40	Occupation Licensing Fees	$300 limit per participation
06	Expenses which are necessary reasonable and directly related to participation in E&T.	Use services at no cost when available.

UAS **589** Food Stamps E&T **Incidentals for ABAWDs in other E&T Activities**

Entitlement Code	Description	Service Requirements
38	Required Wearing Apparel	$150 limit per participation
39	Tools and Supplies	$500 limit per participation
40	Occupation Licensing Fees	$300 limit per participation
06	Expenses which are necessary, reasonable, and directly related to participation in E&T	Use service at no cost when available

Support Services Exercise

Determine if the following support services can be provided for a participant by the E&T program. Indicate with 'Y' or 'N'. Explain if necessary.

______1. Participant's class is going on a trip to Florida to a national conference.

______2. Participant travels to the office to drop off verification.

______3. Participant needs braces on her teeth.

______4. Participant has found a great deal on a used car but needs a down payment.

______5. Participant needs uniforms to attend a Certified Nursing Assistant training program.

______6. Participant has won a national award for her performance in technical school. She would like to attend the awards ceremony in another state.

______7. Participant's electricity has been turned off. She needs to pay the overdue bill and a reconnection fee.

______8. Participant would like to enroll in a medically recommended diet program.

______9. Participant has to pay dues to be a member of Future Beauticians of America.

______10. Participant pays a neighbor $2.00 a day to drive him three miles to the nearest bus stop, and then pays $1.00 each way to ride the bus to school.

______11. Participant needs to purchase invitations, pictures and a class ring before graduation.

______12. Participant attends GED class each night from 6:00 to 8:30. She eats dinner on the way home.

______13. Participant needs protective glasses for her welding class.

______14. Participant has found a new apartment but needs help with the deposit.

______15. Participant has been offered a job contingent on supplying her own uniforms.

______16. Participant must pay a taxi $6.00 round trip to attend technical training in another county.

______17. Husband and spouse attend GED classes together for six hours a day. They ride the bus together. They each want transportation.

______18. Participant reports that she had her battery replaced in her car so that she could enter the E&T program.

______19. Participant needs to pay union dues in order to accept work as a carpenter.

______20. Participant in horticulture training needs books and tools to start a new course.

______21. Participant needs to pay for GED exam.

______22. Participant's car insurance of $200 annually has lapsed.

______23. Participant trained as a long distance truck driver and needs to renew his operator's license.

______24. Participant is offered a job as a welder and she accepts it. She will get her first check in three weeks and needs help with increased expenses until then.

______25. Participant is offered a job, but needs to pay for a criminal background check.

______26. Participant needs to purchase clothes for a job interview.

Objectives

- ⇨ Participants will discuss the importance of effective communication in building relationships.
- ⇨ Participants will discuss the Helping Relationship concept.
- ⇨ Participants will recognize *building* rapport as a critical condition for effectiveness as a case manager.
- ⇨ Participants will articulate and demonstrate effective use of attending in communicating with clients.
- ⇨ Participants will explain why the use of reflections is important and illustrate effective communication leads.
- ⇨ Participants will describe the purpose and guidelines for using summarization.
- ⇨ Participants will discriminate between sympathy and empathy and recognize the effective use of empathy.
- ⇨ Participants will explain facilitative genuineness.
- ⇨ Participants will express the importance of communicating respect and recognize how verbal and non-verbal communication demonstrates respect.
- ⇨ Participants will identify genuineness, empathy, respect, and show how they are critical building blocks for productive relationships.

Objectives

- ⇨ Participants will explain the purpose of assessment.
- ⇨ Participants will develop skill in eliciting the information needed to formulate a Work Plan. They will record pertinent information on the Work Readiness form and SUCCESS Assessment Data Screens.
- ⇨ Participants will explain how to apply the information gathered through assessment to formulate the Work Plan.
- ⇨ Participants will explain when to use outside resources for information needed to formulate realistic plans.
- ⇨ Participants will discuss the importance of perception when conducting an assessment.
- ⇨ Participants will recognize the importance of appropriate use of questions.

Forms

- ⇨ 493, Work Readiness Assessment

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT

Date: 4/7/YR

_______________ County Department of Family and Children Services

Case Name: Judy Carter
Case Number: 987654321
Client Name: ______
Case Manager/Caseload: IMW / 204M
Client ID Number: 123456789
Case Manager Telephone: 478-555-1212

Date of Birth: 1/28/YR-45 Employment goal: Nurse

1. Are you working now? ☐ Yes ☒ No If yes, answer the following:
   Current employer ______
   Salary $ ______ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ______

2. If you are not employed, are you looking for work? ☒ Yes ☐ No
   What are you doing to look for work? Looked in the newspaper

   List the jobs for which you have applied. Nursing Asst. - 2/15/YR - Northside Hospital
   Nursing Asst. - 2/21/YR - Egleston Hospital
   House Keeper - 1/10/YR - Scottish Rite Hospital

   If you are not looking for work, why not? N/A

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date	End Date	Reason Left
Hardee's	Cook	9/16/95	2/28/00	fired
Sleep Inn	House Keeper	4/16/79	7/94	Business closed

4. Are you attending school? ☐ Yes ☒ No If yes, what is the name of the school and when will you graduate?
   ______ If no, what is the name of the last school you attended or the school from which you graduated? Your County High School
   If you graduated, what was the year of graduation? ______
   Have you had difficulty learning in school? ☐ Yes ☒ No
   Have you received special help in school? ☐ Yes ☒ No

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? 11th Enjoyed science/Health classes Dropped out when she became pregnant and never returned because of family responsibilities.
   Do you have a diploma or GED? ☐ Yes ☒ No
   List any training/education you received after graduating from high school. None

6. Do you care for a disabled household member? ☐ Yes ☒ No If yes, for whom, and for what disability?

   NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? ☐ Yes ☒ No If yes, when, where, and why?

   What was the result? (Probation, jail, found not guilty, etc.)

8. What is your usual means of transportation to go shopping, pay bills, etc.?
   Marta
   Do you own a car? ☐ Yes ☒ No Do you have a driver's license? ☐ Yes ☒ No Have insurance? ☐ Yes ☒ No

9. Do you have children who will need day care? ☐ Yes ☒ No
   If yes, what are their ages?

10. Is there any reason why you should not take part in work activities now? ☐ Yes ☒ No
    If yes, why?

11. Are you in good health? ☒ Yes ☐ No If no, what problems do you have that may make it hard for you to work?
    Enjoys walking for exercise
    For how long will you have these problems? N/A
    Do you take medications for these problems? ☐ Yes ☐ No If yes, what are they? N/A

    How often do you see your doctor? when necessary When did you last see your doctor? 2 years ago

12. Are you pregnant? ☐ Yes ☒ No If yes, when is the baby due? N/A

13. Do you drink alcohol or use drugs? ☐ Yes ☒ No If yes, answer the following: Drinks socially- no more than 3 drinks in a month's time

    Has drinking or drug use ever caused problems for you on the job or at home? ☐ Yes ☒ No

    Have you ever been in treatment for drug or alcohol abuse? ☐ Yes ☒ No

UPDATE EMPLOYMENT SERVICES PROFILE SCREEN - ESPR ESPR
204M 04 07 01

Client Name Judy Carter Client ID 123456789
Prog FS Status AB Priority ABWD Elig Load ID 202M ES Load ID 204M

LEP Load ID 204M Exempt Reason Age: **45**
Orientation Date **04 07 01** Orientation Attended **Y**
Assessment Date **04 07 01** Assessment Attended **Y**
AU ID 2222222222
Participation Beg Date 04 01 01 Race/ Ethnicity White N
Participation Closure Date Initial Literacy Level **1104**
Participation Closure Reason Follow-up Literacy Level
Participation Referral Date Initial Education Level **11**
Review Completed Follow-up Education Level
Review Complete Date
Next Review Date
Appt Date **04 07 01** Appt Type **ORN** Appt Letter Print Location **B**
Appt Begin Time **10:00** Appt End Time **11:00**
L Name/Appt Remarks **Carter Orientation/Assessment**

13-note 14-schd 15-lett 16-amen 20-schs

UPDATE EMPLOYMENT SERVICES ASSESSMENT DATA - ESAD ESAD
04 07 01
Client Name Judy Carter Client ID 123456789
Prog FS Status AB Priority ABWD Elig Loard ID 202M ES Load ID 204M

Initial Assessment Date **04 07 01**
Most Recent Assessment Date **04 07 01**

Transportation Means **Marta** Driver License **N**

------Education Info------ ------Substance Use Info------ ------Arrest Info------
Substance Treatment Dates Type Description
Highest Grade **11** **N**

UPDATE EMPLOYMENT SERVICES WORK HISTORY - ESWH ESWH
204M 04 07 01
Client Name Judy Carter Client ID 123456789
Prog FS Status AB Priority ABWD Elig Load ID 202M ES Load ID 204M
SSN 987 65 4321
Employer/Sponsor **Hardee's** Date From/To **09 95 / 02 00** Del
Address **123 Your Street** Tel
City/State **Your City** **GA** Zip **31082** Hrs/Week **40** Salary **5.50**
Job Title **Cook** Reason for leaving **Fired**

Employer/Sponsor **Sleep Inn** Date From/To **04 79 / 07 94** Del
Address **146 Carol Street** Tel
City/State **Your City** **GA** Zip **31082** Hrs/Week **40** Salary **4.50**
Job Title **House keeper** Reason for leaving **Went out of business**

14-jtpa 16-amen 24-del

UPDATE EMPLOYMENT SERVICES SERVICE NEEDS - ESSN ESSN
204M 04 07 01

Client Name Judy Carter Client ID 123456789
Prog FS Status AB Priority ABWD Elig Load ID 202M ES Load ID 204M

Do you have any of the following needs? Dependent/child care, transportation, work apparel/uniforms, licensing fees, supplies/tools required for employment, vehicle repairs or car insurance?

Disp	Service need description	Disp	Service need description
U 5000	**Transportation Not Available**		

14-esdc 16-amen 17-esre 18-esss 24-del

Arranging Participation in E&T Program Activities

Step 1: **Determine if the ABAWD is eligible for the ABAWD 15% exemption:**

- ➔ Close ABAWD on ESPR with file closure reason FPE. Do not use this valid value for any other file closure.

NOTE: **Document the reason for the exemption on REMA. Required documentation should read: ABAWD 15% exemption granted due to (reason). Lack of this documentation will create a QC error.**

Step 2: **If the ABAWD does not qualify for the exemption, complete an assessment with the ABAWD.**

- ➔ Complete the assessment within 10 work days of referral for E&T participation.
- ➔ Document SUCCESS with information obtained during the assessments.

Step 3: **Select a qualifying ABAWD work activity.**

- ➔ Discuss the ABAWD work requirements for work experience, education and training.
- ➔ Determine the number of work experience hours required.
- ➔ Help the ABAWD decide which activity will be used to meet the work requirements based on available resources and the ABAWD's employment goal.

Step 4: **Offer a work experience, education or training slot.**

- ➔ If the ABAWD chooses work experience, arrange for the work site during the assessment appointment.

  - ♦ To assign the ABAWD to a worksite other than DFCS, call an appropriate sponsor and schedule a date for the ABAWD to begin participation. DFCS must always be an available work site.
  - ♦ Verify that there is a signed Business Associate Agreement on file for the work experience provider.

- Complete and sign the Work Experience Agreement for each work experience placement. Give a copy to the ABAWD.

- Complete ESRE with provider referral date, interview date and time, and any other information needed. Print a copy of the referral for the ABAWD and the case file.

OR

- If the ABAWD chooses education or training, complete ESRE with provider referral date, interview date and time, and any other information needed. Print a copy of the referral for the ABAWD and the case file.

Step 5: Develop a Work Plan with the ABAWD based on the activities selected.

- ➔ Complete and sign the Work Plan. Give the ABAWD a copy of the plan.
- ➔ Give the ABAWD verification forms

Step 6: Update the Work Plan at established time frames.

Role Play #1

Mary Sims, 28 years old.

Ms. Sims is going through a divorce; her husband left her for another woman six months ago. Ms. Sims is angry and goes through moments of depression.

Ms. Sims worked at the Pottery Shop. She graduated from high school in the top 10 percent of her class, and attended college for two-and-a-half years, studying Early Education. She finds volunteering at the YMCA to be a rewarding experience that has added to her life.

Role Play #2

James Rawlings, 39 years old.

Mr. Rawlings lost his job at one of the largest financial companies in the area. He had worked for this company for 19 years as an accounting clerk until the company went out of business a year ago. His wife also died last year, and he is having problems adjusting to her death. He loved her very much.

Mr. Rawlings has been unsuccessful in securing a permanent job and is frustrated by short-term assignments. He has expressed an interest in pursuing additional training in accounting; he loves working with numbers as well as helping people.

Role Play #3

Hattie Johnson, 45 years old.

Ms. Johnson received public assistance for 10 years, but no longer has minor children at home. She was unable to maintain a job due to her poor learning skills. She dropped out of high school in the 11th grade to help her mother in the rearing of her sisters and brothers.

Ms. Johnson worked for Homestead County School system in the cafeteria. She has worked at fast food restaurants, hotels, and department stores.

Role Play #4

Fredrick Glass, 32 years old, with no dependents.

Mr. Glass is a construction worker by trade. He has been out of work off and on. Temporary Agencies have been referring him to short-term assignments. Long-term assignments are hard to get in his small town.

Mr. Glass' wife left him four months ago to travel to the big city. She just couldn't take the rural life anymore.

Mr. Glass has completed high school and one year of vocational training in electrical wiring and carpentry. His hobbies are fishing, reading, and riding his dirt bike.

Assessment Exercise

AMC, a car manufacturing plant, went out of business 6 months ago. The company phased out its employees over an 18 month time period. AMC was the major employer in this medium-sized community and the only car manufacturer in the area. Several former employees of AMC have been referred to E&T for services. They have come in to begin assessment.

I. Mrs. Todd, 43, worked in the office at AMC for 7 years and has been out of work for 6 months. She is a high school graduate and has 5 quarters of college.

A. In response to your questions about education, you learn that Mrs. Todd attended North Georgia Junior College last year. When she lost her job she was not attending classes because 2 of the 3 courses she needed to complete her degree were not available to her that quarter. She has not returned to school since losing her job. What impact does this information have on your planning with Mrs. Todd? What other information would you request?

B. In response to your questions on work history, you learn that Mrs. Todd worked at three other firms prior to her employment at AMC. She obtained her first job through the recommendation of her high school business education instructor. She learned through friends of the opening at her second employer, and answered an ad for the job she had at AMC. Each move was her choice and was motivated by better pay and interest in the job available. What might you surmise from this information in regard to the support Mrs. Todd will need in finding a job?

II. Mr. Potter, 45, completed 1 year of college and has a 20-year work history with AMC. His last position with AMC was as a supervisor. He has been out of work for 1 year. He was let go early as the shift he supervised was the first to be eliminated. He has been looking for work but has had no success.

A. List 3 questions you would ask Mr. Potter about his previous job search efforts and why you would ask them.

B. List 3 questions you would ask Mr. Potter about his work history and why you would ask them.

C. In response to your questions on work history, you learn that Mr. Potter was employed by AMC upon the recommendation of his uncle, who was a close friend of the plant manager. Mr. Potter has worked at AMC continuously, moving up to his most recent position as supervisor. Prior to going to work at AMC, Mr. Potter worked in construction as a carpenter. In terms of job seeking skills, what might you surmise from these facts? What additional information would you request?

D. List three questions you would ask Mr. Potter about his education and why you would ask them.

E. You learn in response to your questions about education that Mr. Potter attended Georgia Southern College for a year in 1975. What impact does this information have on your planning with Mr. Potter?

F. List 3 questions you would ask about Mr. Potter's personal situation and why you want to know them.

G. In comparing Mr. Potter's and Mrs. Todd's situations, who may find it easier to obtain new employment?

III. Ms. Jenkins, age 19, worked at AMC for nearly 1 year until it closed 6 months ago. She has held no other jobs. At AMC her job was to keep the work areas clean and free of debris. She completed the 9th grade before dropping out at age 17.

A. List 3 questions you would ask Ms. Jenkins about her education and why you would ask them.

B. Would Ms. Jenkins be a good candidate for obtaining testing prior to proceeding with making plans? If so, why?

C. Testing shows that Ms. Jenkins is developmentally disabled and has academic skills at the third grade level. What actions should the CM take?

Objectives

- ➯ Participants will explain the purpose of the Work Plan, Form 515.
- ➯ Participants will develop skill in writing thorough Work Plans using Form 515 and ESWP screen.
- ➯ Participants will discuss the concept of concreteness when formulating the Work Plan.
- ➯ Participants will review what component activities are available through Employment and Training.
- ➯ Participants will review the minimum participation requirements and satisfactory progress definition for each activity.
- ➯ Participants will identify verification forms used to document participation in activities.
- ➯ Participants will discuss reviewing the Work Plan.

Forms

514, Personal Work Plan Update
515, Personal Work Plan
(These forms are used when SUCCESS is unavailable)

Georgia Department of Human Resources

FOOD STAMP PERSONAL WORK PLAN

Name Judy Carter Client ID# 123456789

- **I am an E & T participant.** I understand that I must take part in work activities up to 30 hours per week, unless the agency determines that such an amount is not possible.
- I understand that DFCS will arrange or provide support services.
- I will provide DFCS with the name of my employer, my job title, work hours and wages when I find a job. If DFCS contacts me for follow-up information, I will reply within 10 calendar days.
- **I understand that if I do not meet the requirements in my Personal Work Plan, the food stamps that my family receives may be reduced or terminated.**
- I understand that before applying a sanction, DFCS will give me a chance to explain why I failed to follow through with my Personal Work Plan.

Employment Goal Certified Nursing Assistant Planned Date to Achieve 12/31/YR

Step 1 Complete Work Experience at the DFCS office, 2002 Atlanta St.

Hours per Week 28/month, Monday and Tuesday, 8:00am - 3:30pm for two weeks

Service Needs: Transportation

Participant will: Attend worksite for all scheduled hours, submit record of attendance and performance report(F. 516)by the 5th of the following month. Maintain satisfactory ratings and have no unexcused absences. Provide documentation for failure to comply with good cause.

Agency will: Provide Marta card

Projected Begin Date: 4/7/YR Projected End Date: 5/31/YR

Page 1 of 3

Form 515 (Rev.03-04) white copy - participant canary copy- case record

FOOD STAMP PERSONAL WORK PLAN (continued)

Step 2 — Complete GED class - Atlanta Area Tech, 4191 Northside Dr., Atlanta

Hours per Week — 10, 8:00am - 10:00am, Monday

Service Needs: — Transportation, and GED exam fee

Participant will: — Attend all scheduled hours for class, record of attendance and performance report (form 517) by the 5th of the following month, progress 1 grade level every 3 months. Provide documentation of failure to comply with good cause. Provide certificate upon completion.

Agency will: — Provide funds for GED testing, provide Marta card

Projected Begin Date: 6/1/YR   Projected End Date: 12/31/YR

Step 2 ongoing — Graduate and receive certificate from Atlanta Medical Institute, 100 Peach St.

Hours per Week — 15, 11:00am - 2:00pm, Monday – Friday

Service Needs: — Uniforms

Participant will: — Provide financial and registration information, attend all scheduled hours of class, maintain 2.0 GPA, submit grades quarterly, submit record of school attendance and performance report (form 517) by the 5th of the following month. Provide documentation of good cause for failure to comply. Provide estimate for uniforms. Provide certificate upon completion.

Agency will: — Assist with uniforms

Projected Begin Date: 6/1/YR   Projected End Date: 12/31/YR

Page 2 of 3

FOOD STAMP PERSONAL WORK PLAN (continued)

Step 3 Accept and maintain full-time employment

Hours per Week 30-40 hours as scheduled by employer

Service Needs:

Participant will: Accept reasonable job offer, report employment timely to FICM within 10 calendar days. Report change in work hours falling below 20 hrs/wk within 10 calendar days to FICM. Provide explanation of good cause. Submit wage verification at FS review. Obtain and maintain employment.

Agency will: Check on continued employment at FS review.

Projected Begin Date: 12/31/YR Projected End Date: ongoing

I have helped to develop this work plan, my case manager and I must discuss any changes to this plan before they are made. If I do not meet the requirements in my Work Plan, the food stamps that my family receives may be reduced or terminated.

Judy Carter 4/7/YR
Participant's Signature Date

Ima Worker
4/7/YR
DCase Manager's Signature Date

Page 3 of 3

Form 515 (Rev.03-04) white copy - participant canary copy- case record

UPDATE EMPLOYMENT SERVICES WORK PLAN - ESWP ESWP

Client Name **Judy Carter** Client ID **123456789**
Prog FS Status AB Priority ABWD Elig Load ID 202M ES Load ID 204M

Employment Goal **Certified Nursing Assistant** Planned to achieve **12/31/YR**

Step	Activity Code Type	Wkly Hrs
01	**WPU**	**14**

Service needs: **Transportation**

Participant will: **Complete work experience at the DFCS Office, 2002 Atlanta Street.**

Agency will: **Provide Marta card.**

—Projected Dates—		Create	-----Void Step-----		
Begin	End	Activity	Ind	Reas	Date
04 07 YR	**05 31 YR**				

More **Y**

14-schd 15-lett 16-amen 21-alwg 23-prnt

UPDATE REMARKS – REMA REMA 01

04/07/YR IMW FS Judy Carter 123456789 Step 1 WPU

Participant will attend all scheduled hours, Mon-Tues, 8 am to 2:45 pm for two weeks of each month, submit attendance and performance report (516) by the 5th of the following month. Provide documentation of good cause for failure to comply. Maintain satisfactory ratings and have no unexcused absences.

FLSA hours are determined as 28 hours per month based on monthly FS allotment of $149 (149/5.15 = 28). She will complete her 28 hours in the first two weeks of each month.

Date: **4/7/YR** Participant's Signature: Judy Carter

Date: **4/7/YR** Case Manager's Signature: Ima Worker

Step	Activity Code Type	Wkly Hrs
02	**GED**	**10**

Service needs: **Transportation and GED exam fee**

Participant will: **Complete GED course at Atlanta Area Tech, 4191 Northside Dr., Atlanta**

Agency will: **Provide Marta card and provide funds for GED exam.**

—Projected Dates—		Create	-----Void Step----		
Begin	End	Activity	Ind	Reas	Date
06 01 YR	**12 31 YR**				

More **Y**

14-schd 15-lett 16-amen 21-alwg 23-prnt

UPDATE REMARKS - REMA REMA 02

04/07/YR IMW Judy Carter 123456789 Step 2 GED

Participant will attend 10 hours per week (Mon - Fri from 8am to 10am), submit attendance record (517) by the 5th of the following month, progress one grade level every 3 months. Provide certificate upon completion. Provide documentation of good cause for failure to comply.

Date: **4/7/YR** Participant's Signature: **Judy Carter**

Date: **4/7/YR** Case Manager's Signature: **Ima Worker**

More

Step	Activity Code Type	Wkly Hrs
03	**VOC**	**15**

Service needs: **Uniforms**

Participant will: **Graduate from Atlanta Area Medical Institute, 100 Peach Street.**

Agency will: **Assist with uniforms.**

—Projected Dates—		Create	-----Void Step-----		
Begin	End	Activity	Ind	Reas	Date
06 01 YR	**12 31 YR**				

More **Y**

14-schd 15-lett 16-amen21-alwg 23-prnt

UPDATE	REMARKS - REMA	REMA 03
04/07/YR	**IMW Judy Carter 123456789 Step 3 VOC**	

Participant will provide financial aid and registration information, attend 15 hours per week (Mon-Fri 11am to 2pm), maintain 2.0 GPA, submit grades quarterly, submit attendance record (517) by the 5th of the following month. Provide documentation of good cause for failure to comply. Provide estimate for uniforms. Provide certificate upon completion.

Date: **4/7/YR** Participant's Signature: Judy Carter

Date: **4/7/YR** Case Manager's Signature: Ima Worker

More

Step	Activity Code Type	Wkly Hrs
04	**EPR**	**40**

Service needs

Participant will: **Accept reasonable job offer, work 30-40 hours as scheduled by employer, report employment within 10 calendar days and/or work hours falling below 20 hrs/wk to FICM, provide explanation of good cause, submit wage verification at FS review, and maintain employment.**

Agency will: **Check on continued employment monthly if appropriate.**

—Projected Dates—		Create	-----Void Step-----		
Begin	End	Activity	Ind	Reas	Date
12 31 YR					

More

14-schd 15-lett 16-amen 21-alwg 23-prnt

I have participated in developing this plan. Before changes can be made, they must be agreed upon by my case manager and me. If I am receiving a financial grant, Employment Services may not reimburse me for the same expenses.

Participant Signature: Judy Carter Date: **4/7/YR**

Case Manager Signature: Ima Worker Date: **4/7/YR**

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Food Stamp Employment and Training Program
PERSONAL WORK PLAN UPDATE

(1) Update # 1

(2) Name Judy Carter Client ID 123456789

(3) ___ REVISION

(4) ___ Change in Employment Goal New Goal ___________

(5) ___ Change Within Step (6) __ Add Step (7) ___ Delete Step

(8) ___ Change in Participation Hours based on Allotment

____

(9) Step ___ ___________

Hours per Week ___________

Services Needs ___________

Participant Will ___________

Agency Will ___________

Projected Begin Date ___________ Projected End Date ___________

(10) ✓ PROGRESS REVIEW
(11) Comments

Ms. Carter has completed her work experience activity.
She will begin GED classes and vocational training on 6/1/4R.

DHR Worker 5/31/4R Judy Carter 5/31/4R

Case Manager Signature and Date Recipient Signature and Date
Form 514 (Rev. 04/04)

Original – Recipient Copy – Case File

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Food Stamp Employment and Training Program
PERSONAL WORK PLAN UPDATE

(1) Update # 2

(2) Name Judy Carter Client ID 123456789

(3) ✓ REVISION

(4) ___ Change in Employment Goal New Goal ________________

(5) ✓ Change Within Step (6) __ Add Step (7) ___ Delete Step

(8) ___ Change in Participation Hours based on Allotment

____

(9) Step 2 ______________________

Hours per Week 8, 8 a.m. - 10 a.m., Monday-Thursday

Services Needs ______________________

Participant Will ______________________

Agency Will ______________________

Projected Begin Date ______________ Projected End Date __________

---

(10) ___ PROGRESS REVIEW

(11) Comments

Ms. Carter's work plan was revised to concur with the GED program's new class schedule

DMA Worker 8/15/4R — Case Manager Signature and Date

Judy Carter 8/15/4R — Recipient Signature and Date

Form 514 (Rev. 04/04)

Original – Recipient Copy – Case File

Exercise: Work Plans

In each situation, refer to the story and assessment form, and complete work plans as appropriate. Use resources and activities that are reasonable for your area. The plans will be checked for specificity, correct number of required hours, and whether they direct the job seeker toward self-sufficiency.

1. Mary Sims, 28 years old.

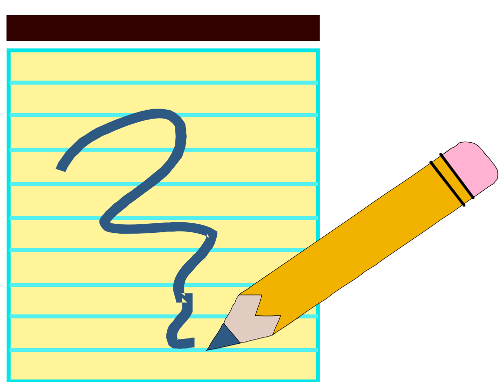
   Ms. Sims is going through a divorce; her husband left her for another woman six months ago. Ms. Sims is angry and goes through moments of depression.

   She graduated from high school in the top 10 percent of her class, and attended college for two-and-a-half years, studying Early Education. She finds volunteering at the YMCA to be a rewarding experience that has added to her life.

2. James Rawlings, 39 years old.

   Mr. Rawlings lost his job at one of the largest financial companies in the area. He had worked for this company for over 20 years as an accounting clerk until the company went out of business a year ago. His wife also died last year, and he is having problems adjusting to her death. He loved her very much.

   Mr. Rawlings has been unsuccessful in securing a permanent job and is frustrated by short-term assignments. He has expressed an interest in pursuing additional training in accounting; he loves working with numbers as well as helping people.



3. Hattie Johnson, 45 years old.

   Ms. Johnson received public assistance for 10 years but no longer has minor children at home. She was unable to maintain a job due to her poor learning skills. She dropped out of high school in the 11th grade to help her mother in the rearing of her sisters and brothers.

   She has worked at fast food restaurants, hotels, and department stores.

4. Fredrick Glass, 32 years old, with no dependents.

   Mr. Glass is a construction worker by trade. He has been out of work off and on. Temporary Agencies have been referring him to short-term assignments. Long-term assignments are hard to get in his small town.

   Mr. Glass' wife left him four months ago to travel to the big city. She just couldn't take the rural life anymore.

   Mr. Glass has completed high school and one year of vocational training in electrical wiring and carpentry. His hobbies are fishing, reading, and riding his dirt bike.

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT

Date: 3/5/YR

_______________ County Department of Family and Children Services

Case Name Mary Sims
Case Number 251728484
Client Name ____________
Case Manager/Caseload IMW / 204M
Client ID Number 342118459
Case Manager Telephone 478-555-1212

Date of Birth 3/30/YR - Age 28 Employment goal Teacher Assistant

1. Are you working now? ☐ Yes ☒ No If yes, answer the following:
   Current employer * Volunteering at YMCA
   Salary $ ________ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ________

2. If you are not employed, are you looking for work? ☐ Yes ☒ No
   What are you doing to look for work? N/A

   List the jobs for which you have applied. N/A

   If you are not looking for work, why not? Going through a divorce - devastated because of husband's behavior

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date	End Date	Reason Left
Pottery Shop 476 Main St.	Sales Clerk - greeted customers, provided product info. + cleaned store - 5.15/hr @ 30hrs/wk	10/4R	12/4R (2 months)	No longer needed
YMCA - *Volunteer 54 Graceland Rd	Swimming Inst. - provided lessons to preschoolers	2/4R 10hrs/wk	Present (4 years)	N/A

4. Are you attending school? ☐ Yes ☒ No If yes, what is the name of the school and when will you graduate?
   If no, what is the name of the last school you attended or the school from which you graduated? Bob White HighSchool
   If you graduated, what was the year of graduation? 6/YR
   Have you had difficulty learning in school? ☐ Yes ☒ No
   Have you received special help in school? ☐ Yes ☒ No

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? 12th
   Do you have a diploma or GED? ☒ Yes ☐ No
   List any training/education you received after graduating from high school. 2½ yrs. of College- Early Education

6. Do you care for a disabled household member? ☐ Yes ☒ No If yes, for whom, and for what disability?

   NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? ☐ Yes ☒ No If yes, when, where, and why?

   What was the result? (Probation, jail, found not guilty, etc.)

8. What is your usual means of transportation to go shopping, pay bills, etc.?
   1999 Ford Escort
   Do you own a car? ☒ Yes ☐ No Do you have a driver's license? ☒ Yes ☐ No Have insurance? ☒ Yes ☐ No

9. Do you have children who will need day care? ☐ Yes ☒ No
   If yes, what are their ages?

10. Is there any reason why you should not take part in work activities now? ☐ Yes ☒ No
    If yes, why?

11. Are you in good health? ☒ Yes ☐ No If no, what problems do you have that may make it hard for you to work?

    For how long will you have these problems? N/A
    Do you take medications for these problems? ☐ Yes ☐ No If yes, what are they? N/A

    How often do you see your doctor? yearly When did you last see your doctor? last year

12. Are you pregnant? ☐ Yes ☒ No If yes, when is the baby due? N/A

13. Do you drink alcohol or use drugs? ☐ Yes ☒ No If yes, answer the following:
    Has drinking or drug use ever caused problems for you on the job or at home? ☐ Yes ☒ No
    Have you ever been in treatment for drug or alcohol abuse? ☐ Yes ☒ No

3/5/YR

ASSESSMENT NOTES

Mary Sims **ID# 342118459**

Address: 101 Tenth Street
Your Town, GA 30606
701-331-4426

Hobbies:

Ms. Sims enjoys walking, reading, hiking, and spending time with children.

Personal Information:

Height - 5'5", Weight - 140 lbs.

*Ms. Sims is going through a divorce. She is angry and sometimes goes through moments of depression. Husband left her for another woman six months ago. She has not received any financial support from her husband.

Income:

Food Stamps - $149.00

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT Date: 3/2/4R

_______________ County Department of Family and Children Services

Case Name James Rawlings Case Number 25544882l

Client Name _______________ Case Manager/Caseload IMW/204M

Client ID Number 789324519 Case Manager Telephone 478-555-1212

Date of Birth 11/27/4R - Age 42 Employment goal Accountant

1. Are you working now? ☐ Yes ☒ No If yes, answer the following:

   Current employer _______________

   Salary $ ________ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ________

2. If you are not employed, are you looking for work? ☒ Yes ☐ No

   What are you doing to look for work? Looked in newspaper; Asked friends and relatives; Registered with DOL and Temp Agencies

   List the jobs for which you have applied. Loan officer - 1/7/4R
   Bank Teller - 2/9/4R
   Financial Advisor - 3/2/4R

   If you are not looking for work, why not? _______________

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date/End Date	Reason Left
Enron Financial Services	Acct. Clerk - assisted in preparing financial statements, managing customers' accounts, ordering and purchasing supplies, etc. 40hrs/wk - annual salary - $38,000	10/4R 1/4R (21 years)	Business Closed

4. Are you attending school? ☐ Yes ☒ No If yes, what is the name of the school and when will you graduate?

   _______________ If no, what is the name of the last school you attended or the school from which you graduated? Eagle High School

   If you graduated, what was the year of graduation? 6/4R

   Have you had difficulty learning in school? ☐ Yes ☒ No

   Have you received special help in school? ☐ Yes ☒ No

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? 12th

   Do you have a diploma or GED? ☒ Yes ☐ No

   List any training/education you received after graduating from high school. 3½ yrs. - Business - Towns University - * Mr. Rawlings wants to return to school for additional training.

6. Do you care for a disabled household member? ☐ Yes ☒ No If yes, for whom, and for what disability?

   ____

   NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? ☐ Yes ☒ No If yes, when, where, and why? ______________________________

   What was the result? (Probation, jail, found not guilty, etc.) ______________________________

8. What is your usual means of transportation to go shopping, pay bills, etc.?

   1999 Chevrolet

   Do you own a car? ☒ Yes ☐ No Do you have a driver's license? ☒ Yes ☐ No Have insurance? ☒ Yes ☐ No

   *will need to renew next month

9. Do you have children who will need day care? ☐ Yes ☒ No

   If yes, what are their ages? ______________________________

10. Is there any reason why you should not take part in work activities now? ☐ Yes ☒ No

    If yes, why? ______________________________

11. Are you in good health? ☒ Yes ☐ No If no, what problems do you have that may make it hard for you to work?

    N/A

    For how long will you have these problems? N/A

    Do you take medications for these problems? ☐ Yes ☐ No If yes, what are they? N/A

    How often do you see your doctor? yearly When did you last see your doctor? last year

12. Are you pregnant? ☐ Yes ☒ No If yes, when is the baby due? ______________________________

13. Do you drink alcohol or use drugs? ☐ Yes ☒ No If yes, answer the following:

    Has drinking or drug use ever caused problems for you on the job or at home? ☐ Yes ☒ No

    Have you ever been in treatment for drug or alcohol abuse? ☐ Yes ☒ No

ASSESSMENT NOTES

James Rawlings **ID# 789324519**

Address: 701 Tenth Street
Your Town, GA 30600
Ph.#: 404-821-4453

Hobbies:

Mr. Rawlings enjoys reading, traveling, fishing, and bike riding.

Mr. Rawlings is also interested in returning to school. He has already identified some courses that are available at the local technical school and college.

Personal Information:

Height - 6'1", Weight - 185 lbs.

*Mr. Rawlings is having problems adjusting to his wife's death. She died last year.

Income:

Food Stamps - $149.00

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT Date: 7/18/4R

_______________ County Department of Family and Children Services

Case Name Hattie Johnson Case Number 111827341

Client Name _______________ Case Manager/Caseload IMW/204M

Client ID Number 993499811 Case Manager Telephone 478-555-1212

Date of Birth 10/16/4R - Age 45 Employment goal Food Service Worker

1. Are you working now? ☐ Yes ☒ No If yes, answer the following:
   Current employer _______________
   Salary $ ________ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ________

2. If you are not employed, are you looking for work? ☐ Yes ☒ No
   What are you doing to look for work? N/A

   List the jobs for which you have applied. N/A

   If you are not looking for work, why not? * Wants to learn a skill

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date/End Date		Reason Left
Holiday Inn	Housekeeper - cleaned	7/11/4R	5/10/4R	Unable to maintain
30hrs/wk @ 5.15 hr.	rooms, changed sheets +	(10 months)		work pace
	completed paperwork			
Burger King	Food Preparation - prepared	6/3/4R	2/1/4R	Laid off
25 hrs/wk @ 5.15 hr.	orders	(2 yrs.)		
Macy's	Housekeeper - cleaned	2/12/4R	7/8/4R	Health problems
25 hrs/wk @ 5.00 hr.	executive offices	(5 years)		

4. Are you attending school? ☐ Yes ☒ No If yes, what is the name of the school and when will you graduate?
   _______________ If no, what is the name of the last school you attended or the school from which you graduated? Perry High School
   If you graduated, what was the year of graduation? ________
   Have you had difficulty learning in school? ☒ Yes ☐ No
   Have you received special help in school? ☐ Yes ☒ No

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? 12th (may need re-training if no employment is available)
   Do you have a diploma or GED? ☒ Yes ☐ No
   List any training/education you received after graduating from high school. 12 months of electrical wiring and Carpentry at Your Town Technical School

6. Do you care for a disabled household member? ☐ Yes ☒ No If yes, for whom, and for what disability?
   ____
   NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? ☒ Yes ☐ No If yes, when, where, and why? 1970-1980 received several speeding tickets
   What was the result? (Probation, jail, found not guilty, etc.) paid tickets

8. What is your usual means of transportation to go shopping, pay bills, etc.?
   1989 Ford Truck
   Do you own a car? ☒ Yes ☐ No Do you have a driver's license? ☒ Yes ☐ No Have insurance? ☒ Yes ☐ No

9. Do you have children who will need day care? ☐ Yes ☒ No
   If yes, what are their ages? ______________________

10. Is there any reason why you should not take part in work activities now? ☐ Yes ☒ No
    If yes, why? ______________________

11. Are you in good health? ☒ Yes ☐ No If no, what problems do you have that may make it hard for you to work?
    ____
    For how long will you have these problems? N/A
    Do you take medications for these problems? ☐ Yes ☐ No If yes, what are they? N/A
    ____
    How often do you see your doctor? regularly When did you last see your doctor? 6 months ago

12. Are you pregnant? ☐ Yes ☒ No If yes, when is the baby due? ______________________

13. Do you drink alcohol or use drugs? ☐ Yes ☒ No If yes, answer the following:
    Has drinking or drug use ever caused problems for you on the job or at home? ☐ Yes ☒ No
    Have you ever been in treatment for drug or alcohol abuse? ☐ Yes ☒ No

7/18/YR

ASSESSMENT NOTES

Hattie Johnson **ID# 99149981**

Address: 701 Eighty Street
Your Town, GA 31111
Ph.#: 702-828-2887

Hobbies:

Mrs. Johnson enjoys dancing, sewing and decorating cakes.

Personal Information:

Height - 5'5", Weight - 164 lbs.

Mrs. Johnson has been on and off public assistance for 10 years. She helped her mother in the rearing of her sister and brothers. She has never been married. Great attitude about life. She wants to learn a skill that will enable her to remain off public assistance.

Income:

Food Stamps - $149.00

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT

Date: 7/18/4R

________________________ County Department of Family and Children Services

Case Name Fredrick Glass Case Number 879131311

Client Name ____________ Case Manager/Caseload IMW/204M

Client ID Number 554331879 Case Manager Telephone 478-555-1212

Date of Birth 12/4/4R - Age 32 Employment goal Maintenance Technician

1. Are you working now? ☐ Yes ☒ No If yes, answer the following:
   Current employer ____________
   Salary $ ______ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ______

2. If you are not employed, are you looking for work? ☒ Yes ☐ No
   What are you doing to look for work? Looked in the newspaper; asked friends and relatives; registered with DOL and Temp agencies

   List the jobs for which you have applied. 6/4R- construction and production jobs - worked on some short-term assignments provided thru temp agency. Mr. Glass has been out of work off and on

   If you are not looking for work, why not? N/A

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date	End Date	Reason Left
Paul's Temp Agency	Production Tech-driving	7/1/4R	6/30/4R	Was on call - needed
99 Fisher Way	forklift, electrical	3-8 hrs/wk		long-term assignment (worked 1 yr)
	wiring, file work	7.50hr		
Fleetware Construction Dinner Fork Road	Sub-contractor- framing, electrical wiring + carpentry	9/1/4R	5/30/4R	Business closed (worked 5½ yrs)
		$32,000/yr @ 40hrs/wk		

* Mr. Glass is frustrated about the lack of work. He believes that relocation would be the best way to find a job

4. Are you attending school? ☐ Yes ☒ No If yes, what is the name of the school and when will you graduate?
   ____________ If no, what is the name of the last school you attended or the school from which you graduated? Richmond Hill Academy
   If you graduated, what was the year of graduation? 6/4R
   Have you had difficulty learning in school? ☐ Yes ☒ No
   Have you received special help in school? ☐ Yes ☒ No

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? 12th (may need re-training if no employment is available)
Do you have a diploma or GED? [X] Yes [ ] No
List any training/education you received after graduating from high school. 12 months of electrical wiring and Carpentry at Your Town Technical School

6. Do you care for a disabled household member? [ ] Yes [X] No If yes, for whom, and for what disability?

NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? [X] Yes [ ] No If yes, when, where, and why? 1970-1980 received Several Speeding tickets
What was the result? (Probation, jail, found not guilty, etc.) paid tickets

8. What is your usual means of transportation to go shopping, pay bills, etc.?
1989 Ford Truck
Do you own a car? [X] Yes [ ] No Do you have a driver's license? [X] Yes [ ] No Have insurance? [X] Yes [ ] No

9. Do you have children who will need day care? [ ] Yes [X] No
If yes, what are their ages?

10. Is there any reason why you should not take part in work activities now? [ ] Yes [X] No
If yes, why?

11. Are you in good health? [X] Yes [ ] No If no, what problems do you have that may make it hard for you to work?

For how long will you have these problems? N/A
Do you take medications for these problems? [ ] Yes [ ] No If yes, what are they? N/A

How often do you see your doctor? regularly When did you last see your doctor? 6 months ago

12. Are you pregnant? [ ] Yes [X] No If yes, when is the baby due?

13. Do you drink alcohol or use drugs? [ ] Yes [X] No If yes, answer the following:
Has drinking or drug use ever caused problems for you on the job or at home? [ ] Yes [X] No
Have you ever been in treatment for drug or alcohol abuse? [ ] Yes [X] No

ASSESSMENT NOTES

Fredrick Glass **ID# 554331879**

Address: 821 Mall Avenue
Your Town, GA 31111
Ph.#: 707-263-4211

Hobbies:

Mr. Glass enjoys fishing, reading and riding his dirt bike.

Personal Information:

Height - 6'2", Weight - 220 lbs.

Mr. Glass's wife left him four months ago to travel to the big city. She couldn't take the rural life. Mr. Glass is a construction worker by trade, but is having a hard time securing a job in a small town. He is thinking about moving to a larger city.

Income:

Food Stamps - $149.00

Exercise: Assessments and Work Plans

A. Determine whether the following statements are true or false. Explain if necessary.

___ 1. Assessment is an ongoing process.

___ 2. ABAWDs who are employed less that 20 hours per week do not have to be assessed.

___ 3. E&T Case Manager cannot pay for criminal background checks.

___ 4. The Work Plan is written the day of assessment.

___ 5. "Complete Vocational Training" is a good employment goal for an ABAWD.

___ 6. Full-time work is 30 hours or more per week.

___ 7. E&T Case Manager will pay tuition for short-term training (6 months or less) only if it is not available from any other source.

___ 8. A participant who receives a 1.9 grade point average for the second consecutive quarter is meeting the Satisfactory Progress Definition for vocational education.

___ 9. A participant may be involved in more than one activity at a time

___ 10. A review is completed and the Food Stamp allotment increases from $110 to $125. If an ABAWD in this FS household is participating in work experience, the CM must recalculate the work experience hours.

B. Complete the following.

1. What is the purpose of assessment?

2. What is the last step of every work plan?

3. Name three education activities.

4. Name a verification used to document a client's participation in activities.

Objectives

- Participants will discuss the types of countable months.
- Participants will discuss the importance of monitoring ABAWDs' participation in activities.
- Participants will explain the procedures for resolving incidents where the ABAWD does not meet the work requirement.
- Participants will discuss E&T sanctions imposed by the Family Independence Case Manager.
- Participants will explain the procedures for E&T sanctions.
- Participants will discuss regaining eligibility and second three months for ABAWDs.

Forms

332, Food Stamp Non-Compliance Good Cause Notice
492, Communication Form

Failure to Comply With E&T

Failure to comply occurs when...	Action To Take
Refuses to attend a scheduled appointment with E&T CM	Consider Good Cause/Sanction
Refuses to attend a Training or Education Assignment	Consider Good Cause/Sanction
Refuses to complete Activity	Consider Good Cause/Sanction
Refuses to complete a Work Assignment	Consider Good Cause/Sanction
Refuses to provide Information	Consider Good Cause/Sanction
Commits any Participation Requirement Violation	Consider Good Cause/Sanction
Quits a Job	Consider Good Cause/Sanction
Refuses to Accept Employment	Consider Good Cause/Sanction

Procedures For Non- Compliance

Registrant fails or refuses to participate

CM determines, if possible, the reason for not completing the work requirement by contacting the AU (form 332).

Failure to complete the work requirement with Good Cause?

YES

Grant Good Cause
Or
15% Participation Exemption

NO

CM determines countable months, and refers registrant for sanction.

FICM imposes sanction, allowing timely notice

If registrant contacts Agency and completes the work requirement during timely notice, period, no sanction is imposed.

CM closes E&T case in SUCCESS using appropriate closure reason.

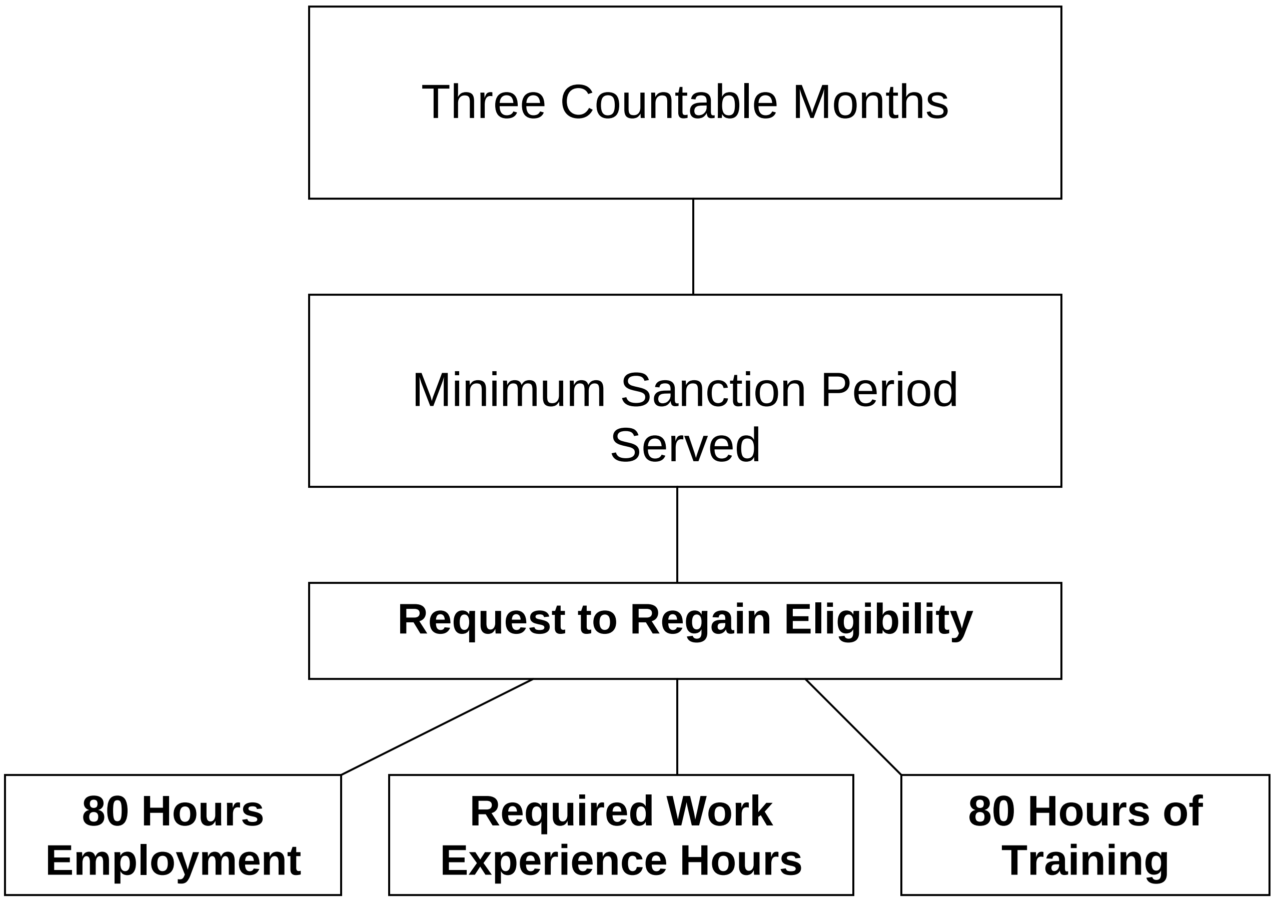
ABAWD Countable Month

A countable month is a month in which the ABAWD receives benefits without meeting the ABAWD work requirement.

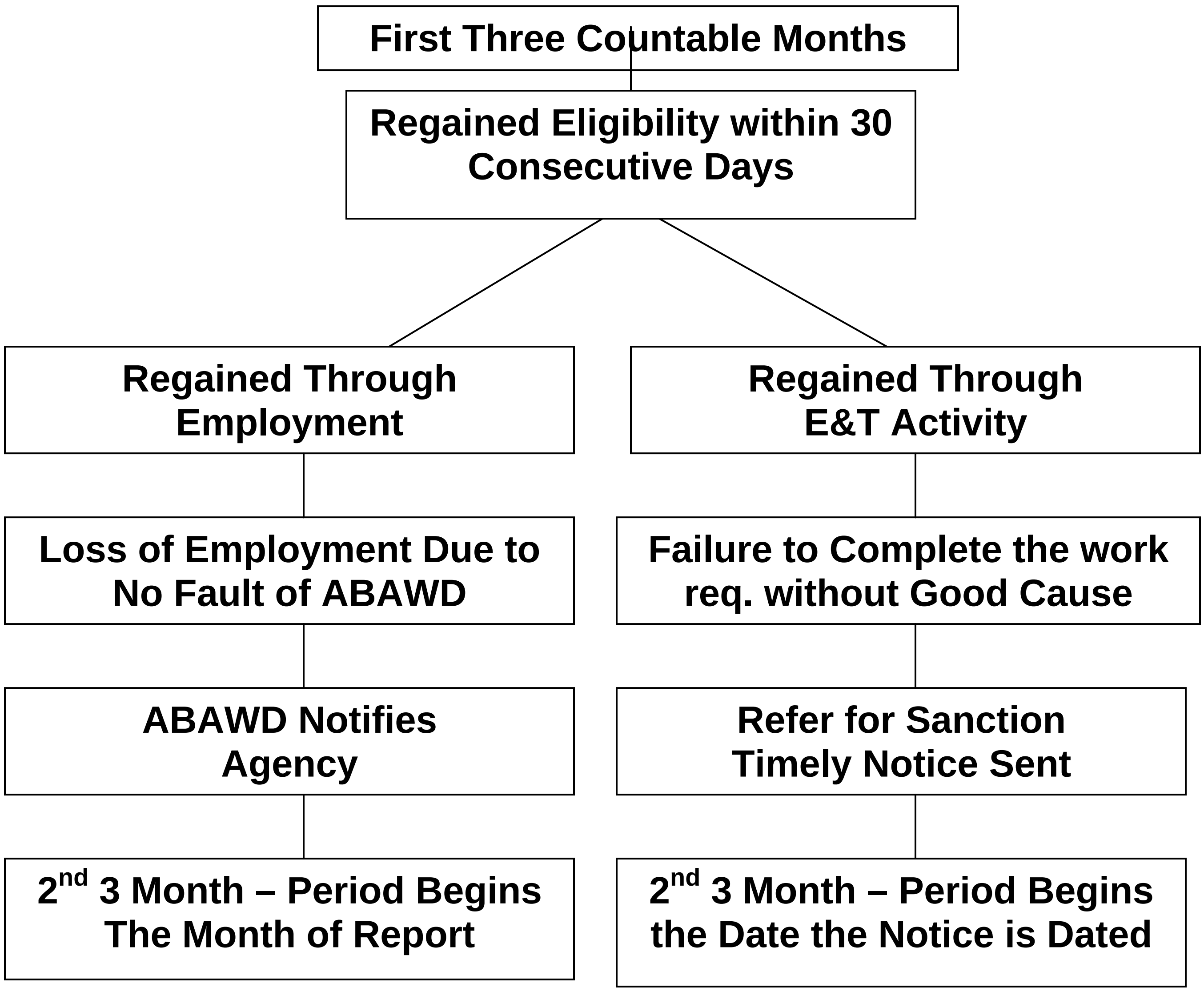
If ABAWD fails to comply and:	Then the month is:
ABAWD becomes exempt from work registration	Not a countable month
ABAWD is eligible for 15% participation exemption	Not a countable month
ABAWD had Good Cause for failure to comply	Not a countable month
ABAWD receives prorated benefits	Not a countable month
ABAWD receives a full month of benefits in an initial month	A countable month
Countable month in another state	A countable month

Once an ABAWD has accumulated 3 countable months, eligibility must be regained in order to receive FS benefits.

Regain Eligibility



Second Three-Months



Example of Second Three – Months For ABAWDS

- Ms. Smith has used her three compliance months.
- Ms. Smith has regained eligibility successfully through work experience. She has been approved for benefits November, December, and January.
- She continues to participate in work experience as scheduled at the local DFCS office.
- On January 4, CM received her attendance sheet for December. Ms. Smith met her work requirement for the month.
- On January 27, Ms. Smith's FS case is re-certified for February, March, and April.
- CM learns on February 5 that Ms. Smith failed to comply without good cause with her work requirement in January/
- Her second three-month period runs February through April. This is her second violation, therefore, she will be sanction March – May.
- Ms. Smith re-applies for FS on June 6 but she is ineligible to receive because she is not in a self – initiated activity. Therefore, her FS application is denied.

However, Mr. Bell does not complete his work experience hours in July and August. The E&T worker learns of the failure to complete the requirement in August and refers for sanction because good cause does not exist. The FS case is sanction effective September. Mr. Bell has received FS for 2 months in which he did not complete his work requirements. This is the first E&T sanction; he must be sanctioned one month or until he completes the work requirement, whichever is longer.

Mr. Bell re-applies for FS on October 6, 2001. He must completer the E&T requirement before his FS case can be approved. Mr. Bell is assigned to complete 27 hours of work experience no later than November 5. He completed the activity by October 20, and his case was certified for October through December.

Mr. Bell does not meet his work requirement in November because he had the flu for three weeks. When Mr. Bell come in for his FS review in December, the E&T CM determines Good Cause for November. Mr. Bell completes the work activity in December. His case is certified January – March, 2002.

Mr. Bell fails to complete his work activity without good cause in January. This is his 3rd month of non-compliance with ABAWD requirements, and his 2nd E&T sanction.

Mr. Bell must be sanctioned 3 months (February – April, 2002)
Mr. Bell must regain eligibility before certification of FS.

Mr. Bell re-applies for FS on 5/4/02. He successfully regains eligibility through work experience on 5/18/02. His FS case is certified for May – July, 2002. If Mr. Bell fails to complete the work requirement after regaining eligibility, he is eligible to receive his one and only second three-month period to receive benefits within 36-month period.

After he has used the second three-months, he must be in a self – initiated employment or training activity in order to re-establish eligibility.

Objectives

- Participants will review and prioritize a Case Manager's duties/responsibilities.
- Participants will identify resources that are available to assist them in becoming effective case managers.
- Participants will identify areas of extreme importance.
- Participants will discuss the various stages in skill development.
- Participants will complete course feedback.
- Participants will write an Action Plan.

Closing

I. PUTTING IT ALL TOGETHER

A. Referrals

- Review New Registrants via **SUCCESS**.

B. Orientation

1. Determine which participants will be invited to orientation.
2. Complete logistical arrangements: where, when, agenda (with script prepared), arrangements completed for other presenters, if any, and all other resources.
3. Code **SUCCESS** to send out letters to participants.

C. Assessments

1. Complete Assessment (Form 493) via SUCCESS
2. Determine which participants are ready to work
3. Arrange for literacy testing
4. Arrange for Georgia Career Information System testing
5. Determine resource/placement availablility:
   - WIA
   - AED/GED classes
   - Secondary education institutions
   - Technical School
   - Work Experience Placement Sites
   - Transportation

D. Work Plans

1. Determine appropriate employment goal for each participant
2. Develop individualized Work Plan for each participant
3. Develop WPs that will allow participants to complete training that will get them to their first level of employment. Participants may pursue long-term goals on their own while maintaining their employment.

E. Documentation/Verification

1. Enter all activities on **SUCCESS**.
2. Complete case record documentation timely
3. Verify participation in the activity monthly or as required
4. Document progress, financial aid, grades, job search, attendance and transportation monthly or as required

F. Work Plan Updates

1. Complete at established time frames or as required
2. Document/verify participation in the activity as required

G. Reporting

1. Complete all documentation timely and accurately. Code all activities on SUCCESS to assure accurate and timely reporting.
2. Monitor expenditures and performance levels for ABAWDs.
3. Validation of filled slots.

H. Policy

1. Review manual transmittals, memos, and all other related policy issuances
2. Ask for clearances when needed
3. Access the “FS.Helpdesk/ABAWD” for policy clarification.

II. COORDINATION WITH OTHER AGENCIES

A. Helpful Hints

1. Understand the philosophies of other agencies; has it changed?
2. Develop a relationship with your partner agencies.
3. Know who/what the industry employers are in your community. WIA, DOL and Chamber of Commerce can give you information about this.
4. Know what types of jobs are available (job titles, salary, turnover ratio, career opportunities).
5. Know what skills are required for employment.

B. Monitoring

1. Assure that clients participate and complete training.
2. Assure that training is provided according to written agreements.

III. AREAS OF EXTREME IMPORTANCE

A. Identifying ABAWDs (age limits)

B. Tracking ABAWDs and monitoring participation in activities at the required level

C. Coding computer properly

D. Validation of filled slots

TABLE OF CONTENTS

THE HELPING RELATIONSHIP

By Elizabeth W. Lindsey

The goal of the interpersonal skills component of this training program is to help you expand your repertoire of interpersonal helping skills. Probably the most important tool workers have is their ability to use themselves. Although paper, pencils, forms, manuals, and the telephone are all important tools, workers' ability to express themselves verbally and nonverbally in their interactions with clients often will determine the effectiveness with which they help people.

One of the most important ways in which workers use their interpersonal skills is in the development of a positive relationship with clients. The following excerpt illustrates what "relationship" means to people's lives.

> I can feel the difference when the [grocery] clerk responds to me rather than to my groceries. (I'm sure you've had the same experience.) Some do respond **only** to the objects in the basket, not speaking a word of greeting, nor even looking at me as I say, "Hi!" Mind you, I'm neither looking for a conversation nor a distraction to increase the probability of an error. All I'm looking for is that little, but significant, difference that **relationship** makes.
>
> And what a difference it makes! When the clerk catches my eye and smiles -- saying something like, "Hello, do you have any coupons today?" -- I feel good inside. At the least, I feel noticed. More so, I feel related to this person, connected in a genuine, human, maybe even caring way. It takes only a few seconds for this contact to be established, for a message of warmth to be conveyed. Sometimes it seems as though some energy passes between us. Whatever actually occurs, in those few seconds enough happens to make the business of getting my groceries checked and bagged an **uncommon experience**. Actually, those few seconds influence my returning to the store. If I can, I'll choose that clerk's register the next time I'm in. That may mean she checks more customers, works a little harder, but I'll bet she also enjoys her work more than the worker who relates only to groceries, and not to people, all day long.

The difference in the two workers is relationship. One responded personally; the other depersonalized the interaction, adding nothing to me and perhaps even taking something from me. The worker who humanized the experience added to me. She gave me something of herself. Sure, it was only a bit; but little bits of caring count -- at the grocery, the post office, or the County Department of Family and Children's Services.

This difference between the service providers in the grocery store is a part of what has been identified as the helping relationship. Whereas, in the grocery store it is only an added plus and essential to the service provided, for those of us who are professional care givers -- social workers, [case managers], nurses, doctors, lawyers, etc. -- the relationship **often does** make the difference in providing the service (Pippin, 1980).

A helping relationship is different from other kinds of relationships. The helping relationship is oriented toward the client's needs, not toward the mutual needs of both parties. The relationship is time-limited; the worker and client will only be involved with each other for as long as it takes to resolve the problem which caused the client to become involved with the agency. Each of the partners in the helping relationship is placed in a role: the client is the "helpee," the person in need of assistance, and the worker is the "helper," the person who is to help the client receive the assistance they need. The relationship is formed for a specific purpose, for instance, to help a parent receive education or training or to provide services the client cannot obtain alone. The purpose of the relationship defines the tasks on which the worker and client will work together. In addition to resolving the problem with which the client needs assistance, the worker also has the goal of helping the client in a way that respects the person's worth and dignity and increases the likelihood that the client will be able to resolve similar problems in the future.

BALANCING ATTENTION TO TASK AND FEELINGS

If the helping relationship is the context within which the client's problems are to be addressed, the worker must achieve a balance between focusing on the task (the specific reason the client is involved with the agency) and focusing on the client's emotional reaction to the situation. The helping relationship is not developed first, before helping begins. Rather, it is as the worker and client begin to explore the problem and its impact on the client that both the work and the relationship begin.

The helping relationship must be task-oriented. Clients must believe they can get help with their problems. They begin to believe the worker may be able to help them as the worker begins to listen, ask questions about the situation, and encourage clients to talk about the problem itself. Problem solving is a rational process during which the worker and client assess problems, explore alternatives, make decisions about options and evaluate outcomes; however, workers do not simply march clients lock-step through a problem-solving process by focusing strictly on facts, but also attend to the feelings and emotions clients experience as they engage in problem solving.

Not only do feelings provide valuable information to use in problem-solving, but failure to recognize and respond to feelings can derail the problem-solving process entirely. When clients feel the worker is not interested in the emotional impact of their situation, they may believe the worker does not care about the client as a person. Ignoring feelings can give the message that the worker is more interested in the problem than in the client. Clients, whose feelings are ignored or given short shrift, may become defensive, resistant, uncooperative, or angry and believe the worker is not to be trusted. These are not firm grounds for the development of a helping relationship.

Thus, the worker is constantly shifting between attending to the client's current emotional state and attending to the particular task. As clients begin to discuss the facts of their situation, feelings may surface. The worker then attends to the feelings, letting the client know the worker cares and is interested in these feelings. As clients are able to express their feelings and begin to feel understood, often the client will be the one to refocus on the task at hand. If not, it is the worker's responsibility to make the transition. Thus, during the course of an interview, the focus will shift back and forth between attention to task and emotion. Through this dynamic process, the client will come to realize the worker is not only concerned about the problem, but also about the client, and the helping relationship is born.

INTERPERSONAL HELPING SKILLS

"Relationship" does not result from a worker's charismatic personality or a mystical connection between people. Rather, it is the product of a client's willingness to be open and risk "relating" to the worker and of the worker's commitment to help and ability to relate on an interpersonal level.

Core Conditions

Carl Rogers (1957) defined three "core conditions" which are essential to the development of a helping relationship: empathy, respect, and facilitative genuineness. **Empathy** refers to a process during which one person can tune in to another person's emotions and communicate that understanding without losing objectivity. **Facilitative genuineness** refers to the absence of mixed messages in the worker's communication with the client. **Respect** refers to the worker's ability to maintain a non-judgmental attitude which conveys caring, concern, and acceptance of the client as a unique human being. A worker's ability to communicate these three core conditions will strongly influence the extent to which the client is willing to enter into a cooperative relationship with the worker or the extent to which their interactions will be characterized by hostility, mis-communication, mistrust, indifference, and lack of mutual courtesy.

The nature of the worker-client relationship, which is determined in part by the worker's ability to create a climate in which the client feels empathy and respect and where the client perceives the worker as genuinely interested in helping, provides a backdrop against which the "helping" process occurs. Although some psychotherapists would claim that in some situations, the development of a helping relationship itself is the vehicle through which the goals of the helping may be met, this is not the case within the area of public social services. Clients become involved with the agency to receive help for specific needs. Some clients are involved with the agency on an involuntary basis and may in fact strongly resent the involvement of the agency in their lives. Whatever the reason for agency involvement, the worker and client will have to enter into a cooperative process whereby the situation and possible resources or solutions are examined. In this case, it is obvious that a helping relationship is a necessary, but not sufficient, condition for meeting client needs.

The interview is the vehicle through which the worker comes to understand the circumstances that brought the client to the agency, the problems with which the client wants help, and ways the agency and worker can be helpful to the client. The interview can also serve to aid clients in gaining greater understanding of their own situations and in making decisions about courses of action. Workers are responsible for assuring that the interview process facilitates the accomplishment of the client's goals. Their use of interpersonal helping skills will determine how effective they are in carrying out this responsibility.

Continuum of Skills

Interpersonal helping skills can be viewed along a continuum (Table 1) which describes the extent to which a worker is engaged in listening to the client or in actively directing the focus of the interview. Benjamin (1974) differentiates between worker "responses," which react to the ideas and feelings of the client, and worker "leads," which express ideas and feelings to which the client is expected to react.

The continuum outlines the use of interpersonal skills within the listening and/or leading framework. Skills are grouped according to the primary purpose they can serve in this process: exploring, focusing, or planning. The skills on the listening end of the continuum help clients to **explore** their concerns or situations. The skills in the center of the continuum help workers to **focus** on a situation. On the leading end, workers use skills to help clients **plan** the action or direction to take. Workers' awareness of this process (moving from exploring to focusing to planning) will enable them to choose the most appropriate skills to use during each aspect of the interaction.

TABLE 1

CONTINUUM OF INTERPERSONAL HELPING SKILLS

Core Conditions for Helping

Empathy	Genuineness	Respect
Listening and/or Responding		Leading and/or Influencing
Explore	Focus	Plan
Attending Behaviors	Summarizations	Directions
Reflections	Questions	Information-giving
Silence	Concreteness	Self-Disclosure
	Positive Reinforcement	

Client determines focus of discussion; worker does not attempt to directly influence client, but, instead, attempts to find out "where client is."	Worker determines focus of discussion; worker has enough understanding of the situation to attempt to directly influence client.

Silence in the Interview

The skills discussed thus far are all verbal skills. There is also skill involved in understanding and using silence in the interview. Workers are often quite uncomfortable when silences occur. They often accept responsibility and feel guilty for client silences, thinking, "I've done something wrong," or "I'm not helping this person." In addition to blaming themselves, workers may also judge the client for the silence, and label that person as rude, impolite, hostile, or resistant to help. While these are all certainly possible explanations for silence during an interview, they reflect a view of silence as negative and counterproductive. On the contrary, silence is a form of communication, one which can be very beneficial to both worker and client, albeit one which is often difficult to understand. It is important for workers to avoid judging or evaluating the silence, to learn to reach for the meaning of silence and to accept and respect client silence.

Client-Initiated Silences

Client-initiated silences may be brief pauses or may drag on into extended periods with no verbal communication. While many people are more comfortable with the former than with the latter, workers often find it difficult to allow even brief pauses, feeling they must fill up any space the client leaves. Brief silences provide an opportunity for clients to process their thoughts and feelings, to take stock of where they are and to decide what to say next. During these times, it is generally best for the worker to avoid interrupting the client's train of thought. Eye contact and other attending behavior should be maintained, which communicates to the client that the worker is "with" them and allows the client the space needed to process thoughts or feelings internally.

An exception to this general rule of not interrupting brief silences is when clients are silent because they are confused about something the worker has said. As people often communicate confusion nonverbally through facial expressions, observant workers can usually pick up on and highlight or clarify confusion.

While many people are comfortable with brief pauses, few can tolerate extended silences without discomfort. Long periods of silence are a real challenge to workers, whose natural inclination is to try to get the client to talk or to talk themselves, just to fill the silence. Extended silences may occur for many reasons. Clients may need longer than a brief pause to process their thoughts or to delve more deeply into their feelings. They may be confused about their thoughts or feelings and have a difficult time sorting them out. At other times, prolonged silences occur because the client is resisting becoming involved with the worker or resisting the help the worker offers.

Workers may or may not know the reasons for a client's silence. Sometimes it is fairly obvious why a person is not talking, for example, if the interview has just begun and the person is not sure how to start or if what they have just been discussing is intense (i.e., frightening, shocking, tragic, confusing, heartwarming). If such discussions lapse into extended silence, it is generally clear that the person is processing what is going on internally rather than through words. At such times, the worker may simply remain quiet, giving the client the time and space needed.

Probably the most uncomfortable silence is that of the "resistant" client. These are individuals who are not willing to open themselves up to the helping process because of anger, hostility, fear, anxiety, or negative perceptions of the case manager, agency, or the helping process. Even with voluntary clients, certain topics may bring out resistant silences. When case managers take these clients' anger, hostility, or fear personally, their own feelings may interfere with their ability to reach out and help the client deal with the meaning of the silence. It is the worker's responsibility to help the client work through the resistance and the underlying emotions by reaching for and acknowledging the meaning of the silence. Clients may be pressured into filling a silence, but there is no guarantee they will tell the truth, talk about what is really important or become engaged in the helping relationship. In the long run, the most effective method of breaking through resistant silence is to treat it with patience, empathy, and respect, even if that means some interviews involve little or no verbal interaction.

Silence as a Worker Tool

At times, case managers initiate silence, that is, they choose to use silence as they would one of the verbal interpersonal skills. Silence may be the skill of choice when a worker wants to encourage the client to think and feel more deeply. Silence, accompanied by an appropriate gesture, can encourage a person to keep talking while communicating that the worker is "with" the client. Silence also gives the worker an opportunity to tune in to nonverbal behavior, such as the client's posture, voice tone, facial expressions, etc.

Communicating Roadblocks

The core conditions and interpersonal skills described above can be used to open up the channels of communication between worker and client. Other types of communication on the worker's part can actually block or hinder communication. These roadblocks to effective communication carry a high risk of making clients become defensive or argumentative, feel interrupted or cut off or stop talking. Some of the roadblocks also have the potential for making clients feel inadequate or inferior, unaccepted, guilty, resentful, angry, not understood, or not trusted to solve their own problems.

Several of the roadblocks are easily recognized as serious barriers to communication. No one likes to be lectured to, threatened, ordered, judged or blamed, argued with or preached to; however, the negative effects of several of the roadblocks may be more subtle. These roadblocks are often found in everyday conversation, as well as in ineffective interviews. For example, in conversations with friends or acquaintances, people often give advice, reassurance, or sympathy; interpret or analyze the other's thoughts or feelings; change or avoid the subject when they feel uncomfortable with a topic, or offer clichés. While people's intentions may be good, these roadblocks tend to close rather than open up communication. This training program will offer better alternatives for facilitating open, two-way communication.

REFLECTIONS

by Elizabeth W. Lindsey

Listening is an active process which requires complete concentration on what the client is expressing. When listening, one is reacting to the ideas and issues the client expresses rather than directing the client to discuss topics in which the worker is interested. Active listening involves using both verbal and nonverbal interpersonal skills to let clients know that they are being heard and understood. Psychological and physical attending are, for the most part, nonverbal skills which indicate interest and encourage the client to communicate openly.

RESPONDING BY REFLECTIONS

For clients to feel they have been truly understood, however, they must get a verbal response from you which indicates that their message has been accurately heard. One way that you can provide this feedback is by using reflections, which are a way of verbally attending to a person. Reflections are concise restatements of the client's immediate past message. When you accurately reflect a client's verbal message, you paraphrase, or put into your own words, what the client has said. A word-for-word repetition (parroting) of what the client said is not a reflection. For example:

Client: I don't know about him. One moment, he's as nice as can be, and the next he treats me terribly.

Worker A: One moment, he's as nice as can be, and the next he treats you terribly. (Parroting)

Worker B: You don't know what to make of him because he's so inconsistent. (Reflections or paraphrase)

Reflections are also different from minimal encouragers to talk. While both are skills that can be used to encourage or keep the client talking, minimal encouragers differ in that they may be only one-word or two-word responses, such as "Um-hmm" or "That's good," or a head nod, none of which actually demonstrate understanding.

Nonadditive

An accurate reflection mirrors only what the client has said or implied through their normal behavior. Reflections do not add any new information or interpretation by the worker. When reflecting appropriately, you avoid taking any position and simply "mirror" the client's message rather than express your own views. For instance:

Client: I've been looking for a job. I've been watching the ads and have put in applications at several places, but nothing seems to be coming my way.

Worker A: You haven't been able to find a job, and you think maybe you aren't looking in the right places. (additive)

Worker B: You've been trying but haven't had any success in finding a job. (nonadditive)

Worker A adds new information to what the client has said when she suggests a reason for the client's not being able to find a job. Worker B accurately reflects what the client has said.

Personalized

Reflections are most effective if they are personalized by using the word "you" or by using the client's name. Personalizing reflections is a way of acknowledging the client as a person and not as just another case. It is a way of showing respect for the client.

Client: Since I stopped seeing him, I've slept a lot better.

Worker A: It's been better. (not personalized)

Worker B: So you've been sleeping better since you broke it off with him. (personalized)

Types of reflections

Although a reflection always follows directly from something the client has communicated, you must make decisions about what parts of the client's message to reflect. By selectively attending and responding to particular cognitive or affective components of the message, you encourage clients to discuss specific aspects of their situation and/or feelings. Thus, use of reflections allows you to direct the flow of the interview more than is possible when using only attending behavior.

Reflections of content

When workers paraphrase the objective verbal content the client has just expressed, they are reflecting content. Reflections of content refer to beliefs, opinions, events, and facts described by the client. By selectively attending to these aspects of the client's message, workers indicate that they understand the content of the message and encourage the client to continue discussing facts, belief, events or opinions rather than feelings.

EXAMPLES

Client: Well, now we have my husband's children with us all the time, and of course, I still have my two. We're still in the same apartment and it's pretty bad. I can't keep it straight. Seems like one of the kids is always spilling something or leaving his clothes lying around all over the house.

Worker: You're pretty crowded in there now and it's hard to keep the apartment as clean as you would like to. (reflection of content)

Foster Parent: You know, I told you last time that Tommy had talked about dropping out of school. Well, he's been talking about it a lot since then, and I think he's really going to do it. I don't think he's going to stay in school a day over sixteen.

Worker: So you think he's determined to quit school just as soon as he can. (reflection of content)

Reflections of Feelings

Reflections of feelings attend to the emotional aspect of the client's message. Reflecting feelings requires that the worker first accurately identify and label the client's emotional state and then communicate this understanding to the client. Since many people do not express their emotions through direct verbal statements ("I'm really mad!"), you must frequently discern the client's emotional state from indirect verbal messages ("I've really had it with my landlord!") and nonverbal clues (clenched jaw, loud voice, tight lips).

Reflections of feelings are not based on your guesses or inferences, but are a result of careful psychological attending to both verbal messages and nonverbal cues. Frequently there is a discrepancy or inconsistency between these two sources of information, and you will have to decide which message to reflect. Most often nonverbal cues are a more accurate indicator of feelings than are verbal statements.

EXAMPLES

Client: (Comes into the office, slumps down in chair, seems upset. Her lip is quivering; she says nothing.)

Worker: Ms. Brown, you seem really sad today. (reflection of feeling)

Client: I don't think Jimmy likes it here. I'm beginning to wonder if it wasn't a mistake. He and the other kids just aren't getting along at all.

Worker: You're pretty worried about Jimmy. (reflection of feeling)

Combined Reflections

A combined reflection includes references to both content and feelings in the message. A combined reflection tells the client that the worker understands what the client is feeling and why. Accurate combined reflections which capture the essence of clients' experience of their situations can communicate empathy, which encourages the client to continue exploring the topic under discussion. You can use the formula "You feel (emotion) because (content)" to get used to including both content and feeling in your combined reflections; however, used too frequently in actual situations this formula will sound artificial and contrived. As you practice and become more comfortable with reflections, you can stop using the formula and develop more natural ways of reflecting. In the first example below, compare the new Worker A, who is using the formula in the first example, with the more experienced Worker B, who is also reflecting content and feeling but without using the formula.

EXAMPLES

Client: Well, now we have my husband's children with us all the time, and, of course, I still have my two. We're still in the same apartment and it's pretty bad. I just can't keep it straight. Seems like one of the kids is always spilling something or leaving his clothes lying around all over the house.

Worker A: You feel frustrated because it's so hard to keep such a small place clean when it's so crowded. (formula)

Worker B: Sounds like it's pretty frustrating for you, trying to keep such a small place clean when it's so crowded. (reflection of content and feeling)

Client: I don't think Jimmy likes it here. I'm beginning to wonder is it wasn't a mistake. He and the other kids seem to get into arguments all the time.

Worker: You're afraid that Jimmy might be unhappy, and you're also worried because he and the other children don't seem to be getting along very well.

ATTENDING
by Elizabeth W. Lindsey

Workers are involved in helping clients meet their needs through resolution of problems in living. Whether the client's needs center around child abuse or neglect, or other problems such as financial difficulties, the need for medical care, child management or changing behavior, the helping process will be most productive when the quality of the relationship between worker and client is positive. Underlying the development of a positive working relationship is the worker's ability to convey acceptance of and respect for the client. In addition, the worker must convince the client that the worker can be trusted. Fundamental to the communication of respect, acceptance, and trust is effective attending.

There are two categories of attending:

- physical attending
- psychological attending

Physical attending involves intentional use of environment and body to demonstrate respect for, acceptance of and interest in the client. Psychological attending involves observing the client's nonverbal behaviors, assessing them and responding appropriately.

Physical Attending

Creating an Environment

- **Comfort.** The best physical environment for a helping interview is a comfortable one that does not distract the worker or the client from the task at hand. Workers often have little or no control over such comfort elements as type of furniture, lighting, room temperature or size of their office or interviewing space. These elements are especially out of the worker’s control when doing home visits; however, during both office and home interviews, workers can try to minimize physical barriers and outside distractions.

- **Physical barriers.** Workers who sit behind desks or other barriers do not seem fully available to their clients. An ideal setting for open communication might contain two equally comfortable chairs, placed close to each other but not directly across from one another (research has shown that direct face-to-face seating communicates confrontation or competition). The chairs should be arranged so that the interviewee can, when they wish, face the worker.

  Ideal settings are found in very few agency offices. Interviewing spaces tend to have a large desk, chairs which may not be very comfortable for either worker or client and little space within the room for rearrangement of furniture. Workers who are interested in minimizing barriers can try to arrange their desks so that the client is to the side rather than across the desk from the worker. This position is also a convenient one for both worker and client to review important papers together. Positioning the client's chair to the side of the worker's desk allows the worker to sit back from the desk and to face toward the client.

When interviewing in the home, workers will have less control over potential barriers. Home interviews may take place around a kitchen or dining room table, in a living room or on a front porch. When possible, workers should try to use the same principles for minimizing barriers. Avoid sitting directly across a kitchen or coffee table; rather, sit to one side of the client. Avoid sitting across the room from the client, as too much distance can also be a barrier.

- **Minimize distractions.** Ideally, there should be no distractions in the interviewing environment. The helping interview is demanding of both partners. It demands, among other things, that they concentrate as completely as possible on the present situation, thus establishing rapport and building trust. Outside interruptions can only hinder. Phone calls, knocks on the door, people who want "just a word" with you, secretaries who must have you sign this document "at once", may well destroy in seconds what you and the interviewee have tried hard to build over a considerable time span (Benjamin, 1974, p. 4). Although there are some distractions over which individual workers do not have control, workers can ask secretaries to hold their calls during an interview, and they can insist that co-workers or supervisors not interrupt the interview except in emergencies. If possible, they can close the office door if outside noises interfere with the interview or arrange to have the interview in a conference room.

  While workers often can minimize distractions in the office, they have little or no control over these factors when interviewing in the home. Telephone calls, television programs, children, neighbors, and dinner on the stove may all be competing with the worker for the client's attention. Uncomfortable or unstable furniture, poor lighting and excessively high or low temperatures can interfere with both the worker's and the client's ability to focus on the interview. Nonetheless, workers frequently have to interview under such conditions. Suggesting to the client that you talk privately where you are less likely to be disturbed may help minimize distractions, but in some homes this is not possible. If you know in advance that privacy is essential, advance arrangements to provide privacy should be made. While observing the client's surroundings is an important aspect of assessment, you may have to reschedule or even request an office appointment if conditions and distractions do not allow you and the client to accomplish what needs to be done.

Use of Body

The other aspect of physical attending, use of body, can be highly significant to the outcome of the interview. It has been estimated that as much as 66 percent of all communication is nonverbal. Effective use of body involves appropriate eye contact, body posture, gestures, facial expression and voice quality.

- **Eye contact.** Eye contact is the most significant of all attending behaviors. It is the single main component in communicating trust, respect, acceptance, empathy, warmth, interest and involvement. Good eye contact involves looking directly at the client when the client or the worker is talking. As has been pointed out, "Eye contact is not staring, but is spontaneous looking at the client to express an interest in what they are communicating. It is looking directly at the person and not turning your eyes away" (Popple, Kurtz, & Williams, 1977, p. 67). Occasional breaks in eye contact are appropriate to avoid the appearance of staring, but frequent breaks and looking at objects in other parts of the room communicate nonassertiveness when the worker is talking and lack of interest when the client is talking.

  Recording information during an interview is one of the most common hindrances in maintaining eye contact. Many workers prefer to make all notes after the interview so as not to distract their attention from the client. This is not always possible, however, especially when there are forms to be filled out. In these cases, it is best to make eye contact whenever the client or the worker is speaking and to have silence when eye contact is broken in order to record information.

- **Body posture.** Attentive body posture includes facing the client, leaning slightly forward and sitting with an open posture. Facing the client indicates availability and involvement, and facilitates good eye contact. Leaning forward is another sign of presence, availability and involvement. Research has shown that forward lean is positively related to the client's perception of empathy, respect and genuineness.

  An open posture involves placing both feet flat on the floor comfortably apart, with arms and hands uncrossed and open, resting naturally in the lap or on the legs. This posture also indicates openness and receptivity to what the client has to say. Ineffective body postures would include slouching or a rigid posture; turning one's body away from the client; or sitting in a "closed" posture, with arms and legs crossed.

  It is important that the worker's position be a relaxed one. "Unless she is relaxed, it will be difficult to focus on the client. When a worker is tense in an interviewing session, attention is often focused on personal concerns rather than on the client" (Ivey, 1978, p. 53). Many people are not relaxed and feel very unnatural when they first try to sit with open body posture; however, as you practice and become accustomed to the open posture, your initial self-consciousness and discomfort usually passes, and you begin to experience the position as natural and comfortable.

- **Gestures.** Gestures can either enhance the communication process or detract from it. Natural, fluid use of hands and arms can highlight and emphasize verbal communication. Flamboyant gestures can be distracting, as can smaller and less noticeable movements such as fidgeting with a paper clip or pencil. Workers need to become aware of the natural ways in which they gesture. Some workers may have to figuratively "sit on their hands" or otherwise tone down their gestures. Others may need to learn how to rest their hands comfortably without fidgeting or how to use their hands and arms in a natural motion in order to emphasize their words.

- **Facial expression.** Good facial expression involves spontaneous mirroring of client expressions, e.g., smiling when the client smiles, frowning or appearing quizzical when discussing an issue that is confusing to both of you. A calm, interested expression conveys concern and an attempt to understand, while a flat or impassive face may be interpreted to mean boredom or disinterest.

- **Voice quality.** One's voice is a potent communicator of one's true feelings. Workers can utter the most caring words they know, but if their manner of speech is brusque or their tone flat, it is likely that clients will hear the message carried by the tone of voice, not the words of the message. Good use of voice includes appropriate volume, inflection, emphasis and pauses. Inappropriate voice quality would include speaking too loudly or softly, in a monotone, too quickly or slowly, with too many or too few pauses.

The following table summarizes effective and ineffective modes of nonverbal communication. There is no rigid formula for how workers should use their bodies during an interview.

Nonverbal Modes of Communication[1]

	INEFFECTIVE USE	EFFECTIVE USE
	Doing any of these things will probably close off or slow down the conversation.	These behaviors encourage talk because they show acceptance of and respect for the other person.
Attention	spread among activities	given fully to talker
Space	distant; very close	approximately arm's length away
Movement	away	toward
Posture	slouching; rigidly seated; leaning away	relaxed, but attentive; seated leaning slightly forward
Eye contact	absent; defiant; jittery	regular
Time	slow to notice talker; in a hurry	respond at first opportunity; share time with them
Feet and legs (sitting)	used to keep distance between the persons	unobtrusive
Furniture	used as a barrier	used to draw persons together
Facial expression	does not match feelings; scowl; bland look	matches your own or other's feeling; smile
Gestures	compete for attention with your words	highlight your words; unobtrusive; smooth
Mannerisms	obvious; distracting	none or unobtrusive
Voice: volume	very loud or very soft	clearly audible
Voice: rate	impatient or staccato; very slow or hesitant	average or a bit slower
Energy level	jumpy; pushy; apathetic; sleepy	alert; stays alert throughout a long conversation
Dress; grooming	sloppy; garish; provocative	tasteful

A minimally facilitative position is necessary throughout the interview. The worker can move in and out of intense attending as the interaction becomes more or less serious and emotional, or when the interview begins to move off toward unproductive tangents. For instance, workers may cast their eyes down when they want to redirect clients to another topic or lean back when clients express anger or hostility. It is important to know the messages the body communicates and then consciously to use one's body to communicate exactly what is intended. Workers have to find their own natural, relaxed style for effective physical attending.

Psychological Attending

[1]From Amity: Friendship in Action; Part I: Basic Friendship Skills, p. 31. Copyright 1980 by Richard P. Walters. Published by C.H.I., P.O. Box 7443, Boulder, CO 80306. Reproduced by permission.

Observing and Listening

Psychological attending involves tuning in to the client's emotions through careful listening and observation and then responding to the client based on what one has understood. Listening means not just hearing the client's words, but also observing the client's behavior, hearing what they communicate with their voice, and assessing the congruence between their words and behaviors.

- **Attending to client's nonverbal behavior.** Effective psychological attending involves listening to what the client says and how they say it, by perceiving their nonverbal behavior. This means that the worker notices and tries to understand the client's facial expressions, gestures and body movements. Nonverbal behavior can be cues to emotions that are not openly expressed. While it is important to be aware of nonverbal behavior, it is equally important workers do not assume they understand its meaning without other verification from the client or other people who know the client.

- **Attending to the client's voice.** Clients' voice tones may confirm, emphasize or modify the verbal message they are communicating. In general, ideas are conveyed through the words people use, but their emotions are communicated through their voice and word emphasis. In conjunction with their nonverbal expressions, clients' use of para-verbal communication can indicate unexpressed feelings and intensify feelings that are not being expressed overtly.

- **Congruence among verbal, para-verbal and nonverbal behaviors.** Congruence is the extent to which a person's verbal, para-verbal and nonverbal communication is noncontradictory. For example, a client is not congruent when they say that they don't have a care in the world, but their shoulders droop, they slump in the chair and their voice is flat. Noticing contradictions between the client's words and their hand gestures, facial expressions and body movement will aid the worker in going beyond the client's actual words to a more complete interpretation of their true feelings. If you can sensitively point out the discrepancy between clients' words and behavior, often they will get more in touch with their feelings and be willing to explore them with you. This must be done very carefully, however, as this is a form of confrontation which the client may wish to avoid. Benjamin (1974) sums up the challenge of listening to and observing clients: Genuine listening is hard work; there is little about it that is mechanical. Listening requires, first of all, that we not be preoccupied -- for if we are, we cannot fully attend. Secondly, listening involves hearing the way things are being said, the tone used and the expressions and gestures employed. In addition, listening includes the effort to hear what is not being said, what is only hinted at, what is perhaps being held back, or what lies beneath or beyond the surface (p. 44).

Responding

When workers physically attend by facing their clients, making eye contact, leaning forward and maintaining an open posture, they are communicating interest and availability, and making it easier for them to observe and listen. These behaviors are equally important in responding to the client, as they also communicate engagement with the other person. In addition to physically communicating interest and openness, you must respond verbally, which involves not just what one says, but how one says it (voice quality) and how your response relates to what the client has said.

- **Verbal following.** Verbal following means that the worker stays on the topic the client has introduced and helps the client develop and pursue the topic. To do this, you can direct your response to the client's last comment or to some preceding comment the client has made. For example:

Client: I'm really concerned about my daughter. She's started hanging out with some kids

Worker A: What about your son? How's he doing? (changing the topic)

Worker B: You sound really worried about her. Can you tell me some more about what's been happening to concern you? (verbal following)

Use of verbal following is very helpful in encouraging the client to continue discussing or exploring a topic or feeling under discussion and in letting the client know the worker is interested in hearing more.

This may seem like a very simple skill, since it basically involves not changing the subject and not interrupting the client. Although it seems easy enough to do, it is a very important skill which distinguishes effective from ineffective interviewers. When workers fail to verbally follow, clients are often left wondering, "Did they hear what I said?" or "They're not interested in that." If clients have been talking about a subject which is very important to them and the worker changes the subject, clients may even think, "These people don't care and aren't interested in me."

There are times, however, when you have to shift from the use of verbal following to accomplish the purpose of the interview, for example, "When the client routinely rambles on about a subject you judge to be irrelevant, or when it appears the client is avoiding discussion of matters pertaining to the purpose of the interview" (Kurtz & Marshall, 1980, P. 27). Whenever you do change the subject, stating a reason for doing so or otherwise "bridging" between the topics will help reduce client feelings of not being heard or being ignored. For example, if the client has been discussing the child with whom there are no problems and avoiding the issue of dealing with a hyperactive child, the worker might say, "I'm glad to hear Joan is doing so well. I know you're proud of her. How about John? How are things going with him?"

- **Congruence.** When verbally following the client's comments, it is important that your response be congruent with the client's communication. For instance, if the client's communication is serious and emotional, your response should not be said in a joking or disinterested manner. Responding congruently adds to the likelihood that the clients will feel you are really listening to and understanding what they are saying.

- **Minimal encourager.** One of the simplest yet most effective ways of following clients is to use minimal encouragers. Minimal encouragers include repetition of one or two of the client's last words, one-word questions, such as "Really?" "Oh?" "Um-hmm" and head nods. These verbal, para-verbal and nonverbal responses encourage the client to continue talking about the subject and do not disrupt the client's train of thought. They require minimal action on your part and mainly serve to let the clients know that you are attending to what they are saying and want them to continue talking. While there are other more sophisticated verbal skills, sometimes a simple minimal encourager is all that is needed. For instance:

Client: I don't know how much longer I can stand to work there. My boss is so unfair.

Worker: Unfair?

Client: Yes. He changes my schedule without asking me and says if I don't like it I can quit. And that's not all.

Worker: Oh?

Effective attending is the basis for success in all other casework interviewing skills. Effective use of questions, reflections, summarization and other skills will be undermined if you do not physically and psychologically attend to the client before, during and after use of the skills. Communication of empathy, respect and genuineness are impossible without effective use of attending skills. Your ability to use your environment, body and listening skills to communicate respect, acceptance and trustworthiness will greatly influence how successful you will be in communicating, forming a helping relationship and engaging in problem solving with clients.

REFERENCES

Benjamin, A. (1974). *The helping interview*. Boston: Houghton Mifflin Co.

Ivey, A.E., & Authier, J. (1978). *Microcounseling*. Springfield, IL: Charles C. Thomas.

Kurtz, D., & Marshall, C. (1980). *Interviewing skills for family assistance workers*. Knoxville, TN: University of Tennessee Office of Social Work Research and Public Service.

Popple, P.R., Kurtz, P.D., & Williams, R. (1977). *Vantage point*. Nashville, TN: School of Social Work, University of Tennessee.

Walters, R.P. (1980). *Amity: Friendship in action; Part I: Basic friendship skills*. Boulder, CO: C.H.I.

ADDITIONAL READINGS IN NONVERBAL BEHAVIOR

Harrison, R.P. (1974). *Beyond words: An introduction to nonverbal communication*. Englewood Cliffs, NJ: Prentice-Hall.

Knapp, M.L. (1980). *Essentials of nonverbal communication*. Atlanta: Holt, Rinehart and Winston.

DEVELOPING RAPPORT WITH CLIENTS
By Robert Scott, Ph.D.

Workers who can truly understand and identify with their clients will most likely be able to understand at the feeling and conceptual level. They are then far more inclined to facilitate effective communication. On the other hand, if we devalue clients and perceive them fundamentally as bad people, we are more likely to operate from the position of reward and punishment. Client behavior must be understood in the context of the client's basic needs for survival. Behavior is a symptom, not the cause. A client who has never worked and has a child that will soon be 18 may approach the case manager in a panic because "someone" has to do something to help her. Instead of the "help" that she seeks, she may find that she is the recipient of the worker's contempt or anger. Therefore, case managers must find a way to adjust their perception of this client, so that their response is more likely to be therapeutic.

WHAT IS RAPPORT?

The word "rapport" is derived from French terminology used to denote a relationship characterized by harmony and accord. Daily[1] defines rapport as the prevailing climate achieved and maintained throughout the interview. The basic elements of rapport are as follows:

- warmth;
- sincerity;
- interest;
- therapeutic environment which is conducive to privacy and comfort;
- attending solely to the client;
- non-conditional commitment to the client, regardless of the client's behavior or ideas;
- objectivity;
- application of the Golden Rule (treat the client as you would want to be treated in a similar situation);
- realistic expectation;
- clarity or client responsibility and ownership;
- evaluation of one's attitude toward the client; and
- sincere commitment to the individual worth of the client in spite of values, class, race, sexual or religious differences.

There are those who understand the need for rapport, yet are unable or unwilling to truly accept and treat clients with genuine respect and friendliness. Additionally, it is often difficult to permit clients their independence and right of self-determination. The capacity to accept others is a quality which exceeds the boundaries of social work practice. A person must be able to apply these qualities in their daily work and social interpersonal relationships. How can one be expected to treat a client in a genuinely compassionate fashion if they are of the same race of "people" they openly detest? ("I can accept those 'people' as long as they don't live in my backyard.")

I once had a colleague who left his position as a houseparent because the home began to accept black youths. He said he could not permit his daughters to share their family life with blacks. He changed employment to a position as a psychologist for a large, inner city, predominantly black and Hispanic school system. He argued, in response to my protest, that he could be objective in spite of his racial bias. What kind of therapeutic rapport could he establish with those youths and their families in the decision-making process which often determines the fate of those students? A negative attitude, or disrespect and intolerance for another human being will be detrimental to your efficiency, in spite of your appreciation of the existence and genesis of prejudices. Clients can see through superficial behavior.

Establishing understanding is an important ingredient of rapport. It is not a magical process. It comes through being free to attend carefully to the client. The importance of non-conditional commitment to the value of the client is a necessary dimension in the helping process.

Therapeutic relationships require:

- worker-client communication congruency;
- sensitivity to client feelings; and
- cognitive understanding of the client's thoughts (Do I really understand what the client is saying, feeling, and needing?).

Rapport is considered one of the critical internal conditions for effectiveness as a worker along with empathy, genuineness, and respect. Each one of these can either further or inhibit the worker-client helping process. These qualities are based upon and intimately related to acceptance and understanding. Rapport is that bond characterized by sensitive emotional involvement.

Too frequently, rapport is referred to as the outcome of techniques workers use in the initial interview which put the client at ease and helps them express feelings. Rapport means more than opening the interview smoothly and effectively. It is a quality, a mutual understanding, a respect, and a sustained interest that should be communicated from the first through the last contact.

Establishing Rapport with Difficult Client Situations

Suggested Approaches

- Acknowledge the discomfort with the client (i.e., "I am a little uncomfortable with our not being at ease with one another and perhaps you can help me understand why.").

  You don't want to label the client, e.g., "You are a hostile person," as this is more likely to result in a defensive reaction.

- Assess your attitude and behavior (especially nonverbal body language) toward the client to determine if you are contributing to their behavior.

- Assess the possible client-related, precipitating stressors which may be responsible. For example, mistreatment by the receptionist, family conflicts, noncompensatory leave from work, etc.

- Once a cause is identified, work toward a solution with the client's participation. Possible approaches are:

  - Be direct, non-judgmental and sensitive. "It is unfortunate that you are losing salary while you are here. I will try my best to keep it brief and avoid salary losses in the future."

  - If appropriate, use non-offensive humor. It is difficult to be angry while you're smiling. For example, "You remind me of my wife when she's getting ready to lower the boom!"

  - Personalize the situation but don't take it personally. For example, "I am deeply concerned with your feelings, and I want us to feel comfortable enough to be able to work together."

  - Focus on the client's real needs. For example, "It is my understanding that you are interested in gaining better employment so you can meet more of your family's needs.

  - Focus on the positive qualities of the client and avoid preoccupation with the problem behavior. For example, "I notice that you continue to tutor your son in math even though you get home late from work and he has improved remarkably in school."

Meeting resistance or anger is a process, and dealing effectively with either involves skill. Your ability to recognize these feelings and to know their significance facilitates the helping process in meeting client needs. Clients are often hypersensitive because of the nature of the contact. Anxious and needing help, yet reluctant to have the conditions investigated, the client is tense, uneasy, and often suspicious of friendliness. Additionally, the worker is perceived as being in a position of power and the client is often experiencing learned helplessness.

Workers too frequently retreat to the power of authority to control the problem. Worker authority is important when it is based on knowledge and skill in providing the client with security and support. Lucy Wright's comments on authority are worth noting.[2] She contends that the forces of expertise and authority have their greatest value, when employed on a give-and-take basis. When the give-and-take has proven impossible and conflict is inevitable, it is still possible to have a clear understanding on both sides of the issues involved. The greatest skill of all lies, perhaps, in knowing when to postpone the uses of even the force of authority and how to apply that force when used.

In summary, rapport means that an appropriate working relationship has been established and maintained between the worker and client. As it develops, this relationship is experienced by workers as being one of trust, acceptance, and understanding, such as they may never before have encountered with any human being. It is the rapport of the working relationship that will enable workers to examine themselves and their concerns, rid themselves of fear and conflicts, and achieve a better understanding of themselves and their connections with the client. Rapport building takes time; the length of time will vary from client to client. By conveying an attentive and accepting manner through social expressions and gestures and by asking pertinent questions, restating, summarizing, and using other techniques, you demonstrate that you are interested, understanding, and observant.

Most importantly, you nurture rapport by being sensitive to the client's needs, moods, and conflict.

REFERENCES

1. Dailey, John. "The Interview in Counseling Pertaining to Reemployment and Administration," *U.S. Department of Labor*, 1946, p. 11.

2. Wright, Lucy. "The Caseworker's Attitude as an Element in Social Case Work." *Interviews, Interviewers and Interviewing*. Family Welfare Association of America, 1931, p. 7.

SUMMARIZATION

by Elizabeth W. Lindsey

Effective interviewing requires that workers be able to listen to and synthesize a wide range of facts and feelings communicated during the course of an interview. In addition to reflecting single client statements, a worker must put together a wealth of information to form a whole that may be greater than the sum of all the individual statements. Summarization is the skill which enables workers to communicate this "big picture" to clients.

A good summarization contains no new or additional information (i.e., no interpretation by the worker), but brings together information regarding facts and/or feelings previously discussed. Summaries can be used to recapitulate portions of an interview or the entire interview itself. While workers frequently summarize information they may have given the client, use of the skill here will focus primarily on summarizations of client communication. Summaries can also relate to occurrences outside the interview.

In the following example, the worker and client made a contract that the client will take steps toward getting a job. Each interview has been a progression toward that goal. The worker might summarize what has occurred over a period of time by saying:

> Worker: Let's see, Mary, you've been moving forward getting a job. Three weeks ago you typed your resume; then, the week before last, you called a prospective employer about an interview. From what I recall, your interview was arranged for yesterday. I'm eager to find out what happened.

Because summarizations refer to feelings and/or content, they are similar to reflections; however, summarizations differ from reflections in that a reflection simply refers to an immediate past client statement, while a summarization refers to multiple statements of feeling or content expressed over a period of time.

Purposes of Summarization

The skill of summarizing can serve a number of different purposes, depending on how and when it is used. Six purposes are described below.

Check Understanding

When you are uncertain about whether you have accurately understood what the client has said, a summarization can help to verify and clarify any misunderstanding. At the same time a summarization lets the client know you have been carefully attending and trying to understand. This is a purpose both summarization and reflection share, although a summarization would encompass more information than a reflection. Summarization is particularly useful when a client talks at length, which gives you a large amount of information, or talks in a disjointed or confused manner, which makes it difficult for you to follow the client's train of thought. When you begin to feel unable to absorb all the client is saying, a summarization can interrupt the process long enough for you to check understanding and clarify.

Clarify for the Client

In addition to helping workers verify their own understanding, summarization can also help clients clarify the relationship concerning various points they have discussed. When the worker makes connections between various aspects of client messages, the client gains a clearer understanding of the total situation, not just its elements. Like individual numbers to a combination that, when put together, click into place and open the lock, the client may respond with an "Ah-ha! That's it!"

Summarizations are particularly useful when thoughts, feelings and events are scrambled together, and the client seems confused about how they all fit. A summarization may unscramble the confusion, help the client get a grasp of the situation and help the client begin to explore it further. Clarifying confusing situations may also lead to action.

Focus Discussion

One of the most important purposes summarization can serve is to focus discussion. Summarization can isolate an important topic from others in a rambling conversation or among disjointed pieces of information. For example, in an interview with a fifteen-year-old girl living in a foster home, the worker uses a summarization to focus on a topic raised earlier in the interview.

Worker: So how have things been going the last couple of weeks?

Girl: Not great.

Worker: Can you tell me what's not been great?

Girl: Nothing. I mean you move me into this house and expect me to fit into the family. I have to change schools and I never get to see my friends anymore and they just keep getting on my case about my grades and it's none of their business, anyway. My teachers are boring, I don't have any friends. They never let me go out anywhere and I've had it with this scene. I want out. That's what I told you when I called and that's what I want.

Worker: Joan, I can see you're upset about a lot of things. (reflection)

Girl: Well, I am! How would you like to be moved to a stranger's home, away from your family and friends? You'd be upset, too!

Worker: You're right, I would. I'd be pretty angry about it.

Girl: Well, so am I.

Worker: Joan, you mentioned a lot of things that are making you angry right now: changing schools, not seeing your old friends, not having friends at the new school. You also said something about being expected to fit into this new family. Could you tell me a little more about that? (summarization)

The client threw out to the worker a number of important issues which could not all be dealt with at one time. The worker first summarized all the issues the client had mentioned to let her know the worker had heard and understood, but then the worker highlighted the issues of "fitting in" in order to focus the discussion, at least for the moment, on that issue. At a later time the worker may choose to bring up the school or friends issues to help the client explore those.

Make Transitions

Summarization is also a useful focusing tool because summaries facilitate transitions from one topic to another. Frequently workers feel frustrated because they have difficulty shifting from one subject to another in an interview, particularly if the client is very interested in the first topic. In this way, workers often "lose control" of the interview, meaning that the client and not the worker is determining the focus. While good interviewing practice requires that workers allow clients to have input into the content and focus of the interview, it is the worker's responsibility to assure that the topics being discussed are relevant and are being dealt with in a constructive manner.

For example, if in response to a worker's opening question, "How have things been since our last appointment?", a client talks nonstop for three or four minutes about various and sundry problems she has experienced, the worker could use summarization to focus the conversation on one topic, and then another summarization to shift to another topic.

Worker: Ms. Allen, excuse me, but let me interrupt for a moment. You've had so much going on, I'm not sure I'm following it all. You mentioned you'd been ill and in the hospital for a week. Jamie got sick after that and then your car broke down. You've certainly been under a lot of stress lately, and I know you're worried about your health and Jamie's and how you're going to get around. How about if we focus on these issues one at a time. Let's see, you said your doctor told you not to go back to work for two weeks. (summarization to focus)

Client: That's right. He said my heart needed rest or I'd do some real serious damage.

Worker: But otherwise, he thinks you'll be okay?

Client: Yes. I'm really relieved. When it happened I thought I was dying, It hurt so bad.

Worker: You must have been very scared.

Client: I was.

Worker: Are they keeping your job for you?

Client: Yes, they've been really understanding. My boss even came to see me in the hospital.

Worker: So even though it's been a pretty difficult time, you are getting better and you'll have your job to go back to. (Pause) What about Jamie? You said he'd been sick as well. (summarization to make transition to new topic)

Even when clients are not rambling, it is helpful to use summarization any time the worker wants to shift topics. The summarization lets the client know the worker understands what has been discussed before moving to a new subject.

Highlight Contradictions

Clients frequently present conflicting pieces of information at different times. Sometimes contradictions regarding factual information occur because the client is not being honest, is trying to hide something, or has simply forgotten what they have previously said. Often, however, contradictions surface because the client is ambivalent and expressed conflicting feelings at different points in time. For example, in the following exchange, the worker and client have been discussing the possibility of the client and her two-year-old son moving out of the client's mother's home. They have already talked about the client's negative feelings about her present living situation.

Client: So I really think it would be best for me to move out now.

Worker: Uh huh. You know, Frances, your moving wouldn't have any effect on your eligibility for AFDC; you would still be eligible.

Client: Yeah, you said that before.

Worker: And we could provide you with some assistance with moving.

Client: Okay, but I don't know if I really want to move out right now. Maybe I should wait until after winter till the weather breaks.

Worker: Wait until the weather gets warmer?

Client: Uh huh.

Worker: Frances, it seems like you're kind of unsure right now. You've talked about moving out right away because of the problems you have with your Mom interfering with your child. We've been working toward this for a while and have discussed how I could help you with some of the changes you would be making. On the other hand, now you're saying you think you want to wait until after winter.

The summarization highlights the client's ambivalence by pointing out the contradictory messages and focuses the subsequent discussion on the ambivalence itself, which must be resolved before the client is willing to act. Summarizations that point out contradictions are a form of confrontation and are often unsettling. They can stir conflict within the client or between client and worker. Clients may deny the discrepancy and become angry or withdrawn. Because of the possibility of such an emotional reaction, it is important that you take several steps to assure that the summarization is helpful and effective, not harmful.

- You should be in touch with your feelings. (Is annoyance, frustration or anger at this client motivating you to make a conflict-stirring summarization?)
- The relationship between you and the client should be established, and communication should be open and genuine, so the client feels that you are concerned and can be helpful.
- The summarization should focus on material that is directly related to the purpose of the interview.
- You should anticipate what the client's reaction may be.
- You should attend to the client's reaction and respond with further exploration and clarification, using reflections, open questions, silence or other skills that will allow worker and client to reach some conclusion of resolution.

In spite of the possibility of a strong emotional reaction, summarizations which point out contradictions have long-range possibilities for the client and for the worker-client relationship.

The client may express hurt or anger at the time conflict is aroused, yet come back later to say, "You know, I think you were right about that."

Structure Interview

Summarizations are particularly effective in providing structure to interviews, especially in the beginning and at the end. Opening with a summary after a preliminary exchange of greeting can recapitulate past actions, decisions or events which have transpired since the last interview, providing a sense of continuity. Summaries are also very helpful in setting the stage for what will be done in the present interview.

For example:

Worker: I'm glad to hear things are looking up. What I thought we'd do today is to go over your service agreement, look at each goal, discuss what you've done in relation to each goal and then make some decisions about where to go from here. How does that sound to you? (In this example, the worker used a summary to set the agenda for the interview, thus shifting from the beginning, preliminary stage to actually focusing on tasks to be accomplished.)

At the end of interviews, summaries can be used to review what has been discussed and to remind both worker and client of future tasks. Thus, summarization helps to provide a sense of closure as the interview nears its conclusion. In this interview with the mother of two children, the worker is beginning to draw the interview to a close.

Worker: Let's see, you all felt a little funny being back together, but when you all went to the park, you really made sure everybody had a good time. (summarization)

Client: It was really fun. I was surprised in a way; I wasn't sure I could handle Tasha and Mike.

Worker: You feel pretty good about how things went, then?

Client: Yeah.

Worker: OK. So you've had your first visit with the children, and even though you were all kind of uncomfortable at first, you got used to each other. You also found out that you could handle the kids, and you feel pretty good about that. What we need to do now is make some plans for you to get together next weekend... (summarization)

Summarization is a versatile skill and may be used for different purposes, depending on the goals of the interview. Summarizations are particularly useful in information-gathering interviews for checking your accuracy, clarifying points in the client's mind, highlighting factual contradictions and focusing on specific information. In counseling and problem-solving interviews, summarizations are particularly useful for highlighting ambivalence, letting clients know they've been heard, and clarifying for clients. In any interview, summarizations are helpful in focusing, making transitions from one topic to another and providing continuity and closure.

Guidelines for Appropriate Use

Summaries must be delivered in a manner that conveys concern and interest. Following certain guidelines can facilitate the most appropriate use of summarizations.

Length

Summarizations should be brief and to the point. Long summarizations may distract you from the purpose you have in mind, confuse the client, and block, rather than aid, communication.

Timing

In general, well-timed summarizations do not interrupt the client's train of thought, but come during natural pauses during the interview. Poorly timed summarizations interrupt the client, as when the worker assumes that they understand what the client is saying and makes a summary that is distracting, premature or inaccurate. However, at times workers may have to interrupt clients; for instance, when they are rambling or delivering a long monologue the worker has difficulty following. When interruption is necessary, workers can minimize the irritation to the client by apologizing and explaining why they are interrupting.

Tone

Summarizations should communicate acceptance of the client's perspective and experience. The tone should not be "know it all." This is particularly important when using summarizations to stir conflict. The client needs to feel your ultimate aim is to try to help, not to accuse them of wrongdoing.

Accuracy

You should offer summaries of client communications in a way that encourages the client to correct you if there are inaccuracies in the summaries. Asking the client, "Did I leave anything out?" or "Can you think of anything else?" or just pausing to give the client a chance to verify what you have said will aid in assuring accuracy. Paying attention to the client's nonverbal communication can also help you recognize when a summary has been inaccurate or incomplete.

RELATION TO OTHER SKILLS

Summarizations are based on the information you gather through the use of other skills. By attending carefully, you see how the client is feeling, what incongruities exist between the client's verbal and nonverbal expressions, and how they respond to what you say and do. Questions obtain more information. Reflections let the client know they have been heard and encourage further discussion. Through these listening and attending skills, you receive the client's verbal and nonverbal communications, which form the larger picture needed to use summarization effectively.

Summarizations should not restate the obvious. Summarizing what has been mentioned several times or continually repeating recently verbalized points is time-consuming, distracting, and may be insulting to the client. Ideally, summarizations extend the range of communication between you and the client. When clients express their feelings, a summarization lets the client know you are listening. When a client gives factual information that seems unclear or rambling, a summarization clarifies or focuses the discussion so communication between the client and you is clear and open. Summarization works in combination with other skills to move you and the client toward an increased mutual understanding and problem resolution.

SUGGESTED READINGS

Benjamin, A. (1969). *The helping interview*. Boston, MA: Houghton Mifflin Company.

Kadushin, A. (1972). *The social work interview*. New York: Columbia University Press.

Ivey, A.E., & Authier, J. (1978). *Microcounseling (2nd Ed.).* Springfield, IL: Charles C. Thomas.

Shulman, L. (1979). *The skills of helping*. Itasca, IL: F.E. Peacock Publishers, Inc.

EMPATHY

by Elizabeth W. Lindsey

Empathy has been described as a core condition of helping which "helps dramatically to establish rapport with the client...breeds trust and openness...and raises the level of the client's self-exploration" (Egan, 1975, p.78). Research has shown that the empathic skill of "acknowledging the client's feelings appeared to contribute substantially to the development of a good working relationship between worker and client, as well as contributing to the worker's ability to be helpful" (Shulman, 1970, p. 58). According to one author, "Without an empathic understanding of the helpee's world and his difficulties as he sees them, there is no basis for helping" (Carkhuff, 1969, p. 173).

Empathy is a process whereby one person attempts to experience another person's world and then communicate understanding of and compassion for the other's experience. The development of empathy requires a reaching out, tuning in and drawing out of the client's emotions. Although attention to facts and events of the person's life is important, empathy goes beyond mere circumstances to convey an understanding of how those circumstances uniquely affect the person involved. In helping interactions where a client and worker must work together to solve problems, a worker's capacity for empathy is crucial.

Empathizing requires tuning in to another person's feelings and developing a sense of what the situation means to that individual. At the same time, you must maintain your own objectivity in order to be helpful. When you become too caught up in clients' problems or feelings, you cease to be an effective helper. Thus, your task is to "sense the client's private world as if it were your own, but without losing the 'as if' quality" (Rogers, 1961, p. 284).

Empathy vs. Sympathy

Often there is confusion between an expression of empathy and one of sympathy. Hepworth and Larsen (1982) differentiate between empathy and sympathy. Sympathetic responding, which depends on intellectual and emotional accord, involves supporting and condoning the other person's feelings (e.g., "I'd feel the same way you do if I were in you position" or "I think you're right"), whereas empathic responding involves understanding the other person's feelings and circumstances without taking that person's position (e.g., "I sense you're feeling..." or "You seem to be saying...") (p. 94). This distinction is particularly important when working with clients whose behavior is socially deviant or with whom one takes personal exception. For instance, a worker must be able to empathize with a foster child who becomes involved with drugs, that is, must be able to understand the child from the child's frame of reference, rather than the worker's. At the same time, the worker must not in any way condone or agree with the child's use of drugs.

One rule of thumb for differentiation between empathy and sympathy is to look at whose emotions are being reflected. When workers say, "I feel just terrible about what's happened to you," or "I'm so sorry to hear that," they are describing their own reactions to the client's situation. This type of statement "does not reflect emotion and may well touch the emotion of the client, reflecting a bond of caring/concern, but it is sympathy, and not empathy, because it reflects the speaker's feelings which they assume are the same as [the client's]" (Pippin, 1980, p.29). When a worker tells a client, "It sounds like things are pretty rough for you now," or "You're really excited about this new change in your life," the worker shares their perception of what the client is experiencing. Thus, empathy conveys the message, "I know what your world is like from your perspective.

People react differently to sympathy; some welcome it, others resent it, equating sympathy with pity. Certainly there are times when sympathy is appropriate, particularly on occasions of bereavement; however, sympathy rarely contributes to the helping process, since it does not encourage the person to go beyond the present situation to examine alternatives and solutions. In fact, a sympathetic response (i.e. "I'd feel the same way if that happened to me") may actually discourage clients from examining their feelings, behavior and circumstances. Empathy, on the other hand, by encouraging self-exploration and growth, conveys not only an appreciation for the client's feelings and situation but also communicates a belief that the person has the strength and resources to rise above the present difficulties.

EMPATHY: A TWO-STAGE PROCESS

Empathy involves a two-stage process: accurate perception of the client's emotional reaction to a situation or event; and communication of this understanding to the client. Although it relies heavily on use of reflections, empathic responding is not simply a single skill but involves use of multiple skills and elements, and also depends on the level of a worker's commitment to really understand the client's world.

Stage 1

Accurate Perception. While understanding facts and events is necessary for an accurate picture of the client's experience, empathy is most closely associated with attention to feelings. Different people will react differently to similar situations, so your primary task in developing an accurate perception of a particular client's experience is to understand what the meaning and emotional impact of the situation is to this individual. You can develop accurate perceptions of client experiences by tuning in to feelings, recognizing nonverbal cues, and by reaching for indirect of hidden client messages.

- **Tuning in to Client Feelings.** Focusing discussion on clients' feelings helps both you and the client understand the meaning and significance of the experience to the client. Often clients will give elaborate descriptions of circumstance and barely mention how they feel about the situation. You can use open questions ("How do you feel about that?" "How did that affect you?" "What did you feel like when that happened?") to elicit client emotions. If the client has indicated some emotional response, you can use reflections to clarify or test out what the client has said (e.g., "So you were pretty happy when that happened?" "You feel really hurt," "You're still angry about it.").

- **Recognizing Nonverbal Cues.** Since so much human communication occurs on the nonverbal and para-verbal levels rather than verbal level, you must constantly tune in to more subtle cues, including facial expressions, tone of voice, tempo of speech, and postural and gestural cues that amplify and sometimes contradict verbal meanings. Such nonverbal cues as blushing, tearing, clenching of jaws or fists, pursing the lips, lowering the head or shifting the posture and para-verbal cues such as pausing, stammering, changing voice intonation, often reveal the presence of distressing feelings and thoughts (Hepworth & Larsen, 1982, p. 96).

  Once you recognize these cues, you can use this information to elicit open discussion of the underlying motion. For example, "I noticed you began to tear up as you talked about your son. You must really miss him." "You paused when you mentioned your mother. You seem hesitant to talk about your relationship with her." "I noticed you blushing when I mentioned sex. Do you feel embarrassed talking about sex?"

- **Reaching for the Client's Experience.** Tuning in to feelings and recognizing nonverbal and para-verbal cues may involve simply listening to and observing the client if the person is fairly open and communicates directly. Often, though, emotions are hidden or camouflaged, and you must reach beyond the explicit message to gain an accurate picture of the client's experience. For example, a client smiles and says, in a bright, nonchalant tone of voice, "I feel okay, I guess. I just haven't had any appetite lately and I've had trouble sleeping. But other than that, things are all right."

  This client may or may not be aware of the reasons why they have no appetite and cannot sleep. The client's smile, voice tone and the content of what is said (I feel okay...things are all right") deny any serious concern on their part; but you must reach beyond the spoken words to help the client explore the meaning of the symptoms being described. Responses which encourage concreteness are especially useful. For example:

  Worker: You're acting pretty cheerful for someone who's not been getting much sleep or eating well.

  Client: Oh, I'm not worried; it'll go away.

  Worker: What makes you think it'll go away?

  Client: It always does.

  Worker: So you've had times before when you had no appetite and couldn't sleep?

  Client: Yeah, it happens whenever things get bad at work. And then when things improve, everything goes back to normal.

  Worker: You're concerned about something that's going on at work?

  Client: Yeah, they're talking about laying off some people.

  Worker: You're afraid you might lose your job?

  Client: Not really...although I could be. I'm one of the last ones they hired. I guess I've just tried not to think about it. But, I guess, deep down, I am afraid. I don't know what I'd do if they let me go.

  Through use of reflections and questions that tune in to feelings, that observe nonverbal cues, and that assist the client to be more concrete in the client's responses, the worker reaches beyond the superficial cheerful picture the client first portrayed. Now the worker and client can begin to explore the meaning of this significant development in the client's life.

Stage 2

Communication with the Client. Regardless of now accurately you perceive a client's world, if you are unable to communicate this understanding to the client, the client will not experience you as empathic. Empathy only occurs when the client feels understood; therefore, it is from the client's perspective that your capacity for empathy is measured.

Cormier and Cormier (1985) describe five tools for communicating empathy: showing the desire to comprehend, discussing what is important to the client, referring to the client's feelings, reflecting implicit client messages and matching client nonverbal behavior.

- **Showing the Desire to Comprehend.** During the perceiving stage, you often do not yet have an accurate understanding of the client's world. Yet, your attempts to comprehend the client's frame of reference convey empathy nonetheless, because clients feel you are interested in and care about them. Asking open-ended questions and using reflections communicates your interest in understanding. Although novice workers are often afraid to reflect feeling for fear of being wrong, even incomplete or inaccurate reflections do communicate your desire to understand, and clients respond to the feeling of concern and caring.

- **Discussing What is Important to the Client.** Clients feel empathy when you respond to the ideas and feelings that are most important to the client. Introducing new topics that are on your agenda, rather than the client's agenda, indicates that you are putting your own (or the agency's) needs first and are not really in touch with, or do not care about, the client's needs at that moment. When you do introduce new topics, it is important to relate them to the client's concerns and to do so after dealing with the client's issues.

- **Referring to Client Feelings.** Perhaps the simplest definition of empathy is "letting the other person know you understand how they feel." Recognizing and acknowledging client emotions is the central component of empathy. The best way to convey empathy is to label or name the client's feelings, as is done in a reflection. This type of response is called interchangeable empathy (Carkhuff, 1969) because is reflects and labels feelings the client has expressed themselves. Sometimes people attempt to convey understanding through use of such pat phrases as, "I know just what you mean" or "I understand perfectly." Such statements really tell the client nothing. The worker has not given the evidence of understanding that a reflection provides.

  Using the formula for combined reflections as described in the module on "Reflections," "You feel (emotion) because (reason or content)," proves to clients that they have been heard and understood. "You feel angry because he didn't take your needs into account." "You feel proud because you made such good grades."

Barriers to Empathy

The extent to which you are able to learn and to use empathic skills with clients can be influenced by many factors, both personal and job-related. Individual capacity for empathy and degree of interest and concern for clients will certainly affect how open people are to "putting themselves in the client's shoes." External considerations, such as the nature of the job and time limitations, will also affect your ability and willingness to empathize with the client.

A person's capacity for empathy is related directly to how well that person's own affective needs are being met. Workers who are having serious personal problems which interfere with their ability to focus attention on the client will have a much smaller capacity for empathy than workers who do not have to contend with such distractions. The critical balance between involvement and objectivity can be particularly difficult to maintain when a client presents problems or emotions which are similar to ones the worker is struggling with. Thus, it is easy to see that a person's ability to empathize can be influenced to some extent on a day-to-day basis.

Your attitude toward your clients can also affect your ability to empathize. Perceptions of a client as "irresponsible," "lazy" or "unchangeable" will certainly reduce your capacity for empathy, whereas a belief that the person can make changes or is doing the best they can will increase your desire to understand and become involved with the client. If you have an attitude of respect for your clients in spite of their economic, social and personal difficulties, you will be more open to increasing your capacity to empathize with the clients.

Your attitude toward work also influences the extent to which you will attempt to empathize with your clients. Workers who are "burned-out," bored or resentful of the demands of their jobs will have a hard time tuning in and appreciating the difficulties of the client's world. The stereotype of the DFCS worker as cold, uncaring and intrusive seems to reflect some workers' difficulty in maintaining a level of empathy with clients in the midst of a bureaucracy full of red tape, paperwork, and deadlines. Obviously, workers' ability to manage the pressures and stresses inherent in the nature of the job will greatly affect their ability to empathize with clients.

Empathy Within the Helping Process

The literature on the helping process indicates that the communication of empathy facilitates development of trust and understanding, acknowledgement of feelings, clarification of situations and feelings, and exploration and solution of problems.

According to Egan (1975), accurate empathy helps "create for the client the climate of psychological freedom he needs in order to explore himself and the problems in his life" (p. 75). The use of Level 3 empathy can create this type of atmosphere by helping establish a rapport with the client, by developing trust, by raising the level of the client's self-exploration and by letting the client know that the helper understands what the client has explicitly expressed about themselves. Level 4 empathy places a demand on the client to take a deeper look at their interior (self-exploration) and move toward action. According to Carkhuff (1969), the "ultimate purpose of the empathic response is to communicate to the helpee a depth of understanding of him and his predicament in such a manner that he can expand and clarify his own self-understanding as well as his understanding of others" (p. 202).

When clients feel they are being understood, they are often more willing to clarify aspects of their situation because they are not afraid you will betray their trust if sensitive issues are involved. Since communication of empathy typically results in more openness on the part on clients, you may also find the clients who are resistive to giving information now may actually offer information, relieving you of the need to ask numerous questions or to pry information from them; however, you should avoid using empathy simply to gain information. If you are not genuinely interested in trying to understand the client's feelings and experiences, attempts at empathic communication will seem artificial and manipulative. These attempts will have exactly the opposite of the desired effect and may make clients mistrust you and withhold information.

The development and communication of empathy between you and a client can be a powerful way of facilitating client exploration of thoughts, feelings, and situations with a view toward understanding and change. A good example of such a situation occurs when a child protective services worker becomes involved with a mother whose child has been removed from her custody. A worker who is able to communicate empathy for the mother would be more likely to facilitate the successful return of the child to the home than a worker who is unable to "tune in" to the parent or one who is aware only of the harm or potential harm to the child. By attempting to cast aside personal biases and trying to understand the impact of the loss of the child on the mother, the worker encourages the mother's trust. Hearing the worker acknowledge her feelings in a nonjudgmental manner allows the mother an opportunity to clarify for herself the meaning of her feelings and behaviors. The development of such an atmosphere of trust will encourage the mother to continue to express herself openly, offering an opportunity for both her and the worker to better clarify and understand the dynamics of the situation. The entire process becomes one of client self-exploration and mutual worker-client exploration of the problem and its alternative solutions. The chance for success of a plan for problem solving which results from an empathic interaction will be much higher than the chance for success of a plan which is imposed on the client and may be unrelated to the client's own needs and wants.

Carl Rogers (1957) once described empathy, along with genuineness and positive regard (respect), as "necessary and sufficient conditions" for therapeutic change. Research and practice experience have since revealed that other elements, such as concreteness and problem-solving abilities, are also necessary if effective helping is to occur. Nonetheless, empathy does play a vital role in relationship building and problem exploration. The importance of empathy in all human interaction and particularly within a helping relationship between two people is underscored by Perlman (1979): Aside from its value in increasing the helper's understanding of the person there is nothing more gratifying to anyone's self-esteem than for another person to pay close attention to them, to consider them important or interesting enough to want to understand their special feelings as meaningful (pp. 57-58).

REFERENCES

Carkhuff, R.R. (1969). *Helping and human relations*. Vol. 1. New York: Holt, Rinehart and Winston, Inc.

Cormier, W.H., & Cormier, L.S. (1985). *Interviewing strategies for helpers.* Monterey, CA: Brooks/Cole Publishing Co.

Egan, G. (1975). *The skilled helper*. Monterey: Brooks/Cole Publishing Co.

Gazda, G.M., Walters, R.P., & Childres, W.C. (1975). *Human relations development: A manual for educators*. Boston: Allyn and Bacon, Inc.

Hepworth, D.H., & Larsen, J.A. (1982). *Direct social work practice*. Homewood, IL: The Dorsey Press.

Perlman, H. (1979). *Relationship*. Chicago: University of Chicago Press.

Pippin, J.A. (1980). *Developing skills*. Beverly Hills, CA: Sage Publications.

Rogers, C. (1977). *Carl Rogers on personal power: Inner strength and its revolutionary impact*. New York: Delacorte Press.

Rogers, C. (1961). *On becoming a person*. Boston: Houghton Mifflin.

Rogers, C.A. (1957). The necessary and sufficient conditions of therapeutic personality change. *Journal of Consulting Psychology,* 21 (2), 95-103.

Shulman, L. (1979). *The skills of helping*. Itasca, IL: F.E. Peacock Publishers, Inc.

GENUINENESS

by Elizabeth W. Lindsey

The word "genuine" is usually used to describe a person who is truthful, honest and sincere. While these qualities are generally valued by society, within the context of the helping process there are times when a caseworker's "genuine" response (complete truthfulness and honesty) may not be helpful to the client. Indeed it may even be harmful. For instance, it would be of little help in an initial interview with a client who abuses alcohol for workers to say they are offended by the client's dress, smell, habits and irresponsibility. While such a revelation may accurately reflect the worker's feelings, it certainly would not be very helpful, since further communication with the client would be blocked. Yet, to ignore one's emotional reaction or to pretend one feels friendliness, approval or attraction for the person will most likely result in a phoniness that is apparent to the client. The challenge for you in such a situation is to maintain an awareness of your own feelings and, at the same time, respond to the client in a respectful manner that opens up, rather than closes, communication.

Gazda (1973) describes genuineness as "the extent to which you are consciously aware of and accepting of your visceral feelings and accurately match appropriate verbal and nonverbal communications to them. The 'appropriate...' refers to the fact that...we are concerned with what might be more accurately labeled as facilitative genuineness. Thus, people who are integrated mean what they say and, at the deepest levels, say exactly what they feel, keeping in mind that they are trying to be helpful to the 'helpee'" (p. 139).

Hepworth and Larsen (1982) further clarify the concept of facilitative genuineness with their suggestion that workers constrain themselves from "(1) relating abrasively (even though the practitioner may be expressing genuine feelings) and (2) meeting their own needs by focusing on personal experiences and feelings rather than those of the client" (p. 370).

Importance of Genuineness to the Helping Process

Communication of genuineness contributes to the development of a helping relationship by reducing the emotional distance between a client and yourself and by helping the clients identify you as another human being similar to themselves. Facilitative genuineness is one of the three core conditions, along with respect and empathy, considered necessary for the development of a helping relationship. A measure of whether workers are being facilitatively genuine is the extent to which they convey respect and empathy for their clients. A worker who severely criticizes clients who abuse alcohol or pretends to have positive feelings for them is communicating neither respect for the person nor an empathic understanding of the client's experience. Respect and empathy cannot be communicated if the client has a sense of workers withholding themselves or being incongruent in the verbal and nonverbal communication.

Clients often have a basic distrust for workers and the entire bureaucracy. They may have heard stories from others about how they will be treated, or they may have had previous experiences with other workers or agencies which leave them feeling afraid or suspicious. In protective services situations, clients feel particularly vulnerable and may seriously doubt the worker's interest in and concern about them, since protection of the child or vulnerable adult is the primary purpose for intervention. If workers are to be effective in building a positive helping relationship they must break through fears and stereotypes, to create a climate in which the client is able to trust them.

The communication of genuineness on your part is probably the most crucial element in influencing the client to trust and be cooperative. Once you are able to break through initial barriers, the ability to interact genuinely can then encourage clients to explore their behaviors, thoughts, feelings and situations, self-exploration which is necessary for constructive problem solving to occur.

COMMUNICATION OF FACILITATIVE GENUINENESS

Within the context of helping, genuineness "refers not to a moral or metaphysical property or quality, but to a set of...behaviors essential to a...helping process" (Egan, 1975, p.90). These specific behaviors are described below.

Being Yourself

One of the most important ways of being genuine with clients is to "be yourself." "Being yourself" means that one does not significantly change when interacting with different people or in different situations. The opposite of being yourself is to take on a role or act in a way contrary to how you feel or believe. For example, a physician may seem cool, distant and nonemotional when interacting with patients. In fact, physicians may care very much about their patients, but adopt a professional facade that is radically different from how they really feel. Some people equate professionalism with being objective, reserved, even distant; however, this is usually a protective reaction to prevent the helper from being hurt or from having their authority challenged.

Workers can also find themselves acting out a role ("the social worker") with clients. This can be especially true when there is an unpleasant task to perform (e.g., discussing removal of children from the home). At such times it is tempting to adopt a role in order to create distance between the worker and the client. However, when you adopt a role or facade, it is very easy for you to come across as phony, not genuine. The tendency to interact with clients based on a prescribed set of behaviors ("This is how a worker ought to act") can contribute to the stereotype of workers as uncaring, unfeeling bureaucrats, a stereotype which is not true of most workers.

While it is necessary for you to behave in a professional manner with clients, it is important to avoid adopting a role or facade which creates distance and lack of trust.

It is possible to handle even difficult situations with genuine caring and concern while still retaining one's objectivity.

Having Congruence

Self-congruence means that one's verbal responses match one's nonverbal behaviors. Congruence also implies that one's verbal expressions are an honest reflection of one's thoughts and feelings. If you are to be perceived as genuine, your tone of voice, facial expression, body posture and eye contact should agree with, rather than contradict, what you say. When there is a discrepancy between words and nonverbal behaviors, people are most likely to believe the nonverbal message. Workers who say they are concerned about a client's problems while they are busy writing a note about something also will not be perceived as genuinely interested or concerned. In this case the lack of congruence could lead the client to doubt the worker's sincerity and reduce the extent to which the client is willing to trust the worker. When there is great disparity between a worker's verbal and nonverbal messages, the client may even become confused or apprehensive. For example, Incongruence: Worker: Good morning, Ms. Jones. I'm glad to see you. (Frown, thumbing through papers while talking.)

Congruence: Worker: Good morning, Ms. Jones. I am glad to see you. (Warm smile, open posture and a pleasant tone of voice, facing the client.)

It is obvious that the worker's incongruence in the first example could adversely affect the interaction with the client; however, might there not be situations where workers who are congruent with their own inner experience of the client can also adversely affect work with clients? In the original example about the interview with a client who abuses alcohol, surely it would not be helpful for the worker to congruently express their feelings of revulsion. On the other hand, if workers are unaware of or deliberately try to ignore their own feelings, they are apt to send out mixed messages to the client. For instance,

Worker: (leaning back away from client, trying to take shallow breaths, turning head away and not meeting his eyes) I'd like to hear more about that.

Cormier and Cormier (1985) suggest that workers need to at least acknowledge feelings of discomfort to themselves and not "try to cover up or feign comfort when it does not exist" (p. 27). Once acknowledged, workers can then decide how they will handle those feelings (i.e. whether to keep them to themselves for the moment or express them directly to the client). Such awareness should at least enable workers to avoid sending incongruent messages to clients.

Using Nonverbal Behaviors

Since nonverbal communication is such an important aspect of one's total communication, certain nonverbal behaviors can be crucial in communicating genuineness. Direct but intermittent eye contact communicates trustworthiness. After all, would you trust someone who won't look you in the eye? Appropriate smiles and slight forward lean also reinforce other ways in which you attempt to be genuine with clients; however, it is important to match the clients' behaviors, i.e. smile when the clients smile, not when they cry; avoid leaning too close to clients if they are trying to keep their distance. Matching a client's nonverbal behavior is discussed in more detail in the "Empathy" chapter.

Being Spontaneous

Cormier and Cormier (1985) describe spontaneity as the "capacity to express oneself naturally...without contrived or artificial behaviors" (p. 28). Spontaneity within the helping relationship also implies a combination of tact and openness. One is able to express oneself in ways that are helpful to clients without deliberating about every response one makes. Spontaneity requires a willingness to risk being wrong and to risk being open with others.

Beginning workers usually do not feel very spontaneous. They are concerned about how to interact with clients, whether they are getting and giving correct and complete information, how they are using interpersonal skills and many other aspects of the new job. The ability to be spontaneous in a helpful way can only be fully realized when one has developed a certain degree of comfort and confidence with oneself and with the job.

Being Nondefensive

When a person feels attacked or threatened, the natural response is to close up, defend or counterattack. You may often be in the position of feeling verbally attacked by clients and, in some instances, even of feeling physically threatened. Workers who are genuinely interested in helping a client to resolve a problem must work at suppressing this natural inclination to strike back at the client. Such a defensive reaction only leads to a loss of trust and could create a climate for heightened conflict.

Being nondefensive when feeling threatened may seem to contradict the idea of being yourself and being self-congruent; however, being facilitatively genuine does not mean saying and doing what comes naturally. On the other hand, it doesn't mean being dishonest with the client or saying or doing things one doesn't mean. Being facilitatively genuine involves your being aware of your own emotions and reactions rather than denying them. Then you make a conscious choice about how to respond to the client, based on what they believe will be most helpful in facilitating communication and the development of a good relationship. Compare the following examples:

> **Client:** "All of you welfare workers are just alike. You don't care about what you're doing to my family. All you care about is your red tape and looking good to your boss. You don't try to help at all."

Defensive Responses:

> "That's not true. I've done all I could to help you keep your family together."
>
> "Look, there's nothing I can do about it. I told you if you didn't make progress on your goals by January, I'd have to take the case back to court."

Nondefensive Responses:

> "You really feel like you're getting a raw deal...like I don't care about you and your family. I wish the children could move back home, but that can't happen until you've found another place to live and have quit using drugs. I'd like to help you, but I'm feeling very frustrated because I don't know what else I can do. Do you have any ideas?"

Notice the nondefensive response begins with an empathetic statement and is followed by an honest expression of emotion by the worker. Rather than striking back when the client verbally attacked, the worker tried to listen and to understand the client's motivation and feeling. The worker also attempted to examine their own actions and scrutinize the negative criticism objectively and honestly (i.e. was there something else the worker could do but hadn't done?).

Listening empathetically is an effective way to maintain a nondefensive position. It is very difficult to react angrily or defensively toward someone when you are truly in tune with that person's experience and feelings.

Using Self-disclosure

In the above example, when the worker said, "I'd like to help you, but I'm feeling frustrated because I don't know what else I can do," the worker was making a self-disclosure. Self-disclosure is often treated as a separate interpersonal helping skill, but because of its importance in communicating genuineness, it has been included here.

Self-disclosure is any information helpers convey to clients about themselves. The nature of the information may vary; it may be of a personal, intimate nature or of a non-intimate, "demographic" nature. It may be positive or negative. It may relate to the past, the present or the future (Cormier & Cormier, 1985).

Following are some examples:

- "When I first found out I was pregnant, I felt pretty afraid, myself." (personal, negative, past experience)

- "Meeting new people used to be hard for me, too, but when I realized most people felt the same way, I was able to relax a little and just be me." (non-intimate, positive, past experience.)

- "Sometimes I get really angry with my children, too. I just with they'd leave me alone so I could have some peace." (personal, negative, present experience)

- "Right now, I get the feeling you're holding back, as though you don't trust me. That makes me feel sad because I feel like we've been through so much together." (personal, negative, present experience)

The last example illustrates a form of self-disclosure called "immediacy," which involves the worker and client openly discussing what is going on in the interaction between them at the moment. This is an important higher level skill which will not be directly addressed here. As workers gain more experience, they will need to develop the capacity for immediacy.

Role of self-disclosure in the helping process

Viewpoints vary on the extent to which personal sharing on your part is helpful. One viewpoint is that self-disclosure can make the helper seem less effective in the client's eyes and can even frighten some clients. Proponents of this viewpoint discourage any type of personal sharing on your part. Another perspective is that appropriate use of self-disclosure can create a sense of trust between the helper and the client and can actually encourage the helping process by decreasing role distance between the helper and the client and modeling open expression of thoughts and feelings.

The controversy around personal sharing underscores the need for exercise of discretion when using the skill. Self-disclosure should never burden the client or distract them from focusing on the real issues at hand; however, used appropriately, self-disclosure can be a very effective tool in developing a genuine relationship with clients.

When you share personal information with clients, you reduce the role distance between yourself and them. Self-disclosure highlights the common experiences, thoughts and feelings you and the client share. The client can see you as another human being, not as a person playing the role of social worker.

Such sharing can promote trust and encourage the development of an open atmosphere in which all thoughts and feelings may be aired. In fact, when clients ask you questions about your personal life, this may reflect a need on the client's part to evaluate the extent to which you can be trusted. Workers who are willing to share of themselves as the client is asked to disclose personal information will create a climate of trust and openness.

Self-disclosure is also a powerful tool for increasing disclosure on the part of the client. People are often reluctant to share information with strangers, with people they know nothing about. By sharing personal information, you not only make clients feel more comfortable talking about themselves, but also provide a model for how to self-disclose. You then gain more information from clients without having to pry, and clients are able to go deeper into self-exploration.

Self-disclosure by you often can help clients develop a new perspective on their own or others' behavior and on outlooks for the future. By sharing personal experiences and feelings, you can encourage the client to consider ideas or possibilities never before thought of. This can be very helpful in the problem-solving process.

Guidelines for using self-disclosure

Inappropriately used, self-disclosure can focus attention on you rather than the client, or make the client feel that you have so many problems that you cannot possibly be helpful. Self-disclosure should always be used carefully and with a conscious purpose in mind. Following these guidelines will help assure appropriate use.

Research has shown that moderate rather than high or low amounts of self-disclosure are most effective (Cormier & Cormier, 1985). Workers who share too much information take time away from the client's concerns and can give clients the impression they are self-preoccupied, lack discretion or are overwhelmed by their own problems. Workers who share too little of themselves may seem cool, aloof and unwilling to be themselves with clients. Workers should attempt to match the depth and intensity of self-disclosure with that of the client.

Self-disclosure should be used only after you have listened and responded to the client's thoughts and feelings about the situation. Reflections, summarizations and good attending convey to the client a sense of being heard and understood prior to self-disclosing. Premature use of self-disclosure can indicate to the client that you have not been listening and have no real sense of the client's experience. By laying proper groundwork through use of listening skills, the worker encourages the client to be more accepting of the ideas or feelings the worker expresses through self-disclosure and ensures that the self-disclosure will be relevant to the client.

Timing is important in use of self-disclosure. Brief, concise, infrequent and well-timed self-disclosures will be more effective than lengthy or frequent self-sharing. Frequent use of self-disclosure can shift the focus of the interview from the client to you. Poorly timed self-disclosure can distract the client from their own train of thought. If a client is already talking freely in a focused and purposeful manner, listening skills are more appropriate to encourage exploration. Self-disclosure can be very useful when a client has difficulty exploring a topic, focusing their thoughts or labeling feelings.

Finally, you should always return the focus to the client following a self-disclosure. Ending the self-disclosure with a remark or question which links it to the clients' experience invites them to continue exploring the topic. This refocusing prevents you from becoming the center of attention. Compare the following examples:

Client: I don't know what it is. I can eat a bowl of cereal or drink a glass of milk, and it feels like it's clabbered.

Worker A: Sometimes when I have a lot of things going on in my life, I find it hard to eat. I don't have any appetite or I feel sick to my stomach.

Client: Well, what do you think it could be?

Worker B: Sometimes when I have a lot of things going on in my life, I find it hard to eat. I don't have any appetite or I feel kind of sick to my stomach. You've been under such a strain lately. I wonder if it's beginning to affect you physically.

Client: I don't know. I hadn't really thought about it being related to all this with Mother.

Notice how, when the first worker didn't return the focus to the client, the client simply picked up on the worker's problem, as most of us would do in everyday conversation. The interview could easily turn to a discussion of the worker's health, rather than a focus on the client's situation. In the second example, the worker shifts attention from their own experience to that of the client. Refocusing on the client is a crucial difference between personal sharing with friends and family and using self-disclosure as an effective interpersonal helping skill.

Willingness to share

You must decide for yourself what subjects you are comfortable discussing with your clients. In general, if a client asks a specific question about your personal life, it is best to answer briefly, but directly, if you feel the request is appropriate and are willing to share the information. Immediate refocusing on the client will avoid shifting the focus of the conversation to you.

If you are not comfortable discussing aspects of your personal life with a client or feel that a request for such information is inappropriate, you need to decide how to handle such situations when they arise. Notice in the following example how the worker does not answer the question they consider inappropriate, but concentrates instead on the feelings expressed by the client's question:

Client: You don't have any idea how hard it is to live on the money I get from the welfare. How much money do you make working here, anyway?

Worker: You wonder how I can possibly understand your situation because my income isn't as limited as yours. (empathy)

If this same client has pursued the question about the worker's salary, the worker may have decided to be more direct.

Client: Yes, I know you don't know what it's like. How could you? How much do you make here, anyway?

Worker: I realize there is quite a difference in what I have to live on and what you get in your check. I feel that my salary is something personal and I am not comfortable talking about it. I know that it's hard for you to support yourself and your children on your welfare check. Can you tell me some more about how you do manage?

Your willingness to share personal experience can make a real difference in developing a helping relationship. Clients are required to disclose to workers many details about their lives which most of us consider to be personal, i.e. level of income, family circumstances, relationships among family members, etc. The requirement for such self-disclosure on the part of the client often results in anger and hostility. Workers who are unwilling to share something of themselves with clients reinforce the stereotyped view of the worker as uncaring and unfeeling, as someone very separate from the client.

Workers who are reluctant to share of themselves will be much less effective in working with clients than workers who self-disclose when they feel a request for information is legitimate or when they believe they have something to share which will be helpful to the client. Your willingness to share personal thoughts, feelings and experiences can be a real asset in communicating a genuine interest and concern for clients and in developing a positive helping relationship with clients.

Communication of facilitative genuineness is important from the very beginning of the worker-client relationship. In initial stages, you can emphasize being yourself rather than acting a role, having self-congruence, having congruence with the client ("matching"), being nondefensive, being spontaneous and using nonpersonal or fairly shallow self-disclosure. As the client and you come to know each other better, deeper and more personal self-disclosure, including immediacy, becomes more appropriate. Throughout, your nonverbal and para-verbal behaviors should support all other ways of communication of genuineness.

Learning to be genuine when interacting with a client is a gradual process. At times you may find yourself being "genuine" in ways that are not facilitative, particularly when you have strong negative reactions to some aspect of clients' behavior. In the early stages of this process you become more aware of your own reactions and how they communicate these reactions. As you develop the capacity to empathize with and respect clients, you will be able to overcome non-facilitative initial reactions and develop a genuine interest and concern for the client. Your ability to communicate to clients that you can be trusted, that you are concerned about clients and that you are interested in helping clients solve their problems is the essence of facilitative genuineness.

REFERENCES

Cormier, W.H., & Cormier, L.S. (1985). *Interviewing strategies for helpers (2nd Ed.)*. Monterey, CA: Brooks/Cole Publishing Co.

Egan, G. (1975). *The skilled helper: A model for systematic helping and interpersonal relating*. Monterey, CA: Brooks/Cole Publishing Co.

Gazda, M., Walters, R., & Childers, W. (1975). *Human relations development: A manual for educators*. Boston: Allyn & Bacon, Inc.

Hepworth, D.H., & Larsen, J.A. (1982). *Direct social work practice*. Homewood, IL: The Dorsey Press.

RESPECT

by Elizabeth W. Lindsey

Respect is one of the three core conditions, along with empathy and genuineness, which is necessary for the development of a helping relationship. Having respect for someone traditionally means holding the person in high regard or esteem. Frequently this "respect" is based on the accomplishments or good deeds of the person. This is the foundation of "respect" that people have for leaders, professionals, colleagues, friends and family members.

Respect as a core condition of helping goes beyond the traditional definition of the word. Respect means prizing another person because he is a human being. It implies that being a human being has value in itself. Choosing to prize others simply because of their humanity is also a value. It is difficult to see how anyone could commit themselves to helping others unless this is a value for them (Egan, 1975, p. 94).

IMPORTANCE OF RESPECT FOR SOCIAL SERVICE CLIENTS

While all human beings have a need to feel respected by individuals with whom they come in contact, it is particularly important for clients to feel respected by workers. Many clients are predisposed to mistrust or even to fear the public welfare system as a whole and workers as individuals. These feelings may be based on conversations with other clients, their own past experiences with workers who have not treated them with respect, or may arise out of fears about what will happen to them or their families as a result of intervention by agency staff. Lack of self-respect may be a direct result of feeling that they have no strengths or resources to help them solve their problems and develop an independent support system outside of the welfare bureaucracy. If you are to be truly helpful, you must be able to see beyond the immediate circumstances and communicate respect for a client's potential.

Respect is often thought of as an orientation toward a person, that is, one's attitudes toward another person. For a helper, however, respect involves more than attitudes. Respect must be demonstrated to clients. Thus, there are two important aspects of respect: one's attitudes and one's ability to communicate respect in observable ways.

ATTITUDES AND VALUES

These are four attitudes or values which are particularly important for helpers. Each deals with the helper's beliefs about people.

- **Human Beings are Worthy of Respect.** Effective helpers believe in the inherent dignity and worth of all human beings. Thus, people do not have to earn respect. They are automatically worthy of respect by virtue of their being human. This attitude is at odds with a more prevalent attitude that people must earn the respect of others. An effective helper will communicate respect for clients or potential clients from the beginning of the relationship, rather than communicating an acceptance conditional on what they later learn about the person. Thus, respect is assumed by you, rather than earned by the client.
  Probably the greatest test of whether a helper truly believes that all human beings are worthy of respect occurs when the helper works with people who have committed acts of which the helper, and often society at large, disapprove. For example, are child abusers, neglectful parents, spouse abusers or rapists worthy of respect? Although it is difficult to respect the person while disapproving the person's actions,

this is just what you must do. This subject will be discussed in more detail during a later section on maintaining a nonjudgmental attitude.

- **Each Person is Unique.** It is important for you to be aware of the essential uniqueness of each individual. It is often difficult for DFCS staff to view each client as an individual with unique problems which require individualized solutions. Since many clients have similar problems (poor parenting skills, lack of money, family concerns), it is easy to categorize or pigeonhole people by problem area and then offer packaged solutions. While people may have similar problems, there are elements of individual situations which will invariably be unique. People's emotional responses to similar situations differ. The nature and amount of personal or other resources will vary from person to person. It is important for helpers to recognize the uniqueness of each person-within-a-situation with whom they work. This attitude not only communicates respect for the individual, but also opens up your mind to a variety of ways of viewing and solving problems.

- **People Have the Right to Make Their Own Choices.** Effective helpers will believe in the right of each person to make their own decisions regarding how that person will live their lives. Often, people have a tendency to believe they know what is best for another person. This attitude is very inappropriate for a helper who wants to assist clients in taking charge of their own lives. No one can know what is best for another, because no one knows a person and their situation better than the individual involved. Effective helpers will provide suggestions and alternatives, encourage clients to make the actual decision, and then support clients in their decision. This approach to working with people demonstrates respect for their ability to make constructive decisions to solve problems and leaves responsibility for each individual's life with the appropriate person--the client.

  Only when client decisions pose a threat to others do you have a responsibility to intervene. Even then, it is necessary to treat the person with respect. For example, if a father who has been sexually abusing his daughter chooses to continue the behavior, you must uphold the child's right not to be abused. The father's decision will result in consequences he will have responsibility for, but you cannot make the decision for him.

- **People Can Change.** Almost all forms of helping are based on the belief that people have the strength and potential to make changes in their lives. If there were no belief in the possibility of change, the expectation would be, "Once a client, always a client;" "Once in need, always in need." While some people do need assistance in one form or another for long periods of time, many people need help only briefly, for very specific problems. Even long-term clients change, however, as they grow and learn from experience and the helping relationship. Changes in environment bring about changes in people's attitudes and behaviors. Only workers who believe people can change will look for and recognize constructive changes when they occur.

People who want to be effective helpers must be aware of the extent to which they hold the four attitudes or values discussed above. Each is an ideal, probably not fully realized by very many individuals. It is very important to know how one's own value orientations may influence one's perceptions of clients. Your personal prejudices and biases can serve as criteria for judging clients unless they make allowances for individual and cultural differences. In order to facilitate the helping process with people from different cultures, you must realize that a quality which is viewed negatively in one culture may be positively valued in another. For instance, most Western cultures follow the principle of monogamy, while many Eastern cultures follow the principle of polygamy. Rather than being a moral issue, this variation between the two views of marriage is based on historical, religious and cultural differences.

It would be most helpful if you would recognize that clients' value orientations may be quite different from your own and that your own value orientation can affect your attitudes or actions toward clients. For example, workers who were raised in homes in which traditional life styles and family roles were stressed may have difficulty understanding and communicating respect for clients whose life styles are less traditional, i.e. single parents, unwed mothers, teenage mothers or divorced parents. Usually workers can be most helpful when they do not attempt to superimpose their own values on clients.

Within the helping context, it is sometimes difficult for you to feel respect for some clients, especially when the latter's attitudes, beliefs or actions are contrary to those of accepted norms or your personal expectations; however, the communication of respect for the individual, though not necessarily for actions with which workers do not agree, is necessary in establishing a helping relationship.

COMMUNICATION OF RESPECT

How do you show respect for clients? What behaviors or actions indicate respect? There are several elements of communication which convey respect in a helping relationship:

- Showing commitment
- Developing empathy
- Communicating warmth
- Suspending critical judgment
- Reinforcing client strengths

Showing Commitment

You communicate respect by your interest in and commitment to working with the client. Commitment is translated into such actions as being on time for appointments, reserving time for the client's exclusive use, ensuring privacy during sessions, maintaining confidentiality and applying skills to help the client. Lack of time and lack of concern are two major barriers to communicating a sense of commitment (Cormier & Cormier, 1985).

Developing Empathy

Empathy is the process whereby one person attempts to see the world through the eyes of another person and then communicates understanding of and compassion for the other's experience. The development of empathy requires a reaching out, tuning in and drawing out of the client's emotions. Through empathy, you actually operationalize the attitude or value that each person is unique. By trying to understand each client's feelings, experiences and behavior, you acknowledge that individual experiences vary, that people cannot be pigeonholed. What more effective way to communicate respect than by listening, trying to understand and then communicating that understanding back to the client?

Communicating Warmth

Gazda (1977) describes warmth as the physical expression of understanding and caring, communicated primarily through nonverbal behavior such as voice tone, facial expression, posture, gestures and eye contact. The importance of these attending skills in communicating warmth and respect is obvious when one considers the negative impact of such behaviors as looking away from someone when that person is talking, sitting with arms and legs crossed, turning away from the person or using a condescending or disrespectful tone of voice.

Touch may also be a powerful way of communicating warmth, but must be used carefully. Touch does not have the same meaning to everyone. Some people enjoy being touched; others do not. For some, touch may be a sign of caring and concern; for others, it may feel like an invasion of privacy or a hostile act. Workers certainly should avoid touches that may have a sexual connotation. Gazda et al. (1984, p. 111) suggest helpers ask themselves the following questions regarding touch:

- How does the other person perceive this? Is it seen as genuine or as a superficial technique?

- Is the other person uncomfortable? (If the other person draws back from being touched, adjust your behavior accordingly.)

- Am I interested in the person or in touching the person? Whom is it for? Me? The other person? Or, to impress those who observe? Communication of warmth reduces distance between you and the client. Without warmth, helping strategies and interventions may be "technically correct but therapeutically impotent" (Goldstein, 1980, p. 39).

Suspending Critical Judgment

Suspending critical judgment is yet another way of conveying respect for the client. In order to be helpful, you should respond to clients in a way that increases the chances of problem exploration and resolution rather than diminishes them. Overtly negative or critical statements by workers block exploration of communication with clients.

It is sometimes very hard for workers to suspend critical judgment. In daily experiences people tend to constantly evaluate what they hear others say or see others do. People decide whether or not they agree with the other person, whether or not the other person is "right" or "wrong." Workers often find themselves in situations where it is particularly difficult to maintain a non-judgmental attitude. However, the tendency to evaluate can interfere with effective helping. When clients feel they are being evaluated or judged, they do not feel comfortable talking openly. They are likely to hide their true feelings and not share information which embarrasses or scares them. They may say only those things of which they think workers will approve.

Understanding how people come to do the things they do (Was the child abuser beaten as a child? Is that the only way she knows to handle children? Is the teenager abusing drugs as an escape from the fear he will never live with his parents again or as a way of getting attention from someone who cares?) can help people to moderate their critical evaluation of others. Still, there are some behaviors which are not acceptable, and the key to a nonjudgmental attitude is communicating respect for the person but not for the act. For example, compare the two reactions to the following client statement.

Client: I know I shouldn't leave him home alone. But what can you do? I have to work and I can't afford a sitter or day-care center.

Worker A: So you knew you were being irresponsible but you didn't know what else to do?

Worker B: So you don't like leaving him at home by himself, but you don't feel like you have any choice because you can't afford to pay someone to look after him.

Worker A imposes judgment by labeling the client as "irresponsible." Worker B reflects the client's concern about the situation without judging the client.

Suspending critical judgment does not mean that you agree with or approve of clients' unacceptable behavior. It does mean that you attempt to communicate understanding of an acceptance for clients' rights to their own opinions, attitudes and feelings. When you decide to share your attitudes or perceptions, which differ from clients', it is important that this be done in a constructive manner. Overt, negative criticism and more subtle forms of disapproval only create feelings of defensiveness. When there is a difference of opinion, you need to acknowledge the client's point of view and avoid remarks which are critical. Differences of opinion should be treated as just that--differences, with neither person being labeled as "right" or "wrong."
Appreciation-of-difference statements recognize the clients' right to their own opinions, while making clear the worker's point of view. For example, "I don't see it that way, but I can see how you might arrive at that opinion." "I may disagree with what you are saying, but you have the right to call it as you see it." "From what you've told me, I don't think that's such a good idea because..."

Hepworth and Larsen (1982) summarize the implications of suspending critical judgment. You as a practitioner are confronted with the challenge of maintaining your own values (except those that hinder relating effectively to people) without imposing them and of divesting yourself of possible tendencies to judge people whose behavior may be highly offensive to you and to others. Still another challenge is to develop composure and equanimity to the extent that you manifest no embarrassment, shock, dismay or other discomfort when people discuss value-laden or emotionally charged problems associated with rape, incest, crime, child abuse, spouse beating and other forms of repugnant behavior (p. 47).

Reinforcing Client Strengths

Another important way you communicate respect is by looking for and reinforcing client strengths. The events which lead people to become involved with DFCS can be demoralizing and result in lack of self-esteem. Often it is much easier to find fault with clients than to look for and recognize strengths; however, any way that you find to reinforce positive aspects of a client's life or steps which the clients have taken to resolve their own problems can be very helpful in conveying respect for the client, in spite of the situation which requires the client to become involved with the agency.

You can reinforce self-exploration or tentative steps taken in the direction of positive behavior change. You also can help cultivate clients' resources by helping them identify and use their own strengths and supports which they may not be utilizing. One way of reinforcing positive actions or efforts on the client's part is through the use of enhancing statements.

Enhancing statements focus on the positive by pointing out things clients do well, positive steps they have taken, and their own potential to take charge of their lives. For example, "I can see that you've spent a lot of time looking for a new job, and it seems to be paying off for you." "You've made a lot of progress on the goals in your service agreement." "You're learning new techniques for disciplining your children and you've been praising them for good behavior." "You're really working hard to get them back home."

Although it can be difficult to recognize positive aspects about some clients, it is very important that workers make the effort to reinforce client strengths, however small or few they may be. By focusing on positive actions clients have taken, ideas they may have for future actions or any other strengths they have, workers help clients get a more realistic perspective of the situation and their ability to resolve it. In addition, reinforcing client strengths helps build clients' self-esteem, which can be an important factor in whether or not the person is able to work toward problem solving.

A workers' ability to convey respect for clients is a powerful influence in how willing the client will be to engage in a cooperative helping process. While genuineness communicates trustworthiness and empathy communicates understanding, respect communicates acceptance and concern. A helping relationship in which the client feels respected is like a living dynamic organism, and it must constantly be nurtured. You constantly draw from your repertoire of helping skills to communicate respect in order to keep the relationship viable and to facilitate the process of helping.

REFERENCES

Cormier, W.H., & Cormier, L.S. (1985). *Interviewing strategies for helpers*. Monterey, CA: Brooks/Cole Publishing Co.

Egan, G. (1975). *The skilled helper: A model for systematic helping and interpersonal relating*. Monterey, CA: Brooks/Cole Publishing Co.

Gazda, M., Asbury, F., Balzer, F., Childers, W., & Walters, R. (1977). *Human relations development: A manual for educators (2nd Ed.)*. Boston: Allyn & Bacon, Inc.

Gazda, M., Asbury, F., Balzer, F., Childers, W., & Walters, R. (1984). *Human relations development: A manual for educators (3rd Ed.)*. Boston: Allyn & Bacon, Inc.

Goldstein, A.P. (1980). *Relationship-enhancement methods. In F.H. Kanfer and A.P. Goldstein (Eds.). Helping people change*. NY: Pergamon Press.

Hepworth, D.H., & Larsen, J.A. (1982). *Direct social work practice*. Homewood, IL: The Dorsey Press.

QUESTIONS
by Elizabeth W. Lindsey

The use of questions is a verbal skill we all learn early in life. Since everyone uses questions, the purpose of this chapter is not to teach what a question is. Rather, the purpose is to expand the ways in which you phrase questions to best accomplish various goals of the helping interview.

Types of Questions

There are three main categories of questions: open, closed and indirect.

- **Open Questions.** Open questions are phrased in such a way that clients can answer in as many or a few words as they choose. Open questions usually begin with words such as "how," "what," "could," or "would." They encourage the person to elaborate on the topic. For instance, "What progress have you made in finding a job?" "Would you tell me more about that?" "How do you feel about that?"

  Open questions usually focus on the client's thoughts, feelings or experiences and enable the client to have some control over the direction of the interview. Some writers emphasize the opportunity the open question provides for focusing on the client by labeling the open question as "an open invitation to talk" (Ivey, 1987, p. 74).

- **Closed Questions.** Closed questions significantly narrow a client's range of responses by focusing on very specific information. Closed questions frequently begin with words such as "will," "is," "did," "when," and "where" and require only a "yes" or "no," or a one-word or two-word answer. For instance, "When do you plan to start work?" "Are your children living with you?" "How old are your children?"

- **Indirect Questions.** Indirect questions are statements which imply a question, but are not punctuated with a question mark. For example, "I've been wondering about your family," or "I need your social security number." Both of these statements indicate that the worker expects the client to answer, although the questions weren't posed directly. Using indirect questions enables the worker to break the sense of interrogation and monotony that is often created with a long series of direct questions.

Using a Combination of Questions

Effective interviewing involves combining different types of questions. One of the most common mistakes beginning workers make is to overuse closed questions or to use closed questions when open questions would be more appropriate. It is important to remember that open questions are generally best for getting the client to open up and to form a general picture of a situation. Closed questions are more appropriate to focus in on specific factual information. For example, a worker who is trying to find out more about a family's discipline practices would begin with open questions and move toward closed questions as the need for specific information becomes apparent.

Worker: How do you and your husband discipline the children? (open)

Client: Well, I generally send them to their rooms, but he spanks them a good bit.

Worker: For what kinds of things does he spank them? (open)

Client: Talking back, not minding, that kind of stuff.

Worker: How does he spank them? (open)

Client: He usually uses his belt, or his hand if he's too mad to take his belt off.

Worker: Has he ever left any serious marks or bruises on any of the children? (closed)

Client: Sometimes, when he gets carried away, like if he's been drinking.

Worker: So when he drinks he tends to hit them harder. (reflection) How often would you say this has happened, where his spankings have left marks or bruises? (closed)

Client: Oh, it happens pretty often. Generally, whenever he gets drunk.

Worker: And how often is that? (closed)

Following is an illustration of how a worker uses a blend of open, closed, and indirect questions to assist a client in making a decision. Also notice how the worker uses reflections in conjunction with questions.

Worker: It's good to see you today, Mrs. Luke. You sounded upset on the phone. What's wrong? (open question)

Client: Billy has been suspended from school.

Worker: What did he do? (closed question)

Client: I don't know, something about skipping classes, I'm not sure. Billy won't say anything, and the principal's secretary says he won't talk to me unless I come to his office.

Worker: You really sound worried. (reflection of feeling)

Client: I am. After all, it was because he wasn't going to school before that I had to go see the judge.

Worker: So you're afraid his being suspended is going to affect your custody. (reflection of content and feeling)

Client: I don't know how the judge will take it. I don't even know if he knows Billy has been suspended. (pause) I can't do anything with that boy! And the school's not any help at all! He's just too much to manage sometimes.

Worker: I was wondering about Billy's dad. (indirect question)

Client: (sharply) He's no help! I haven't seen him in six months. I mean -- what can he do? The good-for-nothing left me to take care of Billy, so I'll take care of Billy!

Worker: So you feel like it's up to you to handle the situation. What do you think you are going to do next? (reflection and open question)

Client: I'm going to take Billy by the arm and drag him into that principal's office and get this mess straightened out!

Worker: You certainly sound determined to take the bull by the horns and straighten the situation out. When do you plan to go to the school? (reflection and closed question)

Client: (backing down) As soon as I can: I can't get a ride to the school this week.

Worker: I couldn't help but notice a change in your tone of voice. What makes you so hesitant? (open question)

Client: Oh, when I get angry I say I'll do anything, then, who am I fooling? Billy's going to do what he wants to. I can't make him go to school.

Worker: You don't feel you can force him. (reflection of content)

Client: He won't go unless he wants to, or stay when he gets there.

Worker: So what do you think you can do now? (open question)

Client: I'd like to go out and talk to the principal and see if the school will help. There's a teacher Billy really likes; maybe he'd help.

Worker: That sounds like a good place to start. When could you go if I helped you work out the transportation? (closed question)

Client: This afternoon, if you can get me a ride.

Worker: I can work that out. Would you like to discuss what you plan to say to the principal? (closed question)

Client: Yes, I would. That might help.

The use of reflections clarified the client's feelings and communicated that the worker was concerned not just about what happened to Billy, but also about how the situation is affecting Mrs. Luke. Open questions were used to explore Mrs. Luke's thoughts and feelings. Closed questions were used to focus attention on specific details (e.g., "What did he do?" "When do you plan to go to the school?") and to focus discussion (e.g., "Would you like to discuss what you plan to say to the principal?"). An indirect question was used to bring up the sensitive subject of Billy's father.

Inappropriate Uses of Questions

- **Double Questions.** In order for questions to be effective, they should be clear and concise. When two questions are included within the same sentence, the client is left wondering which of the questions to answer: "What did he do then and how did you react?" Most often when asked a double question, people will respond to the last question. Then the worker will have only part of the information and will probably have to ask another question. No matter which question is answered by the client, the worker is left uncertain as to the exact meaning of the client's response.

- **Bombarding.** When a person is subjected to a series of questions in machine gun-like fashion, a feeling of being interrogated is often the result. In such instances the worker may seem single-minded and is apt to overlook the client's feelings. Consequently, the client becomes increasingly reluctant to respond and may develop feelings of anger or hostility. Pausing between questions, looking up at the client, reflecting and using a variety of types of questions can help mitigate against the atmosphere created by a long series of questions.

- **Statement Questions.** When a mother says to her child, "Wouldn't you like to go to bed now?" she is really saying, "I'd like for you to go to bed now." Such a question is a way of expressing one's own opinion rather than encouraging the other person to express his or her feelings or thoughts. Statement questions represent an attempt to impose one's own ideas or values on another and to manipulate the person into doing what one thinks is right or proper. For example, "You wouldn't want to work in a poultry plant, would you?" "Don't you think it would be best if we put Johnny in foster care until you're able to move into a better environment?"

  Workers should avoid asking questions when their purpose is to suggest a course of action or to convey a decision which has already been made.

- **"Why" Questions.** Many people become defensive then they are asked, "why?" because that word tends to question motives and cause people to try to justify their actions or feelings. In most situations, workers will gain more information and be perceived as less threatening if they substitute "what" or "how" in place of "why." A person who is asked, "What made you do that?" or "What were your reasons for doing that?" or "How did you decide that?" rather than "Why did you do that?" is more likely to reflect on the circumstances without making excuses or engaging in defensive maneuvers.

  Generally, "why" questions are only effective when they ask for specific information or facts rather than focus on feelings or motivation. Even then, a positive atmosphere in which there is trust and no sense of threat is necessary to counteract the almost spontaneous negative reaction to "why?"

- **Loaded Questions.** Questions which focus on emotion-laden or sensitive issues should be handled with care. Compare the following:

  Loaded Question: Is your husband still hitting the kids?
  Restated: How are your husband and the children getting along? (open question)

  Loaded Question: Are you still drinking?
  Restated: Last time you said you'd joined AA. How is that going? (open question)

  Loaded Question: Where is the children's father?
  Restated: I need to ask you about the children's father. (indirect question)

- **"Gotcha" Questions.** "Gotcha" questions are loaded questions used to set up the client to lie and then confront them with the evidence of the lie. For example:

  Worker: Cary, have you been going to school every day?

  Teenager: Yes, I have gone to school every day this week!

  Worker: Are you sure? The principal told me you had skipped six of the past ten days.

  Worker: Cary, I am really concerned. The principal called me today and told me you have skipped six of the past ten days. You have been working real hard to make it to class each day. I wonder what's going on.

Workers have to discuss topics which are considered "personal" or "nobody else's business." Few people willingly discuss problems they have dealing with their children or their elderly parents with someone they fear will accuse them of negligence or abuse. Foster parents may be defensive about their management of children placed in their care. Potential adoptive parents may be reluctant to share intimate details of their lives with workers. Many of these sensitive topics are best handled by open or indirect questions rather than by closed questions. Workers can show respect for clients by informing them at the beginning that they will have to discuss some "personal" areas. When workers acknowledge any feelings clients may have about discussing personal information, clients will be less likely to become resistive or angry.

Questions in Context

Questions are like salt. Although salt brings out the flavor in food, too much salt spoils the pot. Questions should be carefully thought out and judiciously used. Many times workers think of questions as the only way to get information or encourage people to talk. They forget that reflections also encourage people to say more about the subjects they're talking about, as was illustrated in the interchange between the worker and Mrs. Luke.

When questions are necessary, they should be asked in a warm, concerned manner, with good eye contact, voice tone and pleasant facial expression. Varied use of open, closed and indirect questions interspersed with use of other skills can help create an atmosphere of respect in which the client will give necessary information and explore issues of concern to both client and worker.

REFERENCES

Ivey, A.E., & Authier, J. (1978). *Microcounseling (2nd Ed.)*. Springfield, IL: Charles C. Thomas

SUGGESTED READING

Benjamin, A. (1974). *The helping interview*. Boston, MA: Houghton Mifflin Company, (Chapter 5).

IMPORTANCE OF PERCEPTIONS

by Marilyn Buckner and Phillip Mengel

Perceptions and our awareness of them are important because perceptions influence our behavior toward others. Our expectations of whether we feel an individual will succeed in a situation are communicated both verbally and non-verbally to that person. Experts in non-verbal behavior tell us that our body language accounts for about 65% of our message to other people. Even if we try to hide our opinions and expectations from others, unconsciously we are going to communicate our actual feelings with our body language. If we truly do not want to establish barriers in our interviewees, we need to become aware of our attitudes and how they influence our behavior so that we can either change the attitude or at least not let it influence our effectiveness. Awareness and acceptance of our perceptions gives us the control to minimize the effect on others.

If you will remember that most forms of human behavior fall on the bell-shaped curve, you will see that 32% of the time you a going to be "WRONG" in your perceptions of others. There is always a half of that 32%, or 16%, which falls above the norm and 16% which falls below the norm in human behavior. And therefore the average interviewer can only expect to be "right" 68% of the time.

The Advantages and Disadvantages of Perception

We usually classify objects into categories to be able to understand the world around us. Thus we put cars, houses, and other objects into similar categories so that we can think more quickly and efficiently. Unfortunately, our tendency to classify objects and people into categories can have a negative side effect. We tend to treat all objects and people we have put in the same categories in the same way. This natural classifying habit of the mind causes us to have a tendency to be closed-minded to the "differentness" of each of the objects or persons in a particular category. This unconscious classifying tendency is difficult to counteract and demands close attention.

The Influence of Awareness on Perceptions

Being aware of our perceptions and resulting values is particularly important to those of us who are human service workers. A personal experience of one of the authors who worked with alcoholic clients may better illustrate the problem of classifying all persons into one category having similar qualities.

> "At one point in my professional career I assumed that all alcoholics were doomed to be unsuccessful and would never achieve their goals. It seemed to me that my alcoholic clients always failed.

Therefore, from my point of view, it also seemed not worth the effort to go through a rehabilitation process, since these clients would not be getting better and would probably fail anyway. So I began to provide less service for these clients than other clients. Chart A illustrates the sequence of thoughts which influenced my behavior:

CHART A

PERCEPTION (All alcoholics are unsuccessful clients)

ATTITUDE (Therefore I don't want to work with alcoholics)

EXPECTATION (I don't expect success with alcoholics)

BEHAVIOR (I will try to screen out alcoholics from services and provide less and less to help them)

CONSEQUENCE (Indeed, all my alcoholic clients do fail)

Then one day I went to a workshop where the discussion centered around awareness of our perceptions and attitudes and how perceptions influence our actions. It was then that I realized that perhaps I did have a tendency to treat all alcoholics the same. The AWARENESS of this perception was the key to giving me the CONTROL to consciously begin to treat each client differently and give each one the same chance for services from my agency.

Chart B illustrates how AWARENESS of our perceptions influences a change in attitudes, expectations, and new behaviors and will show the process of what happened to change my thinking about alcoholics:

CHART B

AWARENESS (Of my perceptions, attitudes, expectations, and behavior toward alcoholics)

NEW PERCEPTION (I am seeing all alcoholics alike)

NEW ATTITUDE (I am going to try to see all alcoholics as individuals who are different)

NEW EXPECTATIONS	(I expect that some alcoholics are going to be successful)
NEW BEHAVIOR	(Communicate positively with alcoholics and don't screen out cases before trying to follow through with a plan)
CONSEQUENCE	(Some of my alcoholic clients succeed)"

SUMMARY

As we have learned, values are fundamental to our worldview. Moreover, values influence our perceptions -- what we see and hear -- and the interpretations we make. We have a very natural tendency to simplify by organizing our perceptions into categories; however, in so doing we must be aware that our perceptions are incorrect about one-third of the time. In addition, the habit of categorizing people easily breeds contempt and may influence our delivery of services. In conclusions, {case managers} must be continually aware of their personal values and the resulting beliefs or judgmental behavior. Values do not remain static -- except for the closed-minded. Instead, values are always in the process of changing as our awareness grows.

Buckner, Marilyn and Mengel, Phillip. *TOOLS OF THE TRADE: Ideas and Strategies for Interviewing*, 1980.

CONCRETENESS

by Elizabeth W. Lindsey

Clients often describe their feelings, situations and problems in vague or abstract terms. Such vague communication may reflect inner confusion, which prevents a person from clearly articulating their concerns, or it may be that the person is unaccustomed to thinking or talking with specificity. One of the most important tasks of workers is to help clients become more specific about problems or concerns.

Concreteness involves helping the client fill in the gaps by being specific about feelings, experiences and behavior. Cormier and Cormier (1979) describe three categories of "gaps" which frequently result in an incomplete or inaccurate representation of reality:

- **Deletion.** When information is left out, i.e. "I'm scared." (of what?)
- **Distortion.** When communication is misunderstood or circumstances are not what they seem, i.e. the client says, "I'm upset about what happened," and the worker assumes that they know what the client means, without clarifying the word "upset."
- **Generalization.** When conclusions are reached without supporting data or when a whole class of things or people is associated with a feeling or with the same meaning, i.e. "I never get to do what I want," or "Everybody feels bad when they lose someone they care about."

The following examples contrast vague and concrete client statements:

Vague: I'm scared. (vague feeling)

Concrete: I'm scared of losing my assistance if I can't do all the things you wrote on that piece of paper.

Vague: I just feel funny.

Concrete: I have headaches, my vision is cloudy, and I have muscle aches.

Vague: Things never seem to go my way. (vague experience)

Concrete: First my car broke down, then the washing machine tore up, the dentist says Mary needs braces and there's a chance I'll be laid off next month. Why do all these bad things happen to me? (concrete experience)

Vague: A lot of parents and teenage kids don't get along.

Concrete: We just don't get along like we used to. She talks back to me and won't mind me. I lose my temper pretty often and we get into terrible arguments. (concrete behavior)

In addition to being specific, concreteness also involves talking about a feeling, experience or behavior that is personally relevant and important to the client. It's often easy for clients to freely give details of situations or feelings that are not very important to them; however, it is more difficult to speak concretely about more sensitive subject matter. Thus, vagueness can serve as an indicator of problem areas in need of exploration by the worker and client.

Guidelines for Promoting Concrete Communication

It is your responsibility to help clients learn to become more concrete in their thinking and communication. Once learned, this is a valuable skill clients can use outside the helping process as well. Hepworth and Larsen (1982) describe several specific ways in which you can promote and reinforce concrete client communication. These guidelines involve the use of questions, reflections and summarizations to help clients fill in gaps and talk more specifically.

- **Check Out Perceptions.** When you use reflections, summarizations or questions to clarify your own understanding of what the client has said, misperceptions and misunderstandings are minimized. This can be very helpful when clients are confused, present fragmented pictures of their experiences, or talk on a highly abstract level. When people describe ambiguous or complex experiences or feelings, they often become confused themselves. Your responses which check out client communication also help clients clarify their own thinking. Examples of how to check out perceptions include:

  "Let me see if I understand what happened..." (summarization)

  "Could you tell me a little more about that?" (open question)

  "You seem to be feeling really afraid that you'll never be adopted." (reflection)

  "Is that the big thing on your mind now?" (closed question)

  "I'm not sure I followed everything you said. Let me see if I can summarize what you just told me so you can fill in if I missed anything." (summarization)

- **Clarify Meaning of Vague or Unfamiliar Terms.** Closely linked to checking out perceptions is asking the client to clarify any communication which is vague or with which the worker is unfamiliar. Perhaps the best illustration of this way of promoting concreteness involves cross-cultural interviewing. For example:

Black Client: Yeah, that dude is bad.

White Worker: What do you mean, "bad?"

The client may mean the man she's talking about is "with it," "cool," good-looking, but she doesn't mean he's "bad" in the dictionary meaning of the word. The worker's response asks the client to elaborate, to be specific about how she's using the word, "bad."

Clients who speak various English dialects, those who speak English as a second language and those who speak little English at all pose a particular challenge to the worker; however, language barriers are not the only source of misunderstanding due to vagueness or multiple meanings for words. Many of the words used to describe feelings, behaviors, or experiences do not really provide much information. For example:

Child: My mother was mean to me last night.

Worker: How was she mean?

Child: She wouldn't let me stay up past my bedtime to watch a TV program.

Obviously, the child's perception of their mother as "mean" would be at odds with the perception of most parents. When clients label feelings, situations, experiences and behaviors, it is important that you clarify what the label means to the client. Examples of how to clarify vague or unfamiliar terms include: "I'm not sure I know what you mean by that. Could you explain it to me in a different way?" "You sound really angry at your mother. What did she do that you felt was so mean?" "I don't think I understand what you mean by 'immature.' Could you give me some examples of her behavior you thought were immature?"

- **Explore the Basis for Conclusions.** Clients often discuss problems in terms of describing facts or events, and they may present impressions and their views of reality based on the conclusions they've drawn. For example: "Mamma needs to be in a nursing home." "My wife is cheating on me." "My boss doesn't like me."

  It is your task to help clients elucidate the facts upon which they've based their conclusions. Helping clients concretely describe the factors which contributed to their conclusions enables you to assess clients' patterns of thinking and can help both you and your clients accurately assess the situation. You may have to confront or challenge distorted or erroneous conclusions drawn by clients.

  Examples of ways to clarify the basis for client conclusions include: "What makes you think she needs to be in a nursing home?" "What has happened that makes you think she's been cheating on you?" "What do you mean, he doesn't like you?"

- **Assist Clients in Personalizing Statements.** A common way of speaking is to shift focus from ourselves ("I" or "me") to others ("you" or "they"), to a mutual relationship between ourselves and others ("we"), or to content or subjects (i.e. events, situations, ideas, institutions). For example, "It's really hard when you don't feel like there's anything you can do about the situation." "When people give up their babies, they sometimes regret it forever, don't they?" "We didn't think that would be such a good idea." "This agency is a real pain in the neck. You have so many rules and regulations it's a wonder anything ever gets done."

Removing themselves from the focus of a message by using "we," "you," or "they" rather than "I" or "me" is one way people deal with difficult or sensitive subject matter. It can also be a way of denying ownership or responsibility for the feelings or the experience itself. An important aspect of helping clients become more concrete involves helping them personalize statements about their feelings and experiences. Examples of personalized statements would be: "I feel so helpless because I don't feel I can do anything about the situation." "I'm afraid I'll regret giving up my baby." "I didn't think that would be such a good idea." "I'm really tired of all the rules and regulations I have to deal with at this agency, and I'm getting angry about all the delay."

In order to make such personalized statements, clients must have a certain degree of self-awareness, be willing to risk being honest and specific with themselves as well as with you, and must often change the way they view the feelings or events they experience. They must see themselves in a central position to affect their own lives, not as an outsider watching others or as a victim of other people or outside forces.

You can help clients personalize their statements by modeling, teaching, and coaching clients to use self-referent pronouns ("I," "me") rather than language which shifts the focus to others or to content. For example, in response to the client statement presented earlier, "When people give up their babies, they sometimes regret it forever, don't they?" the worker might say, "Would you say that again, but this time, begin you sentence with the work, 'I'?" Or the worker might have acknowledged the feelings expressed as the client's own by reflecting, "You're afraid you might regret it if you give up your baby?" In this last response, the worker personalizes the client's statement for her.

A second way you can help clients personalize statements is to focus on the client rather than on the actions or feelings of others, ideas and events. For instance:

Foster Parent: Janey won't do what I ask her to. She constantly disobeys me.

Worker A: Why is Janey being disobedient?

Worker B: You're really angry with Janey because she won't cooperate with you.

Worker C: What do you do when she disobeys you?

The statements by workers B and C focus on the foster parent's feelings and behavior, rather than that of the foster child. Focusing clients on their own feelings, actions and experiences is an important factor in helping them to become more concrete and to deal with aspects of the situation which they can influence.

- **Elicit Specific Feelings.** Many of the words people use to describe their emotional states are vague and do not completely convey the actual nature of the emotion. Such words as "upset," "bothered," "uncomfortable" and "frustrated" give only a superficial picture of feelings. "I'm upset" may mean a person is angry, disappointed, hurt, discouraged, irritated, etc. Clients often need assistance in being more concrete about specific emotions they are experiencing. Unless you elicit additional information, you will not know what the client means by "upset" or other vague, emotional descriptors.

Sometimes clients themselves don't know exactly what emotion they're experiencing. They may realize they feel uneasy or have unpleasant feelings, but not recognize specific emotions. This phenomenon is frequent among clients who do not give themselves permission to have certain feelings, i.e. anger, disappointment and hurt. Eliciting additional information about specific feelings can help clients begin to "own" their feelings, as well as help them understand the significance certain experiences have for them. Some examples of ways you can elicit specific feelings include: "Uneasy in what way?" "What do you mean by 'bothered'?" "Could you tell me some more about this feeling of being upset?" "How do you mean, 'uncomfortable'?"

- **Elicit Details.** An important element in helping clients to explore concretely is eliciting details about experiences, interactions and behaviors. Compare these two client statements: "I don't want John to stay with them anymore. John says Ms. Crosby is trying to turn him against me." "John told me that Ms. Crosby has been telling him that I'll never solve my problems, that I'll never be able to have him live with me again. I don't want him staying with someone who tries to turn him against me."

  The second statement is much more explicit about the source of the client concern, since specific details about what her son told her are given. Questions that begin with "how," "what," "when," and "where" are effective in getting clients to provide additional information. For example, in response to the first client statement above, you might ask, "What happened to make John feel that way?" "What did John tell you?" "How did John reach that conclusion?"

  A very important area in which additional information must be sought relates to client behavior and interactions with others. If you are to help clients alter dysfunctional behavior patterns, you must have an accurate and complete picture of the behavior itself and the circumstances in which the behavior occurs. Concrete responses pinpoint what actually occurs in interactional events, what circumstances preceded the events, what was said and done by the participants, and what consequences followed the event (Hepworth & Larsen, 1982). For example:

  Client: Usually my husband only beats me up when he's had too much to drink.

  Worker: Let's go back to the last time he abused you. Start at the beginning and tell me the entire sequence of events from when he first began to get angry.

- **Focus on Here and Now.** One of the most powerful tools for helping clients communicate concretely is to focus on "here and now" or immediate feelings and experiences. Clients will most often describe past feelings and experiences, phenomena that occur outside the interview. This information is necessary for both assessment and problem solving, but the intensity of past experiences is muted when compared with the intensity of present feelings and experience.

  Focusing on present emotions and experiences helps clients recognize feelings as they occur rather than relying on memory or reconstruction of past experiences. This type of immediacy provides you with undistorted firsthand data about how clients behave and express themselves. An example of focusing on the here and now is:

Client: I try not to think about my mother. When I do... (tears in eyes, difficulty speaking) I just miss her so much.

Worker: It's very painful for you to think of her, isn't it? You seem to be missing her a lot right now.

- **Being Concrete in Response to Clients.** Thus far the discussion has focused on ways you can promote client concreteness. It is also important for you to be concrete in your own communication with clients. Many of the previously mentioned guidelines are just as important to your concreteness as to client concreteness. You should avoid using vague language or jargon which is unfamiliar to clients. Workers who personalize statements, who are specific about their own feelings, experiences and behavior, and who focus on the here and now in their communication model these same skills for clients and encourage clients to do likewise. Compare the following worker statements:

  Vague: Your house looks nice.

  Concrete: You've really made a lot of the changes we discussed. The kitchen and bathroom are very clean. You've moved the animals outdoors and the children are wearing warm clothes.

  Vague: You have poor self-concept.

  Concrete: You don't seem to think very much of yourself. You frequently put yourself down or minimize the achievements you make. You say you feel incompetent despite the fact that you've accomplished several things to be proud of. Yet, you talk about yourself as though you were worthless.

In order to promote concreteness, you must listen carefully for gaps or abstractions in client communication. You must constantly ask yourself, "Do I really understand what this person means?" "What information is missing?" "Where is another piece of this puzzle?" When non-specific communication is recognized, skillful use of questions, reflections and summarization can assist clients to clarify and elaborate so that an accurate and complete picture is painted. Concreteness takes time in an interview and requires that you postpone problem solving or decision making until all the facts are in. Concrete assessment and case planning, however, will usually prevent the waste of time and effort which occurs when plans are made that are based on incomplete or distorted information.

REFERENCES

Cormier, W.H., & Cormier, L.S. (1985). *Interviewing strategies for helpers (2nd Ed.)*. Monterey, CA: Brooks/Cole Publishing Co.

Egan, G. (1975). *The skilled helper*. Monterey CA: Brooks/Cole Publishing Co.

Hepworth, D.H., & Larsen, J.A. (1982). *Direct social work practice*. Homewood, IL: The Dorsey Press.

E&T PROGRAM REQUIRED FORMS

Form 332: Food Stamp Non-compliance Good Cause Notice

This form is used when good cause must be determined due to an ABAWD's non-participation. This notice is mailed, given or faxed to ABAWD to respond to the failure to participate. The original is given to the AU to complete and a copy is placed in the case file. When the completed form is returned, it is placed in the case file.

Form 482: Work Experience Agreement

This form is used when an agreement has been reached with a potential sponsor to provide work experience placement for participants. A copy of this form will be given to participant when assigned to work experience site. Both the sponsor and the DFCS representative will sign the agreement.

Form 492: Employment Services Communication Form

This form is used by both the FICM and the E&T case manager to communicate information about participants. It may be initiated by either worker. The original is sent to the receiving party and a copy is kept by the initiator.

Form 493: Food Stamp Work Readiness Assessment

This form is completed by the case manager in the assessment interview to determine the most appropriate activity for ABAWD participants. The purpose of the Work Readiness Assessment is to evaluate the participant's potential for employment and to identify the education, training and supportive services needs of the participant in achieving the employment goal. The original Form 493 is filed in the E&T case record. No copies are required.

Form 495: Job Search Record

This record is kept by the ABAWD during Individual Job Search to document employer contacts. It must be completed and returned to CM by a specified deadline. It will substantiate participation and reimbursement requests.

Form 514: Food Stamp Personal Work Plan Update

This form is completed by the E&T case manager to update information on the Food Stamp Personal Work Plan of a participant (ABAWD). Any changes in activities, services, employment, or client circumstances must be documented on this form. The form is signed by both the case manager and the participant. A copy of the form is filed in the case file; the participant receives a copy.

Form 515: Food Stamp Personal Work Plan

Based on information gathered during the assessment, the case manager completes the Employment Plan. This plan states the participant's employment goal and outlines the steps necessary to achieve it. The Case Manager and the participant jointly develop the Personal Work Plan. Both the case manager and the participant sign the completed plan. The original remains in the case record. The participant receives a copy.

Form 516: Record of Attendance and Performance Report

This form is completed by the supervisor or other designee to verify the participant's attendance and their job performance. It is the participant's responsibility to return the form by the 5th of the month to the case manager.

Form 517: Record of School Attendance and Performance Report

This form serves to verify attendance and performance of mandatory work registrants (ABAWDS) who are participating in educational and training activities. The instructor completes the form and the participant returns the form to E&T CM by the 5th of the month.

Form 830: Food Stamp Employment and Training (E&T) Program Facts

This fact sheet is given by the FICM to FS applicants and recipients to inform them of the Employment and Training Services program requirements and the support services available.

Business Associate Agreement Form

This form must be reviewed and signed by all sponsors providing work experience placements for participants. By signing this form, sponsors are agreeing that they will adhere to the Health Information Portability and Accountability Act (HIPAA).

Form 5460: HIPAA Notice of Privacy Practices

This form must be signed by the ABAWD prior to placement with work experience sponsors.

HIPAA Training Log

This log must be signed by ABAWD prior to placement with work experience sponsors.

E&T PROGRAM FORMS

Form #	Name of Form	Rev. Date	Page #
332	Food Stamp Non-compliance Good Cause Notice	3/04	F-4
482	Work Experience Agreement	2/03	F-5
492*	Employment Services Communication Form	1/03	F-6
493	Food Stamp Work Readiess Assessment	2/03	F-8
495	Job Search Record	8/04	F-7
514*	Food Stamp Personal Work Plan Update	3/04	F-10
515*	Food Stamp Personal Work Plan	3/04	F-11
516	Record of Attendance and Performance Report	2/03	F-13
517	Record of School Attendance and Performance Report	7/03	F-14
830	Food Stamp Employment and Training (E&T) Program Facts	5/05	F-15
	Business Associate Agreement Form	2/03	F-16
5460	HIPAA Notice of Privacy Practices	6/05	F-18
	HIPAA Training Log		

*These forms should be used only when SUCCESS is unavailable.

Georgia Department of Human Resources
FOOD STAMP NONCOMPLIANCE GOOD CAUSE NOTICE

______________________________ County Department of Family and Children Services

Date__________________________

Name________________________________ Client ID # ___________________

Address_____________________________ Case #_______________________

____

You did not meet your Food Stamp Program work requirements for the month of ______________________
as described below: *(MO/YR)*

____
____
____

You must contact me no later than the close of business on ______________________ to explain the reason you failed to comply with your food stamp work requirements. We will determine if you had good cause for your noncompliance and discuss how you can continue your participation in the Food Stamp Employment and Training (E&T) Program.

This is the only notice you will receive regarding your reason for this noncompliance. Failure to respond by the above date will result in reduction or termination of your food stamp benefits.

You may call me at ______________ to discuss this by phone. You may visit me at the office or you may return this letter stating your reason below. However, your response must be received by the date indicated above.

____
E&T Program Case Manager Signature

My reason(s) for failing to meet my work requirements described above was:

____
____
____

____
Client Signature

Form 332 (03-04) White Copy – Client Canary Copy – Case Record

Georgia Department of Human Resources
WORK EXPERIENCE AGREEMENT

_________________________ County Department of Family and Children Services

Case Name ______________________________ Case Number ______________________________

Client Name ______________________________ Case Manager/Caseload ______________________________

Client ID Number ________________________ Case Manager Telephone (____)______________________

Sponsor Name ____

Address ____
Street Address City/State Zip Code

Contact Person/Title ______________________________________ Telephone # (____)______________________

Skills to be Learned ____

Placement Period (Start) ____/____/______ (End) ____/____/______ Hours per Week ____________
Mo Day Year Mo Day Year

The sponsor agrees to:

- place the participant in a position that makes it possible for the participant to gain job skills and experience
- give consideration to the participant if qualified for employment in an available paid position
- provide supervision and training for the participant
- complete the participant's monthly Record of Attendance and Performance Report
- furnish all needed supplies and equipment for the participant
- provide for the health and safety of the participant
- not use the participant to fill a vacancy created by a strike, lockout, or other bona fide labor dispute or action
- not displace a paid employee or fill a vacant paid position with a work experience participant
- not discriminate against the participant on the basis of race, color, religion, gender, age, national origin, or disability
- not involve the participant in partisan political activities
- notify the DFCS County Director if the participant is involved in an accident.

By signing this agreement, the sponsor understands that no reimbursement will be provided for any expenses incurred by the sponsor for providing training, supervision and work experience for the participant. This agreement becomes effective with the signatures of both parties. Either party may terminate the agreement at any time by notifying the other party in writing.

______________________________ ______________________________
Signature of Sponsor / Date Signature of Site Developer / Date

______________________________ ______________________________
Title of Sponsor Mailing Address

Placement Terminated ________________ / ______________________________
Date Signature/Title

Reason Terminated ____

Form 482 (Rev. 02/2003) White copy – Case Manager Canary Copy - Sponsor

Georgia Department of Human Resources

EMPLOYMENT SERVICES COMMUNICATION FORM

____________ County Department of Family and Children Services

Case Name ______________________ Case Number ______________________
Client Name ______________________ Case Manager/Caseload ______________
Client ID Number ______________________ Case Manager Telephone (   ) ____________
To ______________ Caseload ______________ Date ____________

CLIENT STATUS CHANGE

Voluntary participant _____ Date of change __/__/__ Effective date __/__/__
Mandatory participant _____ Date of change __/__/__ Effective date __/__/__
Employment terminated _____ Date of change __/__/__ Effective date __/__/__
Newly employed _____ Date of change __/__/__ Effective date __/__/__
Sanction imposed _____ Date of change __/__/__ Effective date __/__/__

EMPLOYMENT INFORMATION

Employer ______________________ Employer's phone number ______________
Employer's address ______________________________________
Client's job title/position ______________ Employment begin date ____/____/____
Scheduled hours per week ______ Rate of pay $ ____ Per hour Salary $ _____ per ______
Day of week paid __________
Client paid weekly _____ every two weeks _____ twice monthly_____ monthly_____ other ______
Client pays child care of $ _____ per week _____ Client receives child care assistance of $ _____ per week

REQUEST FOR EXEMPTION FROM WORK REQUIREMENTS

Reason ______________
Date requested ____/____/____

DISPOSITION OF EXEMPTION REQUEST

Approved __________
Denied/ reason ______________

FAILURE TO PARTICIPATE

For TANF use only

Client failed to conciliate: Impose 1st sanction ____ 2nd sanction _____ Documentation attached _____

For FS (E&T) use only

Good cause determination: Yes _____ No _____
Client did not keep appointment: Date ___/___/___
Client failed to report to employer / work experience site / training site: Yes _____ No _____
Client refused bonafide offer of suitable employment : Yes _____ No _____ Job description______________
Non–compliance months: ___/___, ___/___, ___/___
Apply 1st sanction ______, 2nd sanction ______, 3rd/subsequent sanction ______.

OTHER INFORMATION

Form 492 (Rev. 1-2003)

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT

______________________ County Department of Family and Children Services

Case Name ______________________ Case Number ______________________

Client Name ______________________ Case Manager/Caseload ______________________

Client ID Number ______________________ Case Manager Telephone ______________________

Date of Birth ____________ Employment goal ______________________

1. Are you working now? ☐ Yes ☐ No If yes, answer the following:
   Current employer ______________________

   Salary $ ________ per (Check one) ☐ hour ☐ week ☐ month Hours worked per week ________

2. If you are not employed, are you looking for work? ☐ Yes ☐ No
   What are you doing to look for work? ______________________

   List the jobs for which you have applied. ______________________

   If you are not looking for work, why not? ______________________

3. List your previous jobs, dates of employment and the reasons for leaving the jobs.

Employer	Job Title/Duties	Start Date/End Date		Reason Left

4. Are you attending school? ☐ Yes ☐ No If yes, what is the name of the school and when will you graduate?
   ______________________ If no, what is the name of the last school you attended
   or the school from which you graduated? ______________________
   If you graduated, what was the year of graduation? ________
   Have you had difficulty learning in school? ☐ Yes ☐ No
   Have you received special help in school? ☐ Yes ☐ No

Form 493 (Rev. 2-2003)

Georgia Department of Human Resources
FOOD STAMP WORK READINESS ASSESSMENT
(continued)

5. What is the highest grade you completed in school? ____________________
Do you have a diploma or GED? ☐ Yes ☐ No
List any training/education you received after graduating from high school. ____________________

6. Do you care for a disabled household member? ☐ Yes ☐ No If yes, for whom, and for what disability?
____
NAME / RELATIONSHIP / DISABILITY

7. Have you ever been arrested? ☐ Yes ☐ No If yes, when, where, and why? ____________________
What was the result? (Probation, jail, found not guilty, etc.) ____________________

8. What is your usual means of transportation to go shopping, pay bills, etc.?
____
Do you own a car? ☐ Yes ☐ No Do you have a driver's license? ☐ Yes ☐ No Have insurance? ☐ Yes ☐ No

9. Do you have children who will need day care? ☐ Yes ☐ No
If yes, what are their ages? ____________________

10. Is there any reason why you should not take part in work activities now? ☐ Yes ☐ No
If yes, why? ____________________

11. Are you in good health? ☐ Yes ☐ No If no, what problems do you have that may make it hard for you to work?
____
For how long will you have these problems? ____________________
Do you take medications for these problems? ☐ Yes ☐ No If yes, what are they? ____________________
____
How often do you see your doctor? __________ When did you last see your doctor? __________

12. Are you pregnant? ☐ Yes ☐ No If yes, when is the baby due? ____________________

13. Do you drink alcohol or use drugs? ☐ Yes ☐ No If yes, answer the following:
Has drinking or drug use ever caused problems for you on the job or at home? ☐ Yes ☐ No
Have you ever been in treatment for drug or alcohol abuse? ☐ Yes ☐ No

Form 493 (Rev. 2-2003)

Georgia Department of Human Resources
JOB SEARCH RECORD

_________________________ County Department of Family and Children Services

Case Name ____________________________ Case Number ____________________________
Client Name ____________________________ Case Manager/Caseload ____________________
Client ID Number ________________________ Case Manager Telephone _(___)______________

1. You must apply for _______ jobs during the next _______ weeks.
2. You must apply for any job your case manager tells you about.
3. You must keep all scheduled appointments with your case manager.
4. □ Your next scheduled appointment is ____________ at ____________. Please bring this form with you.
Or
□ You must complete this form and return it to your case manager by ________________.

Employer Contact	Employer Contact
Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____	Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____
Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____	Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____
Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____	Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____
Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____	Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____
Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____	Company ____________ Address ____________ Date visited ________ Job type ________ Name/telephone# of contact person ________ ____________ Result: Application filed ____ Hired ____ Not hiring ____

I understand that my failure to complete the required employer contacts may result in denial of my application or termination or sanction of my active case.

________________ ________________________________
Date Participant's Signature

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Food Stamp Employment and Training Program
PERSONAL WORK PLAN UPDATE

(1) Update # _____

(2) Name ______________________________ Client ID ______________________

(3) ___ REVISION

(4) ___ Change in Employment Goal New Goal ____________________

(5) ___ Change Within Step (6) __ Add Step (7) ___ Delete Step

(8) ___ Change in Participation Hours based on Allotment

____

(9) Step ____ ____

Hours per Week ____

Services Needs ____

Participant Will ____

Agency Will ____

Projected Begin Date _________________ Projected End Date ___________

(10) ___ PROGRESS REVIEW
(11) Comments

______________________________ ____________________________________
Case Manager Signature and Date Recipient Signature and Date
Form 514 (Rev. 04/04)

Original – Recipient Copy – Case File

Georgia Department of Human Resources

FOOD STAMP PERSONAL WORK PLAN

Name ____________________ Client ID# ________________

- **I am an E&T participant.** I understand that I must take part in work activities up to 30 hours per week, unless the agency determines that such an amount is not possible.
- I understand that DFCS will arrange or provide support services.
- I will provide DFCS with the name of my employer, my job title, work hours and wages when I find a job. If DFCS contacts me for follow-up information, I will reply within 10 calendar days.
- **I understand that if I do not meet the requirements in my Personal Work Plan, the food stamps that my family receives may be reduced or terminated.**
- I understand that before applying a sanction, DFCS will give me a chance to explain why I failed to follow through with my Personal Work Plan.

Employment Goal ________________________________ **Planned Date to Achieve** ________

Step ______ ____

Hours per week: ____

Service needs: ____

Participant will: ____

____

Agency will: ____

____

____

Projected begin date: ____________ Projected end date: ____________

Form 515 (Rev. 03-04) White Copy – Participant Canary Copy – Case Record Page 1 of ____

FOOD STAMP PERSONAL WORK PLAN (continued)

Step _______ ____

Hours per week: ____

Service needs: ____

Participant will: ____

____

Agency will: ____

____

Projected begin date: ______________ Projected end date: ______________

Step _______ ____

Hours per week: ____

Service needs: ____

Participant will: ____

____

Agency will: ____

____

Projected begin date: ______________ Projected end date: ______________

I have helped to develop this work plan, my case manager and I must discuss any changes to this plan before they are made. If I do not meet the requirements in my Personal Work Plan, the food stamps that my family receives may be reduced or terminated.

______________________________ ______________________
Participant's Signature Date

______________________________ ______________________
Case Manager's Signature Date

Form 515 (Rev. 03-04) White Copy – Participant Canary Copy – Case Record Page 2 of ___

Georgia Department of Human Resources
RECORD OF ATTENDANCE AND PERFORMANCE REPORT

_________________________ County Department of Family and Children Services

Case Name ____________________________ Caseload # _________ Case Number ________________

Client Name ___________________________ Client ID# ___________________________

Report Month/Year ______________________________
Scheduled activity: Subsidized Employment _____ Work Experience _____ Community Service _____ OJT _____
Vocational Training _____ Other (specify) _______________________________
Activity location/site ____ Duties ____________________________________

Scheduled hours per week _________________________
Maximum TANF hours if subject to FLSA ________ Maximum FS hours ________ Maximum total hours ________
ATTENDANCE: Enter Hours Present OR E - Excused U - Unexcused S - Weekend N - Not Scheduled

	M	TU	W	TH	F	SA	SU	Total
1st Mon ______								
2nd Mon ______								
3rd Mon ______								

	M	T	W	Th	F	SA	SU	Total
4th Mon ______								
5th Mon ______								

Note: When a month has a 5th Monday, hours for the entire week must be reported for the calendar month in which the 5th Monday falls.

Performance codes: E - Excellent G - Good S - Satisfactory U - Unsatisfactory

Consider the following attributes and assign the most appropriate of the performance codes listed above:		Rating
Attitude	Demonstrates a positive attitude toward work, coworkers; accepts supervision.	
Judgment	Exercises good judgment in the supervisor's absence.	
Accepts supervision	Accepts criticism without anger and asks appropriate questions.	
Performance of duties	Completes tasks accurately, thoroughly and timely.	
Cooperation	Cooperates with coworkers and supervisor; follows workplace rules.	
Courtesy	Respects coworkers, interacts with courtesy; conduct is appropriate to work setting.	
Personal grooming	Dresses appropriately for the work setting; is clean and neat.	
Works well with others	Collaborates appropriately with coworkers; is willing to follow or lead as needed.	
Punctuality	Is on time to begin work, to return from lunch or breaks, and leaves on time.	
Dependability	Attends regularly; provides as much notice as possible when absent or late.	
Willingness to work	Is flexible; is willing to work as needed; requests new assignments when tasks are done.	

Overall performance satisfactory or better? _____ Yes _____ No
Comments:
____
____
____

Failed to report ________ Placement Terminated ________________________________
.e/Reason____

____
Instructor/supervisor signature Date

This report is due by the 5th calendar day in the month following the report month. If the report month has a 5th Monday, the report is due by the 10th calendar da

Form 516 (Revised 07/2003)

Georgia Department of Human Resources
RECORD OF SCHOOL ATTENDANCE AND PERFORMANCE REPORT

________________________ County Department of Family and Children Services

Case Name ______________________________ Case Number ________________________

Client Name ______________________________ Case Manager/Caseload ________________________

Client ID Number ______________________________ Case Manager Telephone _(___)________________________

Report Month/Year ______________________________

Scheduled activity: High School _____ GED _____ Education related to employment _____ College _____

Other _____ Name/location of school

____

Course of study

____

ATTENDANCE: **Enter Hours Present** OR **E** - Excused **U** - Unexcused **S** - Weekend **H** – Holiday **N** - Not Scheduled

	M	TU	W	TH	F	SA	SU	Total
1st Mon ______								
2nd Mon ______								
3rd Mon ______								

	M	T	W	Th	F	SA	SU	Total
4th Mon ______								
5th Mon ______								

Note: When a month has a 5th Monday, hours for the entire week must be reported for the calendar month in which the 5th Monday falls.

Overall performance satisfactory or better? _____ Yes _____ No

Comments:

____

____

____

Class termination _____ Yes _____ No.

Reason for class termination

____

____

____
Instructor 's Signature Date

This report is due by the 5th calendar day in the month following the report month. If the report month has a 5th Monday, the report is due by the 10th calendar day in the month following the report month.

Form 517 (Revised7/2003)

Food Stamp Employment and Training (E&T) Program Facts

What is E&T?

E&T is the Food Stamp Employment and Training Program. The program helps Food Stamp or recipients get the skills, training or experience needed to get jobs.

E&T Activities

Georgia's E&T Program offers adult education, vocational training, job skills training for specific jobs and work experience (a short-term unpaid work assignment).

Who Must Participate?

Food stamp recipients, who do not meet a work registration exemption, and are ages 16-59, must register for the E&T Program. Work registrants between the ages of 18-49, who are not pregnant and who do not have children under age 18 living with them, are considered able-bodied adults without dependents (ABAWDs). ABAWDs must participate in E&T activities. Federal law states that ABAWDs are eligible for food stamps for only three months out of every 36 months, unless they are working, in training at least 20 hours per week. In Georgia, ABAWDs who are not meeting the requirement to work or to be in training are offered opportunities to participate in work experience.

Complying with E&T Requirements

Work registrants must register for work, cannot voluntarily quit a job or reduce work hours and must provide information to determine their employment status. In addition to these requirements, ABAWDs must attend assessment and orientation sessions, complete work experience activities, training or educational programs. ABAWDs who meet their work requirements by working 20 to 29 hours per week must report to their caseworker when their number of work hours go below 20 hours per week.

Support Services

ABAWDs participating in E&T activities receive help with transportation and incidentals. Funds are available for incidentals such as tools, supplies and fees, testing fees, tuition and other items needed to accept employment.

Sanctions

Work registrants who fail, without good cause, or refuse to cooperate with E&T Program requirements are sanctioned. Sanctioned means that the work registrant who failed or refused to cooperate cannot receive benefits. Even though the sanctioned work registrant does not receive benefits, his/her resources and income may be counted to determine eligibility and benefit amount for family members who may continue to receive benefits.

The minimum sanction periods are as follows:

- 1st failure or refusal to comply — 1 month or until compliance, whichever is longer
- 2nd failure or refusal to comply — 3 months or until compliance, whichever is longer
- 3rd & subsequent failures or refusals to comply — 6 months or until compliance, whichever is longer

If a sanction is applied, the sanctioned work registrant is not included in the food stamp benefits for the minimum period or until compliance, whichever is longer. After the minimum sanction period the sanctioned individual may contact the worker to make arrangements to comply with the requirements. A sanction remains in place until compliance, except for voluntarily quitting a job or reducing work hours sanctions. Sanctions for voluntary quit and reduction of your hours are imposed only for the appropriate minimum periods. If it is determined that there was good cause for failure to comply, a sanction is not applied.

E&TWorks!!!

The E&T Program has helped many food stamp recipients get jobs, and reduce or eliminate their dependency on food stamps. They are employed in a variety of fields from health care and manufacturing, to teaching and welding. They are proving daily that E&T works successfully in helping food stamp recipients get the skills, training and work experience they need to build productive lives and end poverty.

For More Information, Contact Your:
County Department of Family and Children Services

Form 830 (Rev.5/05)

BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement is made and entered into by and between the Georgia Department of Human Resources ("DHR"), acting through the County Department of Family and Children Services, and the Business Associate named below. The parties acknowledge that DHR is "Covered Entity" under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (HIPAA) and the Standards for Privacy of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 ("Privacy Rule"). The Privacy Rule requires DHR to obtain satisfactory assurance that Business Associate will appropriately safeguard the privacy and provide for the security of Protected Health Information ("PHI") within Business Associate's possession, custody or control. Business Associate is a Business Associate of DHR as that term is defined under HIPAA and the Privacy Rule. Accordingly, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, in order to establish the permitted and required uses and disclosures of PHI, the parties agree as follows:

Business Associate will not use or disclose PHI except as permitted or required by this agreement or by law, and when using or disclosing PHI, will make reasonable efforts to limit PHI to the minimum necessary to accomplish the intended purpose of such use or disclosure. Business Associate will establish and use appropriate safeguards to prevent unauthorized use or disclosure of PHI. Business Associate will promptly report any unauthorized use or disclosure promptly to DHR, and will ensure that any individual or organization to whom it provides PHI agrees to the same conditions and restrictions with respect to PHI that are applicable to the Business Associate. Business Associate will allow individuals access to their own PHI, an opportunity to request amendment of such PHI, and all information required to provide an accounting of disclosures of PHI as provided by the Privacy Rule. Business Associate will make its internal practices, books and records relating to use or disclosure of PHI to both DHR and the Secretary of Health and Human Services for purposes of determining DHR's compliance with the Privacy Rule. Upon termination of this agreement, Business Associate will return all PHI to DHR or destroy same, retaining no copies of such PHI, and will assure that its agents and subBusiness Associates treat PHI in their possession or control in the same manner. This agreement may be terminated upon notice by DHR if the Business Associate violates any material term hereof.

IN WITNESS WHEREOF, DHR and Business Associate have executed this Business Associate Agreement in duplicate on the _____ day of ___________________, 200___.

GEORGIA DEPARTMENT OF HUMAN RESOURCES/DIVISION OF FAMILY AND CHILDREN SERVICES

By: ________________________________
Authorized Signature

BUSINESS ASSOCIATE

____
Typed or Printed Name of Business Associate

By: ________________________________
Authorized Signature

Department of Human Resources-Rev. 02/03

IN WITNESS WHEREOF, DHR and Business Associate, through their authorized officers and agents, have caused this Amendment to be executed on their behalf as of the date indicated.

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Designee, County Department of Family and Children Services

By:____
Authorized Signature

BUSINESS ASSOCIATE

BY: ____
Authorized Signature

[If Business Associate is a Corporation, use the signature block below.]

BUSINESS ASSOCIATE NAME

BY: ____
SIGNATURE

____

____
TITLE

AFFIX CORPORATE SEAL HERE
(Corporations without a seal, attach a Certificate of Corporate Resolution)

ATTEST: ____
SIGNATURE

____
TITLE

Notice of Privacy Practices
Georgia Department of Human Resources

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED BY THE DEPARTMENT AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY. This notice is effective April 14, 2003. It is provided to you pursuant to provisions of the Health Insurance Portability and Accountability Act of 1996 and related federal regulations. If you have questions about this Notice please contact the Legal Services Office at the address below.

The Department of Human Resources is an agency of the State of Georgia responsible for numerous programs which deal with medical and other confidential information. Both federal and state laws establish strict requirements for most programs regarding the disclosure of confidential information, and the Department must comply with those laws. For situations where more stringent disclosure requirements do not apply, this Notice of Privacy Practices describes how the Department may use and disclose your protected health information for treatment, payment, health care operations and for certain other purposes. **This notice relates only to health information.** It describes your rights to access and control your protected health information, and provides information about your right to make a complaint if you believe the Department has improperly used or disclosed your "protected health information." Protected health information is information that may personally identify you and relates to your past, present or future physical or mental health or condition and related health care services. The Department is required to abide by the terms of this Notice of Privacy Practices, and may change the terms of this notice, at any time. A new notice will be effective for all protected health information that the Department maintains at the time of issuance. Upon request, the Department will provide you with a revised Notice of Privacy Practices by posting copies at its facilities, publication on the Department's website, in response to a telephone or facsimile request to the Privacy Coordinator, or in person at any facility where you receive services from the Department.

1. Uses and Disclosures of Protected Health Information

Your protected health information may be used and disclosed by the Department, its administrative and clinical staff and others involved in your care and treatment for the purpose of providing health care services to you, and to assist in obtaining payment of your health care bills.

Treatment: Your protected health information may be used to provide, coordinate, or manage your health care and any related services, including coordination of your health care with a third party that has your permission to have access to your protected health information, such as, for example, a health care professional who may be treating you, or to another health care provider such as a specialist or laboratory.

Payment: Your protected health information may be used to obtain payment for your health care services. For example, this may include activities that a health insurance plan requires before it approves or pays for health care services such as; making a determination of eligibility or coverage, reviewing services provided to you for medical necessity, and undertaking utilization review activities.

Health Care Operations: The Department may use or disclose your protected health information to support the business activities of the Department, including, for example, but not limited to, quality assessment activities, employee review activities, training, licensing, and other business activities. The Department may use a sign-in sheet at the registration desk at any facility where services are provided. You may be asked to provide your name and other necessary information, and you may be called by name in the waiting room when a staff member is ready to see you, and your protected health information may be used to contact you about appointments or for other operational reasons. Your protected health information may be shared with third party "business associates" who perform various activities that assist us in the provision of your services.

Other uses and disclosures of your protected health information will be made only with your written authorization, which you may revoke in writing at any time, except as permitted or required by law as described below.

Other Permitted or Required Uses and Disclosures with Your Authorization or Opportunity to Object

The Department may use and disclose your protected health information in the following instances. You have the opportunity to agree or object to the use or disclosure of all or part of your protected health information

Unless you object, the Department may disclose protected health information for a facility directory or to a family member, relative, or any other person you identify, information related to that person's involvement in your health care and may use or disclose protected health information to notify or assist in notifying a family member, personal representative or other person responsible for your care of your location, general condition or death. The Department may use or disclose your protected health information to an authorized public or private entity to assist in disaster relief efforts and to coordinate uses and disclosures to family or other individuals involved in your health care. Objections may be made orally or in writing.

Permitted or Required Uses and Disclosures without Your Authorization or Opportunity to Object

The Department may use or disclose your protected health information without your authorization when required to do so by law; for public health purposes; to a person who may be at risk of contracting a communicable disease; to a health oversight agency; to an authority authorized to receive reports of abuse or neglect; in certain legal proceedings; and for certain law enforcement purposes. Protected health information may also be disclosed

Georgia DHR Include Privacy Contact information for Division, Office or Facility in Item 3. Rev 12/04/03 without your authorization to a coroner, medical examiner or funeral director; for certain approved research purposes; to prevent or lessen a threat to health or safety; and to law enforcement authorities for identification or apprehension of an individual.

Required Uses and Disclosures: Under the law, the Department must make disclosures to you and when required by the Secretary of the Department of Health and Human Services to investigate or determine the Department's compliance with the requirements of the Privacy Rule at 45 CFR Sections 164.500 et. seq.

2. Your Rights under the federal Privacy Rule

The following is a statement of your rights with respect to your protected health information and a brief description of how you may exercise these rights.

You have the right to inspect and copy your protected health information. Upon written request, you may inspect and obtain a copy of protected health information about you for as long as the Department maintains the protected health information. This information includes medical and billing records and other records the Department uses for making medical and other decisions about you. A reasonable, cost-based fee for copying, postage and labor expense may apply. Under federal law you may not inspect or copy information compiled in anticipation of, or for use in, a civil, criminal, or administrative proceeding, or protected health information that is subject to a federal or state law prohibiting access to such information.

You have the right to request restriction of your protected health information. You may ask in writing that the Department not use or disclose any part of your protected health information for the purposes of treatment, payment or healthcare operations, and not to disclose protected health information to family members or friends who may be involved in your care. Such a request must state the specific restriction requested and to whom you want the restriction to apply. The Department is not required to agree to a restriction you request, and if the Department believes it is in your best interest to permit use and disclosure of your protected health information, your protected health information will not be restricted, except as required by law. If the Department does agree to the requested restriction, the Department may not use or disclose your protected health information in violation of that restriction unless it is needed to provide emergency treatment.

You have the right to request to receive confidential communications from us by alternative means or at an alternative location. Upon written request, the Department will accommodate reasonable requests for alternative means for the communication of confidential information, but may condition this accommodation upon your provision of an alternative address or other method of contact. The Department will not request an explanation from you as to the basis for the request.

You may have the right to request amendment of your protected health information. If the Department created your protected health information, you may request in writing an amendment of that information for as long as it is maintained by the Department. The Department may deny your request for an amendment, and if it does so will provide information as to any further rights you may have with respect to such denial.

You have the right to receive an accounting of certain disclosures the Department has made of your protected health information. This right applies only to disclosures for purposes other than treatment, payment or healthcare operations, excluding any disclosures the Department made to you, to family members or friends involved in your care, or for national security, intelligence or notification purposes. Upon written request, you have the right to receive legally specified information regarding disclosures occurring after April 14, 2003, subject to certain exceptions, restrictions and limitations.

You have the right to obtain a paper copy of this notice from the Department, upon request.

All written requests regarding your rights as set forth above should be sent to the Privacy Coordinator for the DHR Division, Office or facility which maintains your PHI.

3. Complaints related to use or disclosure of your protected health information

You may complain to the Department and to the Secretary of Health and Human Services if you believe your health information privacy rights have been violated. You may file a complaint in writing with the DHR Division, Office or Facility which maintains your PHI at telephone , facsimile , or by mail to **, Georgia** . You must state the basis for your complaint. The Department will not retaliate against you for filing a complaint. You may also contact the **Privacy Coordinator** at telephone (404) 657 - 3735 , facsimile (404) 657 -3325 , or by mail to **Doretha Watkins, DFCS HIPAA Privacy Coordinator, 2 Peachtree Street, N.W. Suite 19-248, Atlanta, Georgia 30303-3142** for further information about the complaint process or this notice. Please sign a copy of this Notice of Privacy Practices for the Department's records.

I have received a copy of this Notice on the date indicated below.

Signature		Mailing Address		
(Please Print Name)	Date	City	State	Zip

Georgia DHR Include Privacy Contact information for Division, Office or Facility in Item 3. Rev 12/04/03

Table of Contents

I. Introduction

Course Objectives:

- Inquire on the eligibility data screens
- Identify the screen flow of SUCCESS Employment Services Menu (ESME)
- Register new E&T referrals
- Schedule and track ABAWD appointments, assessments, and reviews
- Generate appointment letters
- Enter assessment data
- Refer, pend, and enroll in activities
- Document remarks on appropriate screens
- Enter and resolve service needs
- Authorize support services
- Look up vendors and authorize vendor payments
- Enter compliance and non-compliance information
- Change activities
- Close E&T cases
- View and generate Alerts
- Analyze and obtain information from E&T reports

II. Introduction to SUCCESS

- SUCCESS template & PF keys
- RACF ID Security Notice Alerts
- Inquiring on the Eligibility Data Screens

SUCCESS Template for Standard PC Keyboard

Cut on dotted lines. Fold each piece in half lengthwise. Align over keys and tape to keyboard

	1 Help	2 Policy	3 Cancel or Exit	4 Bypass Errors
shift	13	14	15	16

5 Save to SPA	6 List Screens	7 Page Back	8 Test Financial Eligibility
17	18	19	20

9 View Remarks	10 List AUs	11 List Clients	12 Return to Sub-menu
21	22	23	24

Date: Thursday, 2 May 2002 11:25am ET
To: FIELDDIRECTORS, DFCS.COUNTY.DIRS, SUCCESS.SUPVS
From: DFCS.DIVISION@GOMAIL
Subject: SUCCESS security

From: Juanita Blount-Clark
Division Director

Recent events in one of our urban counties have illustrated the need for Division staff at all levels to be cognizant of correct security procedures for SUCCESS user IDs and RACFs. Staff assigned a SUCCESS user ID and RACF which permits authorization of benefits on SUCCESS are legally responsible for all benefits authorized using the assigned ID and RACF. Forms 283 AND 291, completed by all staff to acquire SUCCESS IDs and RACFs, note that the individual is "personally responsible for all actions taken by your UserID/password." **IDs and RACFs are never to be shared or revealed to anyone other than the person to whom they are assigned. It is also critical that any person with SUCCESS access never leave her/his workstation while signed on to SUCCESS.** Any entry made while signed on is attributed to the person to whom the ID/RACF is assigned, regardless of who may have actually completed the data entry. These security measures are necessary to prevent erroneous benefits from being authorized, case actions being processed in error or invalid cases being established.

It is incumbent upon all management staff at both the Field Area and County levels to insure that correct SUCCESS security procedures are observed in county departments. Every county must insure that terminals are never left unattended while signed on to SUCCESS, to prevent unauthorized issuance of benefits. Counties must also insure that when staff terminate or transfer to other areas that correct security procedures are observed. Field Coordinators will be adding discussions of increased SUCCESS security procedures to their meetings with county directors.

It is my expectation that all counties will review SUCCESS security procedures in every office on a regular basis, and will assure that procedures are in place to prevent unauthorized issuance of benefits on SUCCESS.

-------------(end of letter)---

- Establishing a Case on SUCCESS

Joyce Futz: ABAWD referred to the E&T program

AMEN

- Enter “J” and press ENTER

```
            ASSISTANCE UNIT/CLIENT SUBMENU - AMEN              AMEN

                     Selection J
          AU ID                     Client ID
        Screen ID                    As Of Date
Benefit Month (MM YY)                      Notice Type



A. Name/Part Inquiry     J. Registration         R. Interim/Hist Change
B. AU/Client Inquiry     K. Add A Person         S. QRF Change
D. Address Inquiry       L. Add A Program        Y. Spndwn Med Expnse Update
E. Trial Budget          M. Reinstatement        Z. Spndwn Med Expnse Inquiry
F. Trial Eligibility     N. Initiate Review      1. Spndwn Authorization
G. Batch Print Request   O. Interview            5. Prior Medicaid Copy
H. Notice History        P. Process Appl Months  6. Finalize Prior Medicaid
I. SPA Inquiry           Q. Finalize Application



Message
```

NAME for Joyce Futz

- Does not live in public housing
- Does not wish to register to vote
- Lives at 174 Smith St, Athens, GA., 30606, phone number: 706-555-5555
- Mail will go to the same address.

```
REGISTER            APPLICANT NAME AND ADDRESS - NAME            NAME

CO 049 LO 049 Load ID XXXX      Client ID         Prev CO/LO     /
   HOH F Name JOYCE       MI     L Name FUTZ           Suf

 Primary  Visually   Hearing    Public    Serial   Census   Voter
 Language  Impaired   Impaired   Housing   Number   Tract    Reg
   E        N          N          Z                  N

Residential Address
Address Line 1                          Line 2
Street  Number  Dir        Name          Type   City Dir     Apt
        174        SMITH                ST
City ATHENS                ST GA   Zip 30606       Phone 706 555 5555

Mailing Address
Address Line 1                                Line 2
Street  Number  Dir        Name          Type   City Dir     Apt
                SAME
City                      ST      Zip
```

KIND for Joyce Futz

- Joyce wants to apply for Food Stamp Assistance

```
REGISTER          KINDS OF ASSISTANCE DESIRED - KIND          KIND



                 Select kinds of assistance desired

                   Financial Assistance
                 Y Food Stamp Assistance
                   AFDC Related Medicaid
                   Medicaid for the Aged, Blind, Disabled (ABD)
                   Foster Care or Adoption Assistance Medicaid
                   Other









 Message

                           18-tbud
```

CIRC for Joyce Futz

- For Earnings, enter EI and 400.
- For Unearned, enter SA and 0 (zero).
- For Liquid Resources, enter CH and 0.
- For Current Rent/Mortgage/Utilities (FS), enter 250.
- Press enter to move to next screen

```
 REGISTER          HOUSEHOLD CIRCUMSTANCES - CIRC          CIRC

 Monthly Income (FS)
  Earnings Types/Amts EI  400
  Unearned Types/Amts SA  0


 Liquid Resources (FS)
  Resource Types/Amts CH  0


Current Rent/Mortgage/Utilities (FS)   250

 Select:
  Anyone > 18 who formerly recvd SSI   Any Unpaid Medical Bills Prior Month
  Medicare Entitlement                 Community-Based Waiver
  Nursing Home                         Hospital
                           Resident Battered Woman Shelter
  Migrant/Seasonal Farmworker          Refugee
  MA needed for adult with dep child   Authorized Rep

 Message 0013
 0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
                           18-tbud
```

MEMB for Joyce Futz

- Was born September 3, 1981
- Is a white female
- Has a Social Security number of 900 10 XXXX

```
REGISTER              HOUSEHOLD MEMBER - MEMB            MEMB 01
                                      01
Client ID          Del

F Name JOYCE     MI    L Name FUTZ          Suf
Relationship SE  DOB (MM DD YYYY) 09 03 19   V OT     Sex F
SSA/SSN Appl For    SSN1 900 10 XXXX   V OT       Race: B W A N P  Ethnic:  N
Preg                       Due Date                    N Y N N N

Alternate Names     F Name   MI      L Name      Suf



                                      More Names
                         Additional SSNs
     SSN    V        SSN    V        SSN    V        SSN    V

                                      More SSNs

                                      More Members
Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
                         18-tbud                 24-del
```

CRS Name/SSN Clearance for Joyce Futz

- Because SUCCESS finds a match for Joyce Futz, enter a Y at SEL (selection) and press PF11.

```
HRRS0070            CLIENT REGISTRATION SYSTEM      CICSY1
                  NAME/SSN CLEARANCE

CLIENT ID L NAME            F NAME        MI    DOB     SEX     SSN
000000001 FOSTER            ISAAC              03 10 1995  M     500 01 XXXX
 RACE (Y/N)?: BLACK OR AFRICAN AMERICAN Y      WHITE  N      ASIAN  N
 NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER N   AMERICAN INDIAN/ALASKAN NATIVE  N
 ETHNICITY (L/N)?: HISPANIC/LATINO N
       0000 POSSIBLE MATCHES             TYPE OF MATCH  NO POSSIBLE MATCHES
SEL CL ID   E CTY L NAME             F NAME       MI   DOB SEX RCE SSN   ALT
 Y   XXX000184  044 FUTZ             JOYCE        09031981 F   W 900011777









ASSIGN IV-A CLIENT ID
ASSIGN NEW CLIENT ID                       NEXT MATCH TYPE

F1-HELP F2-RFRSH F3-EXIT F7-UP F8-DN F9-CLT DET F10-PREV F11-CLT PART F12-MATCH
```

- This will bring you to the Client Participation History. Write down Joyce's Client ID (upper right hand side) & PF3 to the Main Menu.

- How to Inquire on the Eligibility Data Screens

- Select "A"
- Enter printer ID
- Press ENTER

```
            **************************************
          **   W E L C O M E  T O  T H E   **
         ***      G E O R G I A      ***
        ***        T R A I N I N G       ***
         ***      S U C C E S S     ***
          **      S Y S T E M     **
            **************************************

                 Selection  A
                 Printer ID  ????
                 System Date  1Ø 05 06
                   Load ID  2Ø5M

  A. Assistance Unit/Client   H. Security            O. File Inquiry
  B. Supporting Units         I. Parameters          P. Vendor Files
  C. PEACH                    J. Mass Mod            Q. Text
  D. Alerts                   K. Financial Mgmt Iss  R. Benefit Error
  E. Scheduling               L. Lifetime Limit      S. AU/Client Misc
  F. Letters                  M. Benefit History
  G. Electronic Mail (EMC2)   N. Quality Control     U. Register IV-D Case

 Message 0013
 0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

AMEN

- Select B on AMEN
- Enter Joyce Futz's Client ID number (XXXX00184)
- Press ENTER

```
        ASSISTANCE UNIT/CLIENT SUBMENU - AMEN             AMEN

               Selection B
     AU ID                  Client ID XXX000184
    Screen ID                As Of Date
 Benefit Month (MM YY)          Notice Type



 A. Name/Part Inquiry   J. Registration        R. Interim/Hist Change
 B. AU/Client Inquiry   K. Add A Person        S. QRF Change
 D. Address Inquiry     L. Add A Program       Y. Spndwn Med Expnse Update
 E. Trial Budget        M. Reinstatement       Z. Spndwn Med Expnse Inquiry
 F. Trial Eligibility   N. Initiate Review     1. Spndwn Authorization
 G. Batch Print Request O. Interview           5. Prior Medicaid Copy
 H. Notice History      P. Process Appl Months 6. Finalize Prior Medicaid
 I. SPA Inquiry         Q. Finalize Application



 Message 0013
 0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

ADDR

- Press ENTER

DEM1

- Press ENTER

DEM2

- Press ENTER

DEM3

- Press ENTER

DEM4

- Press ENTER

DEAL

- Press ENTER

WORK

- Press HOME
- Fast path to ERN1 for Joyce

```
INQUIRY          WORK REGISTRATION/PARTICIPATION - WORK          ERN1 01
Month 11 06                BL24   10 05 06

Client Name JOYCE          FUTZ                 Client ID XXX000184


     ----------  Employment Services  --------------  - Applicant Job Search -
     Exempt          Partic   Num  Comp Supp DA/PE    Non-Partic  AJS Start
     Reason Stat  V     Date   Offns Req  Work          Reason      Date
 CA
 FS          AB   CS  10 05 06                Y            OT


                         -- FS ABAWD Non-Compliance --
 High School                    Non-compliance  Regain Dates   2nd 3 Months
  Grad/GED                        Bnft mth/yr   Start   End   Bnft   Mth/Yr
    Y                          1
                              2
                              3


 Message

      16-esme            17-mo< 18-mo>                  23-alau
```

ERN1

- Fast Path to ERN2

```
CHANGE                EARNED INCOME 1 - ERN1            ERN2 Ø1
Month 11 06                                  01

Client Name JOYCE      FUTZ                  Client ID XXX000184

Do you have any of the following: wages, self employment, commissions/tips,
 roomer/boarder income, rent, mortgage payment, sick pay, work program, JTPA,
 Job Corps, training allowance, use/sale of personal property, or other income?

 Employer Name                                 AJS Employ
Line 1                    Line 2
City            ST    Zip          Phone
      Begin   First    End    Late  SON   $30+1/3   $30+1/3    $30
 Type   Date    Pay Date   Date   Rpt   Ovrd   Ind Cntr   End Date  End Date
                          AFDC
                             ARM

                      Num of  ABD Stdnt  AFDC Student ------JTPA----
                      Bordrs    Excl      Ind Cnt    Ind Cnt   Excl

                                          More Jobs
 Message

            15-lett
```

ERN2

- Press Home, enter screen ID and pointer, press ENTER

UINC

- Fast path to Assistance Unit Status screen

STAT

- Press ENTER

MISC A

- Press ENTER

ELIG

- Press ENTER

FSFI

- Press ENTER

AMEN

- PF3 to YMEN

III. Assembling E&T Screen Flow

Assessment Function – A & H

- ESPR (Employment Services Profile screen) – is the beginning of the Assessment function in SUCCESS. When working with a new referral, select "A" on ESME and SUCCESS will take you through the necessary screens to complete the process. ESPR displays participant demographics, priority group, orientation, assessment, and review information. It is also used to schedule appointments.
- ESAS (Employment Services Activity Summary) – displays all activity the client has been involved in, active, pending or closed.
- ESAC (Employment Services Activity screen) – access by selecting an activity on ESAS or when creating the activity on ESWP.
- ESHR (Employment Services Activity Hours) – displays the client's actual hours of participation with the activity by week for the previous six months. Accessed via PF14 from ESAC
- ESAD (Employment Services Assessment Data) – displays after ESAS and allows entry of basic assessment data.
- ESWH (Employment Services Work History) – used to enter and display employment history, including job information, dates worked, salary/wage info, etc. Jobs are displayed from newest to oldest.
- ESSN (Employment Services Service Needs) – used to enter or inquire into the status and disposition of service needs of the client and whether they are resolved or unresolved.

Provider Referral Function – B & I

- ESRE (Employment Services Provider Referral) - for referring a participant to any activity provided by a vendor and for reporting ABAWD participation.
- VNLS - (Vendor Name List) - listing of all the vendors currently in the system state wide.

Participant Data Function – C & J

- ESPR (Employment Services Profile screen) – this selection (C) begins the Participant Data Function for updating existing client data. When you need to update a participant's information, select "C" on

ESME and SUCCESS will page through the screens necessary for completing an update.

- ESWP (Employment Services Work Plan) – contains the work plan devised with the participant, including an employment goal, planned date to achieve the goal and the steps toward obtaining the goal – each step appears on a separate page of the screen. PF23 is used to print the Work Plan. Entering “Y” in the Create Activity field when no activity has been created for the step brings up ESAC.
- ESAS (Employment Services Activity Summary) – as above, it allows you to update activity information as needed. You can access ESAC if needed from here as well.
- ESSN (Employment Services Service Needs) – as above, this screen allows you to update the client’s support services information as needed.
- ESNO (Employment Services Non-cooperation) – can also appear after selected ESAC; it is used to enter non-cooperation, conciliation, sanction and compliance/regain information.

Day Care Function

- ESDC (Employment Services Day Care) – displays all the client’s minor children who may require day care (information is gathered from the eligibility screens).
- ESDS (Employment Services Day Care Services) – input day care service the child selected on ESDC.
- ESDP (Employment Services Day Care Providers) – used to input/update list of Day Care providers used by a particular client; it lists vendor ID, provider name, phone number, and vendor type.

Support Services Function

- ESSS (Employment Services Support Services) - used to authorize support service payments for a client. Information entered here is generated in a daily report County book keepers used to hand-type the support service checks.

- ESVD (Employment Services Vendor Payment) – used to tie support services payments on ESSS to an authorized vendor.

TANF Referral Function

- ESRT (Employment Services TANF Referrals) – listing of new ES referrals in need of assignment to caseloads.

Food Stamp Referral Function

- ESRF (Employment Services FS Referrals) - listing of new E&T referrals in need of assignment to caseloads.

IV. E&T Registration

■ Assign New E&T referrals ■

Background: A new FS registrant, Joyce Futz, appears on ESRF. We will look at the process for assigning Joyce Futz to an E&T case manager's load.

- TASK: Using the data and screens that follow in your *Participant Guide*, examine the process for assigning Joyce to an E&T case manager's load. We cannot make the assignment in the training region. The trainer will walk you through this process.

YMEN

- Select "C", press PF4.

```
  ************************************
  **   W E L C O M E  T O  T H E   **
  ***      G E O R G I A         ***
  ***                            ***
  ***      S U C C E S S         ***
  **       S Y S T E M           **
  ************************************

           Selection  C
           Printer ID  ????
           System Date  10 05 06
           Load ID  XXXX

A. Assistance Unit/Client   H. Security              O. File Inquiry
B. Supporting Units         I. Parameters            P. Vendor Files
C. Employment Services      J. Mass Mod              Q. Text
D. Alerts                   K. Financial Mgmt Iss    R. Benefit Error
E. Scheduling               L. Lifetime Limit        S. AU/Client Misc
F. Letters                  M. Benefit History
G. Electronic Mail (EMC2)   N. Quality Control       U. Register IV-D Case

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

ESME

- Select "G".
- In the production region, we would enter a three-digit number (for the local office number) at the LO field and press ENTER. This will take you to the ESRF screen.

```
              EMPLOYMENT SERVICES SUBMENU - ESME              ESME

                    Selection G
                    Client ID
                       Prog
                    As Of Date
                         LO Ø49

 A. Assessment Update              H. Assessment Inquiry
 B. Provider Referral Update       I. Provider Referral Inquiry
 C. Participant Data Update        J. Participant Data Inquiry
 D. Day Care Update                K. Day Care Inquiry
 E. Support Services Update        L. Support Services Inquiry
 F. TANF Referral Assignment       M. TANF Referral Inquiry
 G. FS Referral Assignment         N. FS Referral Inquiry

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

ESRF

- Lists new FS referrals; Assigned by entering a load number in CM Load field.

```
UPDATE       EMPLOYMENT SERVICES FS REFERRALS - ESRF          ESRF
                  AUTO  10 05 06                    01

CO: 001 CLARKE                        LO: 001 CLARKE COUNTY DFCS

ES                                  Wrk Comp Elig
Load  Ref Date Client ID     Name        Age  Lg  St Req  Load Prior TR
     11 30 01 707006126 R GRANT          024  E   MP     206M  NOHW

     11 30 01 781006046 M MORALES        017  S   MP     205M  ABWD

     08 16 01 781006050 T VEHICLE        031  E   AB     XXXX  ABWD

     11 30 01 984002488 S HUDGINS        035  E   AB     XXXX  ABWD

     01 02 02 976002471 V FUTZ           033  E   AB     XXXX  ABWD  P

1XXX  10 05 06 XXX000184 J FUTZ          025  E   AB     205M  ABWD

Message
```

V. Orientation/Assessment

Background: As an E&T case manager you receive an alert on 10/5/06 notifying you that a new E&T registrant, Joyce Futz, has been assigned to your case load. She must have an ABAWD Appointment Notice sent to schedule her initial orientation and assessment.

- TASK: Schedule an appointment for Joyce Futz by sending her an ABAWD Appointment Notice. Use the data and screens that follow. The trainer will walk you through this process.

■ Scheduling the Assessment ■

ESME

- Select A, enter client ID and program type, press ENTER

```
EMPLOYMENT SERVICES SUBMENU - ESME          ESME

     Selection A
     Client ID XXX000184
          Prog FS
    As Of Date
            LO

A. Assessment Update            H. Assessment Inquiry
B. Provider Referral Update      I. Provider Referral Inquiry
C. Participant Data Update       J. Participant Data Inquiry
D. Day Care Update              K. Day Care Inquiry
E. Support Services Update       L. Support Services Inquiry
F. TANF Referral Assignment      M. TANF Referral Inquiry
G. FS Referral Assignment        N. FS Referral Inquiry

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

ESPR

- Enter appointment date and time, PF1 to check appointment type for Orientation and enter. Enter print location and brief remark.
- Press PF14 to check your schedule.
- Press ENTER twice to return to ESPR.

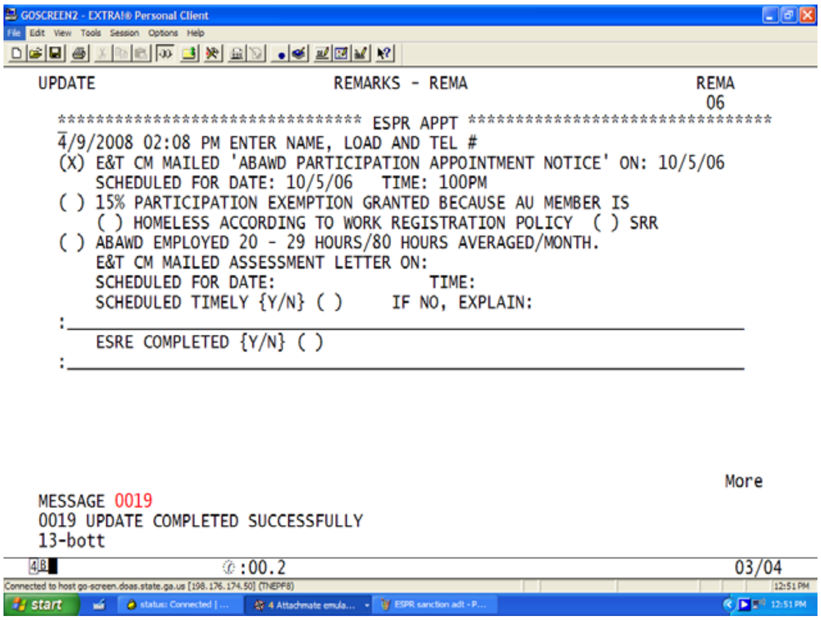
```
UPDATE     EMPLOYMENT SERVICES PROFILE SCREEN - ESPR              ESPR
                         XXXX  10 05 06                    01

Client Name JOYCE          FUTZ                   Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES Load ID XXXX

LEP                 Load Id   XXXX   Exempt Reas       Age 25
Orientation Date                       Orientation Attended
Assessment Date                          Assessment Attended
AU ID                      XXXX00137  Priority Code          ABWD
Participation Beg Date       09 30 06   Race/Ethnicity         WHITE    N
Participation Closure Date              Initial Literacy Level
Participation Closure Reason             Followup Literacy Level
Participation Rereferral Date 09 30 07   Initial Education Level      12
Review Completed                          Followup Education Level
Review Complete Date
Next Review Date
   Appt Date  10 05 Ø6         Appt Type  ORN   Appt Letter Print Location B
   Appt Begin Time (HH:MM) 01 : ØØ       Appt End Time (HH:MM) 02 : ØØ
   L Name/Appt Remarks Futz Orientation/Assessment

Message

  13-note        14-schd       15-lett       16-amen       20-schs
```

ESPR

- Press the tilde key to go to the ADT (#1)

REMA

- Enter appropriate documentation



- Press ENTER to return to ESPR

ESPR

- Enter NOTE text by pressing PF13

```
UPDATE      EMPLOYMENT SERVICES PROFILE SCREEN - ESPR              ESPR
                     XXXX  10 05 06                    01

Client Name JOYCE          FUTZ                    Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES Load ID XXXX

LEP                  Load Id   XXXX   Exempt Reas       Age 25
Orientation Date                     Orientation Attended
Assessment Date                        Assessment Attended
AU ID                    XXXX00137  Priority Code           ABWD
Participation Beg Date       09 30 06   Race/Ethnicity          WHITE    N
Participation Closure Date             Initial Literacy Level
Participation Closure Reason            Followup Literacy Level
Participation Rereferral Date 09 30 07   Initial Education Level      12
Review Completed                        Followup Education Level
Review Complete Date
Next Review Date
   Appt Date  10 05 Ø6         Appt Type  ORN   Appt Letter Print Location B
   Appt Begin Time (HH:MM) 01 : ØØ       Appt End Time (HH:MM) 02 : ØØ
   L Name/Appt Remarks Futz Orientation/Assessment

Message

0021 CANCELLATION COMPLETED SUCCESSFULLY
  13-note       14-schd       15-lett       16-amen       20-schs
```

NOTE

- Enter necessary addition to Notice, press ENTER

```
UPDATE                    NOTICE TEXT - NOTE                  NOTE


HOH Name JOYCE          FUTZ                    Client ID XXX000184
AU ID XXXX00137   Prog FS

  Your appointment is at the DFCS office on the 2nd floor. Stop at the front
  desk and give the receptionist this letter. The receptionist will direct you
     where to go.

Message
```

ESPR

- Press PF15 to go to Letters Submenu

FMEN

- Enter Selection and Letter type, press ENTER

```
LETTER SUBMENU - FMEN                FMEN

Selection A

  AU ID XXXX00137
 Load ID 1691
Sent Date 10 05 06
Letter Type LWRE

A. Letter Generation
B. Letter History Inquiry
C. Letter Deletion
D. Letter Update

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

LDTL

SUCCESS NOTE: You can change the addressee if necessary to send the letter to someone other than the client. You must enter worker phone number. Delete the participant's address and enter DFCS address whenever sending a letter to third party.

- Press ENTER.

```
UPDATE                  LETTER DETAILS - LDTL                 LDTL

              AU ID XXXX00137  Letter Type LWRE  Sent Date 10 05 06

Addressee First Name JOYCE       Middle   Last Name FUTZ
Address Line 1                 Line 2                 Apt
Street  Number  Dir  Name              Type    City Dir
      00174      SMITH             ST
City   ATHENS               ST GA   Zip 30606 2844

  Regards First Name JOYCE       Middle   Last Name FUTZ
Address Line 1                 Line 2                 Apt
Street  Number  Dir  Name              Type    City Dir
      00174      SMITH             ST
City   ATHENS               ST GA   Zip 30606 2844

Load ID 1691 Name CASE  WORKER            Phone 706 555 1212   Ext
    LO CLARKE COUNTY DFCS
Address 184 NORTH AVE
   City ATHENS              ST GA   Zip 30606 4134

Message 0013      1894      1894      1894
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
        14-updt
```

LETT

- Page through body of letter by pressing enter. Lines with a "P" in the first field are protected. Enter any data necessary.
- Page through back to LDTL.
- PF14 on LDTL to update the database with the letter.
- Press Enter to return to ESME.

SUCCESS NOTE: PF14 on LDTL updates and submits the letter to the database. If you PF3 on LDTL you have cancelled your letter. PF14 will take you back to FMEN. PF3 on FMEN back to the original screen or Main Menu.

■ Completing the Assessment ■

Background: Joyce Futz has attended her orientation/assessment appointment and completed a career assessment. You determined she is not eligible for the 15% Participation Exemption. During her work readiness assessment, Joyce states that she volunteered as a Candy Striper throughout high school and really enjoyed working in the hospital. She has also completed high school and has the following work history:

- She worked fast food service at Burger Queen from June to September, 2ØØ6. She earned $5.15 per hour and was terminated due to too many absences.
- She worked as a store clerk for Walgreen's from January to June of 2ØØ6. She earned $5.25 per hour. She was fired due to chronic tardiness because she had problems with her car, and she was unable to afford gas for the car.

You also learn that she has a Georgia driver's license and owns her own car. She has no history of drug or alcohol treatment or abuse and she has never been arrested. Together you decide her employment goal is to become a Certified Nursing Assistant. The planned date to achieve will be 5/Ø1/Ø7. You develop her Work Plan and determine that her initial activity will be Work Experience at DFCS, but that she will enter Vocational Education as soon as possible. She has her own car and will need upfront transportation for the first month of participation.

- TASK: Complete the assessment process for Joyce using the data and screens that follow. The Trainer will assist you as necessary.

SUCCESS NOTE: If you fail to record the assessment as attended, SUCCESS will not allow you to add an activity.

ESME

- Select A, enter client ID XXX000184 and program type, press ENTER

```
EMPLOYMENT SERVICES SUBMENU - ESME            ESME

          Selection A
          Client ID XXX000184
               Prog FS
         As Of Date
                 LO

A. Assessment Update            H. Assessment Inquiry
B. Provider Referral Update      I. Provider Referral Inquiry
C. Participant Data Update      J. Participant Data Inquiry
D. Day Care Update              K. Day Care Inquiry
E. Support Services Update       L. Support Services Inquiry
F. TANF Referral Assignment      M. TANF Referral Inquiry
G. FS Referral Assignment        N. FS Referral Inquiry

Message
```

ESPR

- Enter Orientation Date and Assessment Date as same date.
- Enter Orientation and Assessment Attended.

SUCCESS NOTE: The highest grade completed on the DEM2 screen will automatically populate the initial education level field on ESPR.

```
UPDATE     EMPLOYMENT SERVICES PROFILE SCREEN - ESPR          ESPR
                    1691  10 05 06                  01

Client Name JOYCE          FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES Load ID XXXX

LEP   Y              Load Id   XXXX   Exempt Reas       Age 25
Orientation Date            10 05 Ø6   Orientation Attended     Y
Assessment Date              10 05 Ø6   Assessment Attended      Y
AU ID                       XXXX00137  Priority Code          ABWD
Participation Beg Date        09 30 06   Race/Ethnicity          WHITE    N
Participation Closure Date              Initial Literacy Level
Participation Closure Reason              Followup Literacy Level
Participation Rereferral Date 09 30 07   Initial Education Level      12
Review Completed                        Followup Education Level
Review Complete Date
Next Review Date
   Appt Date  10 05 06         Appt Type  ORN   Appt Letter Print Location
   Appt Begin Time (HH:MM) 01 : 00       Appt End Time (HH:MM) 02 : 00
   L Name/Appt Remarks FUTZ ORIENTATION/ASSESSMENT

Message

  13-note        14-schd       15-lett       16-amen       20-schs
```

- Document on previous ADT as necessary.
- Press ENTER to return to ESPR.
- Press ENTER to ESAS.

ESAS

- Press ENTER

```
UPDATE        EMPLOYMENT SERVICES ACTIVITY SUMMARY - ESAS          ESAS
                                              01

Client Name JOYCE         FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES Load ID XXXX

   Sel  Step  Activity  Activity  Activity    -------Actual--------  Completion
             Code      Type     Status    Begin Date    End Date    Reason









         15-lett        16-amen
```

SUCCESS NOTE: When you press ENTER from the ESPR screen, the next screen that appears in the direct screen flow is ESAS. ESAS will display activities only if the client has been in a previous activity or JSA was created at intake. Activities are displayed on ESAS from most recent by priority for active, pending and closed status.

ESAD

- Enter Assessment Data
- Press ENTER

```
UPDATE        EMPLOYMENT SERVICES ASSESSMENT DATA - ESAD           ESAD
                    1691  10 05 06                     01

Client Name JOYCE         FUTZ           Client ID XXX000184
Prog FS Status AB Priority ABWD  Elig Load ID XXXX  ES  Load ID XXXX

Initial Assessment Date        10 05 06                          Most Recent Assessment Date    10 05 06

Transportation Means Personal Car    Driver License Y


-- Education Info --   ---- Substance Use Info ------   --- Arrest Info ---
                  Substance  Treatment  Dates      Type  Description
  Highest Grade   12               N



Message

      14-esdc      16-amen         17-esre         18-esss
```

ESWH

- Enter participant work history
- Press ENTER

```
UPDATE          EMPLOYMENT SERVICES WORK HISTORY - ESWH          ESWH
                    1761  10 05 06                01

Client Name  JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES  Load ID XXXX0
      SSN 900 01 0001
Employer/Sponsor Burger Queen            Date From/To  Ø6 Ø6 / Ø9 Ø6   Del
Address   15ØØ Broad St.                   Tel
City/St   Athens              GA Zip 30601 Hrs/Week  25    Salary 5.15
Job Title  Cook                 Reason for leaving  Fired

Employer/Sponsor Walgreens              Date From/To  Ø1 Ø6 / Ø6 Ø6   Del
Address   1Ø2 Bank St.                     Tel
City/St   Athens              GA Zip 30601 Hrs/Week  2Ø    Salary 5.25
Job Title  Stock Clerk            Reason for leaving  Fired

Employer/Sponsor                     Date From/To       /        Del
Address                                 Tel
City/St                     Zip      Hrs/Week       Salary
Job Title                    Reason for leaving

Message

         14-jtpa    16-amen                         24-del
```

SUCCESS NOTE: ESWH is used to record the client's work history. Employer information should be entered and updated whenever needed. The client's work history will display beginning with the most recent employment.

ESSN

- Enter "U" is Disp field, Code 5ØØØ
- Press ENTER until you get to ESME

```
UPDATE          EMPLOYMENT SERVICES SERVICE NEEDS - ESSN          ESSN
                    1761  10 05 06                01

Client Name  JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES  Load ID XXXX

 Do you have any of the following needs?  Dependent/child care, transportation,
 Work apparel/uniforms, licensing fees, supplies/tools required for employment,
 vehicle repairs or car insurance?

 Disp     Service need description     Disp     Service need description
  U 5ØØØ



                                    More Details
Message

         14-esdc    16-amen     17-esre    18-esss             24-del
```

■ Reporting ABAWD Participation in Activities ■

- TASK: Complete ESRE with DFCS listed as the initial provider. Print a copy of the referral and file it in the E&T Case Record.

ESME

- Select "B", enter client ID and program type, press ENTER

```
EMPLOYMENT SERVICES SUBMENU - ESME            ESME


                   Selection B
                   Client ID XXX000184
                      Prog FS
                  As Of Date
                        LO



   A. Assessment Update               H. Assessment Inquiry
   B. Provider Referral Update         I. Provider Referral Inquiry
   C. Participant Data Update         J. Participant Data Inquiry
   D. Day Care Update                K. Day Care Inquiry
   E. Support Services Update          L. Support Services Inquiry
   F. TANF Referral Assignment          M. TANF Referral Inquiry
   G. FS Referral Assignment          N. FS Referral Inquiry



 Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
```

ESRE

- Enter activity data with DFCS as Initial provider
- Press ENTER.

```
UPDATE      EMPLOYMENT SERVICES PROVIDER REFERRAL - ESRE          ESRE
                                          01

Client Name JOYCE          FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES Load ID XXXX

  Activity   Provider ID                      Provider Type:
   Code     Name
   WPU     Organization    CLARKE COUNTY DFCS
         Address        184 NORTH AVE
         City/State/Zip  ATHENS           GA   30606
         Phone Number    706 751 6578

         Referral Date   10 05 06
         Interview Date  10 05 06
         Interview Time  01 : 00

Information Text


                                          More
Message

      15-lett   16-amen    18-vnls    23-prnt
```

SUCCESS NOTE: If the provider ID is not known, PF18 accesses the Vendor Name List (VNLS). The only printing option for ESRE is local print via PF23. More than one referral may be made for a participant by entering “Y” in the More field and pressing ENTER to get a blank ESRE.

■ Developing the Work Plan ■

ESME

- Select “C”, enter client ID, program type and press ENTER until the ESWP screen.

```
EMPLOYMENT SERVICES SUBMENU - ESME          ESME

        Selection C
        Client ID XXX000184
             Prog FS
       As Of Date
               LO

A. Assessment Update            H. Assessment Inquiry
B. Provider Referral Update     I. Provider Referral Inquiry
C. Participant Data Update      J. Participant Data Inquiry
D. Day Care Update              K. Day Care Inquiry
E. Support Services Update      L. Support Services Inquiry
F. TANF Referral Assignment     M. TANF Referral Inquiry
G. FS Referral Assignment       N. FS Referral Inquiry

Message 0019
0019 UPDATE COMPLETED SUCCESSFULLY
```

ESWP Step 1

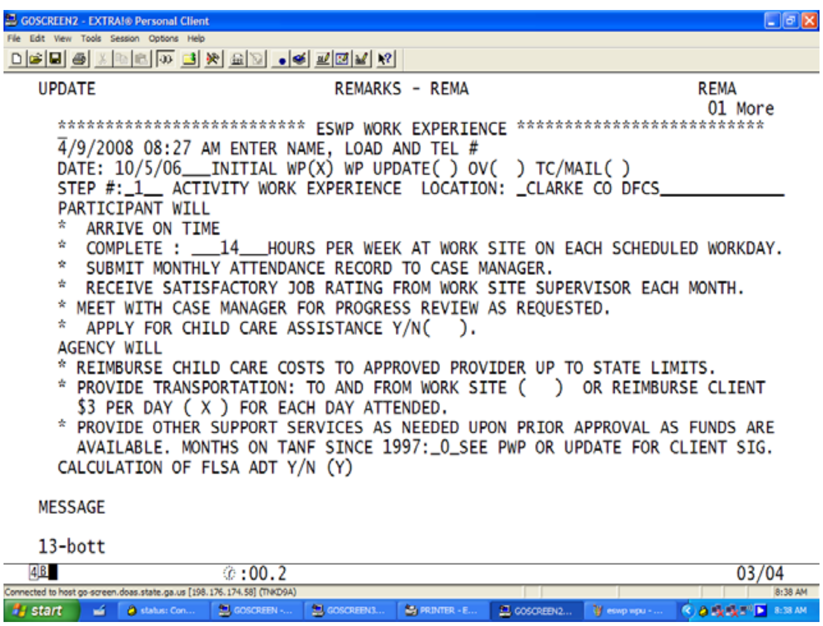
- Press the tilde key to go to ADT (#10)

```
UPDATE        EMPLOYMENT SERVICES WORK PLAN - ESWP            ESWP
                                    01

Client Name JOYCE        FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES  Load ID XXXX

Employment Goal  Certified Nursing Assistant   Planned dt to achieve Ø5 Ø1 Ø7
        Activity    Wkly
 Step   Code Type    Hrs
  Ø1     WPU        14

Service needs    Transportation

Participant will See Remarks

Agency will    Monitor attendance, Pay upfront transportation payment of $30/mth

-- Projected Dates --     Create          --- Void Step ----
   Begin       End        Activity        Ind  Reas   Date
  10 05 Ø6   10 31 Ø6
                                          More Y
Message

   14-schd      15-lett    16-amen        21-alwg        23-prnt
```

SUCCESS Note: On ESWP the CM may access her schedule, generate letters, inquire on eligibility data and generate an alert, all via PF keys.

REMA

- Enter all necessary details and documentation for Step 1



```
UPDATE                         REMARKS - REMA                     REMA
                                                                   01 More
  ************************* ESWP WORK EXPERIENCE *************************
  4/9/2008 08:27 AM ENTER NAME, LOAD AND TEL #
  DATE: 10/5/06___INITIAL WP(X) WP UPDATE( ) OV(  ) TC/MAIL( )
  STEP #:_1__ ACTIVITY WORK EXPERIENCE  LOCATION: _CLARKE CO DFCS____________
  PARTICIPANT WILL
  *  ARRIVE ON TIME
  *  COMPLETE : ___14___HOURS PER WEEK AT WORK SITE ON EACH SCHEDULED WORKDAY.
  *  SUBMIT MONTHLY ATTENDANCE RECORD TO CASE MANAGER.
  *  RECEIVE SATISFACTORY JOB RATING FROM WORK SITE SUPERVISOR EACH MONTH.
  * MEET WITH CASE MANAGER FOR PROGRESS REVIEW AS REQUESTED.
  *  APPLY FOR CHILD CARE ASSISTANCE Y/N(   ).
  AGENCY WILL
  * REIMBURSE CHILD CARE COSTS TO APPROVED PROVIDER UP TO STATE LIMITS.
  * PROVIDE TRANSPORTATION: TO AND FROM WORK SITE (    )  OR REIMBURSE CLIENT
    $3 PER DAY ( X ) FOR EACH DAY ATTENDED.
  * PROVIDE OTHER SUPPORT SERVICES AS NEEDED UPON PRIOR APPROVAL AS FUNDS ARE
    AVAILABLE. MONTHS ON TANF SINCE 1997:_0_SEE PWP OR UPDATE FOR CLIENT SIG.
  CALCULATION OF FLSA ADT Y/N (Y)

MESSAGE

13-bott
```

- Press ENTER
- Enter "Y" in More field and press ENTER.

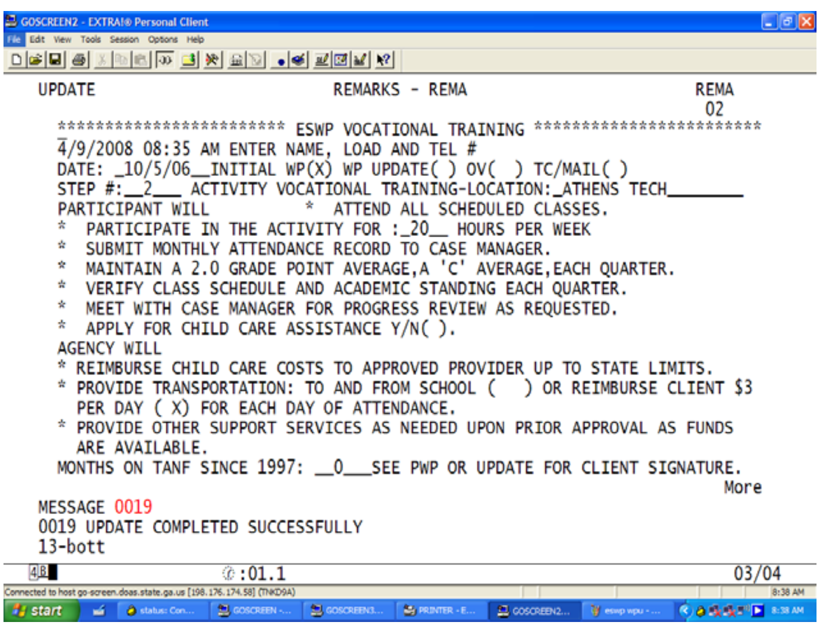
ESWP Step 2

- Enter activity information
- Press the tilde key to go to ADT (#9)

```
UPDATE          EMPLOYMENT SERVICES WORK PLAN - ESWP            ESWP
                       1691  10 05 06          Remarks    00 More

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

Employment Goal  CERTIFIED NURSING ASSISTANT   Planned dt to achieve 05 01 007
         Activity    Wkly
 Step   Code Type    Hrs
  Ø2     VOC         2Ø

Service needs   Transportation, Tuition; books; uniforms

Participant will see remarks

Agency will      see remarks

-- Projected Dates --     Create           --- Void Step ----
   Begin        End         Activity          Ind  Reas   Date
  11 Ø4 Ø6   03 31 Ø7
                                                    More
Message

   14-schd       15-lett     16-amen         21-alwg        23-prnt
```

REMA

- Enter appropriate documentation for Step 2



```
GOSCREEN2 - EXTRA!® Personal Client
File  Edit  View  Tools  Session  Options  Help

  UPDATE                          REMARKS - REMA                       REMA
                                                                         02
    ************************ ESWP VOCATIONAL TRAINING ************************
    4/9/2008 08:35 AM ENTER NAME, LOAD AND TEL #
    DATE: _10/5/06__INITIAL WP(X) WP UPDATE( ) OV(  ) TC/MAIL( )
    STEP #:__2___ ACTIVITY VOCATIONAL TRAINING-LOCATION:_ATHENS TECH________
    PARTICIPANT WILL           *  ATTEND ALL SCHEDULED CLASSES.
    *  PARTICIPATE IN THE ACTIVITY FOR :_20__ HOURS PER WEEK
    *  SUBMIT MONTHLY ATTENDANCE RECORD TO CASE MANAGER.
    *  MAINTAIN A 2.0 GRADE POINT AVERAGE,A 'C' AVERAGE,EACH QUARTER.
    *  VERIFY CLASS SCHEDULE AND ACADEMIC STANDING EACH QUARTER.
    *  MEET WITH CASE MANAGER FOR PROGRESS REVIEW AS REQUESTED.
    *  APPLY FOR CHILD CARE ASSISTANCE Y/N( ).
    AGENCY WILL
    * REIMBURSE CHILD CARE COSTS TO APPROVED PROVIDER UP TO STATE LIMITS.
    * PROVIDE TRANSPORTATION: TO AND FROM SCHOOL (   ) OR REIMBURSE CLIENT $3
      PER DAY ( X) FOR EACH DAY OF ATTENDANCE.
    * PROVIDE OTHER SUPPORT SERVICES AS NEEDED UPON PRIOR APPROVAL AS FUNDS
      ARE AVAILABLE.
    MONTHS ON TANF SINCE 1997: __0___SEE PWP OR UPDATE FOR CLIENT SIGNATURE.
                                                                       More
  MESSAGE 0019
  0019 UPDATE COMPLETED SUCCESSFULLY
  13-bott
   4B                     :01.1                                       03/04
Connected to host go-screen.doas.state.ga.us [198.176.174.58] (TNKD9A)   8:38 AM
start   status: Con...  GOSCREEN -...  GOSCREEN3...  PRINTER - E...  GOSCREEN2...  eswp wpu - ...   8:38 AM
```

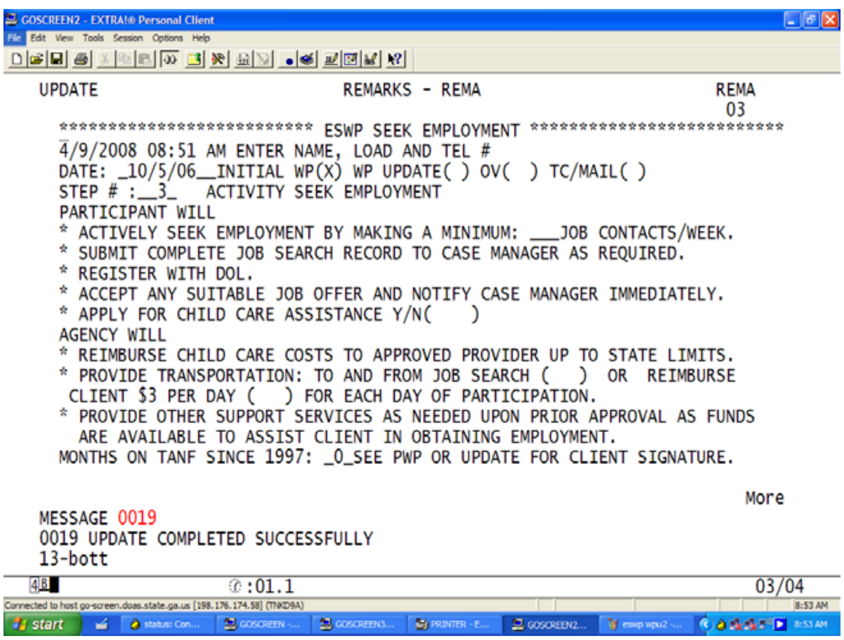
- Press ENTER
- Enter “Y” in the More field and press ENTER.

ESWP Step 3

- Enter activity information
- Press the tilde key to go to ADT (#4)

```
UPDATE          EMPLOYMENT SERVICES WORK PLAN - ESWP            ESWP
                      1691  10 05 06          Remarks   00 More

Client Name JOYCE          FUTZ              Client ID XXX000184
Prog FS   Status      Priority     Elig Load ID XXXX   ES Load ID  XXXX

 Employment Goal  CERTIFIED NURSING ASSISTANT    Planned dt to achieve 05 01 07
        Activity    Wkly
 Step   Code Type    Hrs
  Ø3     EPU        4Ø

Service needs

Participant will SEE REMARKS

Agency will       CHECK ON CONTINUED EMPLOYMENT IF APPROPRIATE

-- Projected Dates --     Create           --- Void Step ----
   Begin       End       Activity        Ind  Reas   Date
  05 Ø1 Ø7
                                             More
Message

   14-schd       15-lett     16-amen         21-alwg        23-prnt
```

- Enter appropriate documentation.



- Press ENTER, fast path to ESPR

ESPR

- Press PF9 to go to REMA.
- Press PF13 to go to last ADT.
- Tab to the More field, enter Y & press ENTER.
- Press the tilde key & document.

REMA

- Enter appropriate documentation

```
UPDATE                    REMARKS - REMA                REMA
                                    01
 10 05 06 IMW FS

 WP DEVELOPED AND SIGNED 10/5/Ø6.





                                      More
MESSAGE

13-bott
```

VI. Create and enroll in the Activity

Background: Based on Joyce's Work Plan, your first step is to create and enroll her in a Work Experience activity. She will continue working at the local DFCS office for the remainder of the month, 28 hours within the first two weeks. The contact person is Cheryl McAleer.

- TASK: Create a WPU activity in SUCCESS and enroll Joyce in the activity using the data and screens that follow. The Trainer will walk you through this process.

ESME

- Select "C", press ENTER

ESPR

- Press ENTER to go to ESWP

ESWP

- Enter "Y" in Create Activity field and press ENTER

```
UPDATE          EMPLOYMENT SERVICES WORK PLAN - ESWP              ESWP
                      1691  10 05 06           Remarks    01 More

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

Employment Goal  CERTIFIED NURSING ASSISSTANT   Planned dt to achieve 05 01 07
       Activity    Wkly
 Step   Code Type    Hrs
  01     WPU  P      14      WORK EXPERIENCE PUBLIC

Service needs    TRANSPORTATION, TUITION

Participant will SEE REMARKS

Agency will      MONITOR ATTENDANCE, UPFRONT TRANSPORTATION PAYMENT OF $30/MTH

 -- Projected Dates --     Create          --- Void Step ----
   Begin       End        Activity        Ind  Reas   Date
  10 05 06    10 31 06        Y
                                                    re
Message

   14-schd      15-lett     16-amen        21-alwg        23-prnt
```

ESAC

- Press PF14 to go to ESHR
- Enter Status Code, actual begin date and provider information

```
UPDATE       EMPLOYMENT SERVICES ACTIVITY SCREEN - ESAC           ESAC
                        1691  10 05 06

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Step   Act    Act     - Status -    -Projected Dates-      -- Actual Dates --
        Code   Type    Stat Compl     Begin     Ends          Begin     End
  1     WPU    P       E            02 04 02  02 28 02      10 05 06

----  Monthly Hours ----   Activity Provider
                   Employer/Sponsor  Clarke County DFCS
   Date      Hours      Contact Person   Cheryl McAleer
                   Address  184 North Ave       Tel 706 751 3ØØØ
 09 04 06       0       City/St Athens              GA Zip 30606
 09 11 06       0
 09 18 06       0       Health Ins     Occupation      Initial Wage
 09 25 06       0       First Sub Paycheck Date
                   Last Sub Paycheck Date
                   Rollover      Rollover Rate

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
       14-eshr      15-lett        16-amen       18-esss
```

SUCCESS NOTE: Once a "Y" is entered in the Create an Activity field on ESWP, the work plan step, activity code and activity type will automatically show on ESAC. This screen also displays the current reporting month's dates so weekly hours may be keyed. The Monday dates roll over to the next reporting month following the weekend after the 15^{th} of each month. Once that happens, the hours on ESAC will move to the ESHR (Employment Services Activity Hours History) Screen.

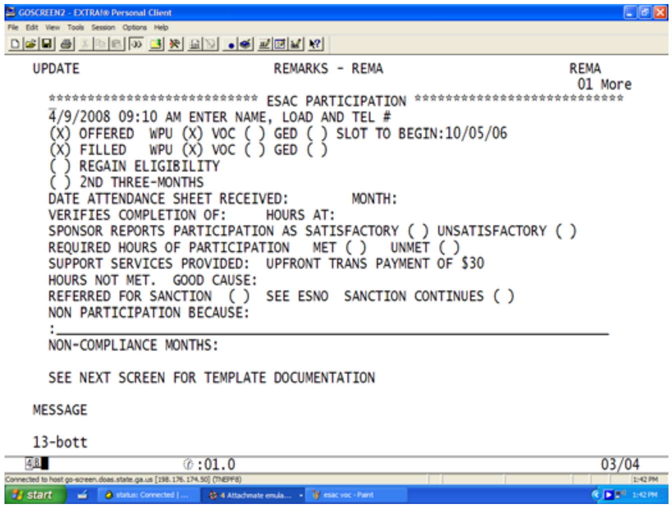
ESHR

- Press ENTER to go back to ESAC

-

ESAC

- Press the tilde key to go to the ADT.
- Enter appropriate documentation.



REMA

- **Behind ESAC document:**
  - Offered/pending placement and filled/enrolled activity
  - Monthly information regarding participation in activities, including documentation of hours entered on ESAC and how participation is verified.
  - Nonparticipation, sanctions, compliance, and cure information for the specific violation.
  - Eligibility for support services entered on ESSS
  - Tracking of time limited support services for education and training activities.
  - Monitoring or required progress on education and training activities.

```
UPDATE                    REMARKS - REMA                    REMA
                                    01
 10/Ø5/Ø6 IMW FS
 Participant began Work Experience at DFCS office 10/5/Ø6. Contact person
 for activity is Cheryl McAleer. Projected end date is 10/31/Ø6. Participant
 will turn in her attendance sheet by the 5th of the month.









                                      More
MESSAGE

13-bott
```

- Press ENTER to return to ESWP

ESWP

- Fastpath to ESSN

■ Support Services ■

ESSN

- Enter "R" for resolved service needs in DISP field
- Press F18 to go to ESSS

```
UPDATE          EMPLOYMENT SERVICES SERVICE NEEDS - ESSN        ESSN
                    1761  10 05 06                01

Client Name  JOYCE        FUTZ          Client ID XXX000184
Prog FS    Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Do you have any of the following needs?  Dependent/child care, transportation,
 Work apparel/uniforms, lcensing fees, supplies/tools required for employment,
 vehicle repairs or car insurance?

 Disp     Service need description     Disp     Service need description
  R 5000  TRANSPORTATION NOT AVAILABLE








                                   More Details
Message

        14-esdc    16-amen     17-esre    18-esss              24-del
```

ESSS

- Enter Expense Type, service month, amount, UAS and entitlement code.
- Press the tilde key to go to the REMA
- Enter documentation concerning support service.

```
UPDATE                   REMARKS - REMA                  REMA
                                        01
 10/Ø5/Ø6 IMW FS
 $30 TRANSPORTATION ASSISTANCE AUTHORIZED FOR SUPPORT OF WORK EXPERIENCE
 ACTIVITY.










                                        More
 MESSAGE

 13-bott
ESSN
```

- Press ENTER to return to ESSN

```
UPDATE      EMPLOYMENT SERVICES SUPPORT SERVICES - ESSS         ESSS
                 1761 10 05 06                    01

 Client Name JOYCE        FUTZ          Client ID XXX000184  Prog FS

 Sel  Expense    Service     Amt    UAS   Ent  Life   Ven  Del
      Type       Month       Auth   Code  Code  Limit
      ET       10 2006     30      549   34
      TRANSPORTATION ASSISTANCE






                                          More
Message

                 14-esvd      16-amen             24-del
```

ESSN

- Fastpath to ESAS

ESAS

- Enter “Y” in SEL field next to ET
- Press ENTER until you return to ESME

VII. Ongoing Case Management

You will learn how to arranging a Vocational Education activity by:

- Making a Referral (ESRE)
- Scheduling an interview
- Creating the Activity (ESWP)
- Pending the activity (ESAC)
- Authorizing support services (ESSN)
- Enrolling in an activity (ESAC)

■ Making a referral & Scheduling an Appointment (ESRE)■

Background: Based on her Work Plan, Joyce's second step is to enroll in a CNA course. Together, you've decided to refer her to Athens Technical School to enroll in their eight week Certified Nursing Assistant (CNA) program. You call Athens Tech and schedule an appointment for Joyce with Judy Smith at 1:00 PM on Oct. 5. Once she is enrolled in her VOC activity you will close her Work Experience activity.

- TASK: Create a VOC activity and enter all other necessary information in SUCCESS using the data and screens that follow. The Trainer will walk you through this process.

ESME

- Select "B", enter client ID and program type, press ENTER.

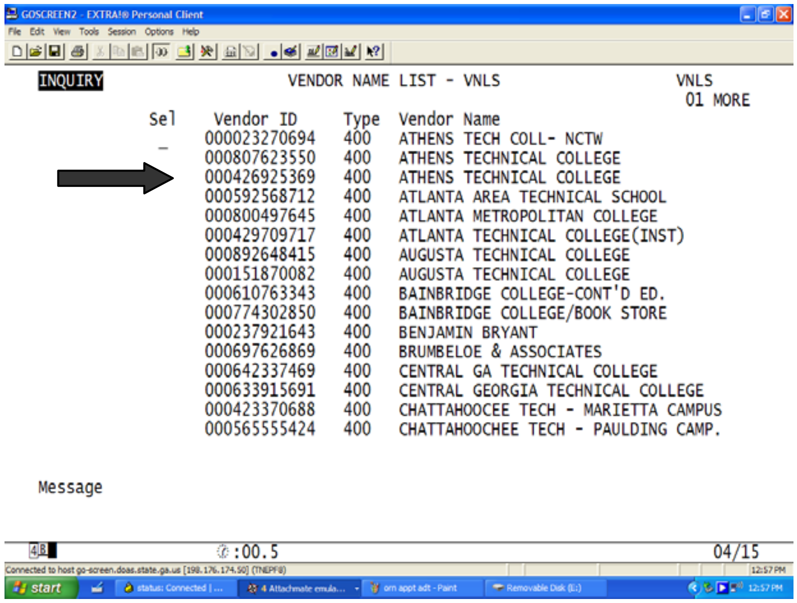
ESRE

- TAB to "More" field, enter "Y" and press ENTER
- Enter provider type, first three letters of organization name and activity code, press PF18 to go to VNLS

```
UPDATE      EMPLOYMENT SERVICES PROVIDER REFERRAL - ESRE          ESRE
                                   Remarks    02

Client Name JOYCE         FUTZ          Client ID XXX000184
Prog FS   Status AB   Priority ABWD   Elig Load ID XXXX   ES  Load ID XXXX

  Activity   Provider ID   000426925369            Provider Type: 4ØØ
    Code     Name          ?
    VOC      Organization   Athens technical college
          Address       800 us hwy 29 north
          City/State/Zip Athens              ga     30601 1500
          Phone Number

          Referral Date   10 05 06
          Interview Date  10 05 06
          Interview Time  01 : 00

Information Text


                                        More
Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
       15-lett    16-amen     18-vnls    23-prnt
```

VNLS

- Write down Vendor ID number.



```
INQUIRY          VENDOR NAME LIST - VNLS               VNLS
                                                         01 MORE
     Sel   Vendor ID     Type  Vendor Name
      _    000023270694  400   ATHENS TECH COLL- NCTW
           000807623550  400   ATHENS TECHNICAL COLLEGE
           000426925369  400   ATHENS TECHNICAL COLLEGE
           000592568712  400   ATLANTA AREA TECHNICAL SCHOOL
           000800497645  400   ATLANTA METROPOLITAN COLLEGE
           000429709717  400   ATLANTA TECHNICAL COLLEGE(INST)
           000892648415  400   AUGUSTA TECHNICAL COLLEGE
           000151870082  400   AUGUSTA TECHNICAL COLLEGE
           000610763343  400   BAINBRIDGE COLLEGE-CONT'D ED.
           000774302850  400   BAINBRIDGE COLLEGE/BOOK STORE
           000237921643  400   BENJAMIN BRYANT
           000697626869  400   BRUMBELOE & ASSOCIATES
           000642337469  400   CENTRAL GA TECHNICAL COLLEGE
           000633915691  400   CENTRAL GEORGIA TECHNICAL COLLEGE
           000423370688  400   CHATTAHOOCEE TECH - MARIETTA CAMPUS
           000565555424  400   CHATTAHOOCHEE TECH - PAULDING CAMP.

Message

                  :00.5                                   04/15
```

ESRE

- Enter ID number in Provider ID field, enter other referral information, press ENTER.

UPDATE EMPLOYMENT SERVICES PROVIDER REFERRAL - ESRE ESRE
BL22 02 25 02 Remarks 02

Client Name JOYCE FUTZ Client ID XXX000184
Prog FS Status AB Priority ABWD Elig Load ID 205M ES Load ID 205M

Activity Provider ID **000426925369** Provider Type: **4ØØ**
Code Name
VOC Organization
Address
City/State/Zip
Phone Number

Referral Date 10 05 06
Interview Date 10 05 06
Interview Time 01 : 00

Information Text **GO TO THE RECEPTIONIST ON THE 2ND FLOOR AND ASK FOR JUDY SMITH**

More
Message

15-lett 16-amen 18-vnls 23-prnt

■ Enter a Pending Activity (ESWP)■

Background: Joyce Futz attended her appointment at Athens Tech on 10/5/06. However, the class is not ready to start and she has some support service needs which need to be resolved. Athens Tech requires nursing uniforms and the tuition must be paid.

- TASK: Create and pend a VOC activity for Joyce using the screens and data that follows. The Trainer will assist you as necessary.

ESME

- Select “C”, enter Client ID and Program type and press ENTER

ESPR

- Press ENTER to go to ESWP 02

ESWP

- Enter “Y” in Create Activity field, press ENTER

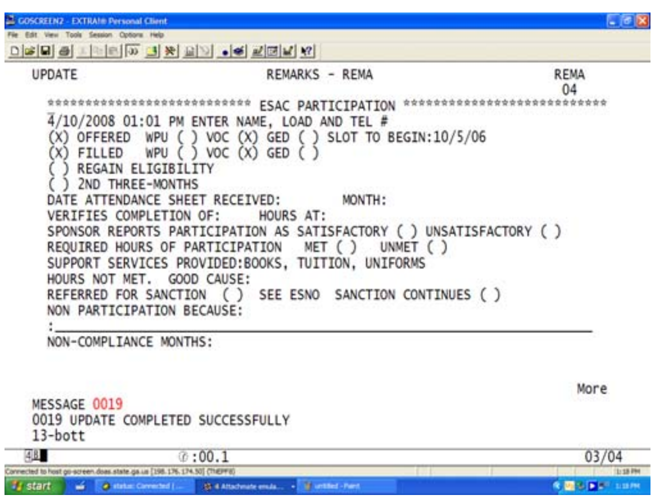
```
UPDATE        EMPLOYMENT SERVICES WORK PLAN - ESWP            ESWP
                       1691  10 05 06           Remarks   02 More

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

Employment Goal  CERTIFIED NURSING ASSISSTANT   Planned dt to achieve 05 01 07
        Activity    Wkly
 Step   Code Type    Hrs
  02     VOC  P      20      VOCATIONAL ED < 13 MONTH

Service needs    TRANSPORTATION, TUITION; BOOKS; UNIFORMS

Participant will SEE REMARKS

Agency will      SEE REMARKS

 -- Projected Dates --     Create          --- Void Step ----
   Begin       End        Activity        Ind  Reas   Date
  11 04 06  12 31 06          Y
                                               More
Message

   14-schd      15-lett     16-amen         21-alwg        23-prnt
```

ESAC

- Enter Status Code and Provider Information

```
UPDATE       EMPLOYMENT SERVICES ACTIVITY SCREEN - ESAC            ESAC
                     1691  10 05 06

Client Name JOYCE        FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Step   Act    Act     - Status -    -Projected Dates-      -- Actual Dates --
        Code   Type    Stat Compl    Begin     Ends            Begin     End
  2     VOC     P       P            11 04 06  12 31 06

----  Monthly Hours ----  Activity Provider Athens Tech
                   Employer/Sponsor
   Date      Hours       Contact Person    Judy Smith
                   Address  800 US HWY 29 NORTH        Tel
  02 04 02       0       City/St Athens              GA Zip 30601
  02 11 02       0
  02 18 02       0       Health Ins     Occupation       Initial Wage
  02 25 02       0       First Sub Paycheck Date
                   Last Sub Paycheck Date
                   Rollover      Rollover Rate

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
       14-eshr      15-lett        16-amen       18-esss
```

- Press the tilde key to go to ADT (#2).



GOSCREEN2 - EXTRA!® Personal Client

```
UPDATE                         REMARKS - REMA                         REMA
                                                                       04
   *************************** ESAC PARTICIPATION ***************************
   4/10/2008 01:01 PM ENTER NAME, LOAD AND TEL #
   (X) OFFERED  WPU ( ) VOC (X) GED ( ) SLOT TO BEGIN:10/5/06
   (X) FILLED   WPU ( ) VOC (X) GED ( )
   ( ) REGAIN ELIGIBILITY
   ( ) 2ND THREE-MONTHS
   DATE ATTENDANCE SHEET RECEIVED:        MONTH:
   VERIFIES COMPLETION OF:     HOURS AT:
   SPONSOR REPORTS PARTICIPATION AS SATISFACTORY ( ) UNSATISFACTORY ( )
   REQUIRED HOURS OF PARTICIPATION   MET ( )   UNMET ( )
   SUPPORT SERVICES PROVIDED:BOOKS, TUITION, UNIFORMS
   HOURS NOT MET.  GOOD CAUSE:
   REFERRED FOR SANCTION  ( )  SEE ESNO  SANCTION CONTINUES ( )
   NON PARTICIPATION BECAUSE:
   :____________________________________________________________________
   NON-COMPLIANCE MONTHS:

                                                                    More
MESSAGE 0019
0019 UPDATE COMPLETED SUCCESSFULLY
13-bott
                       :00.1                                        03/04
```

- Press ENTER until you return to ESSN.

ESSN

- Enter “U” and service needs codes 2Ø41 - Tuition, 1013 - Wearing Apparel
- Press ENTER until you get back to ESME

```
UPDATE          EMPLOYMENT SERVICES SERVICE NEEDS - ESSN        ESSN
                        1761  10 05 06                  01

Client Name  JOYCE          FUTZ           Client ID XXX000184
Prog FS    Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Do you have any of the following needs?  Dependent/child care, transportation,
 Work apparel/uniforms, lcensing fees, supplies/tools required for employment,
 vehicle repairs or car insurance?

 Disp      Service need description     Disp      Service need description
  R 5000  TRANSPORTATION NOT AVAILABLE   U 2Ø41
  U 1013





                                             More Details
Message

            14-esdc    16-amen     17-esre    18-esss              24-del
```

■ Authorize Vendor Payments (ESSN)■

Background: It is now Oct 5, and Joyce has attended her interview at the Athens Technical Institute and is scheduled to begin on Oct 5. First, we need to pay her tuition payment and document NCTW will pay for uniforms and books.

- TASK: Authorize payment of Joyce's VOC tuition using the data and screens that follow. The Trainer will walk you through this process.

ESME

- Select "E", enter client ID and program type, press ENTER

ESSS

- Enter Expense Type, service month, amount, UAS and entitlement code.
- Enter "Y" in SEL field if a vendor payment
- Press PF14 to go to ESVD

```
UPDATE       EMPLOYMENT SERVICES SUPPORT SERVICES - ESSS          ESSS
                     1761  10 05 06                    01

 Client Name JOYCE         FUTZ           Client ID XXX000184  Prog FS

 Sel   Expense    Service      Amt    UAS   Ent   Life   Ven  Del
       Type       Month       Auth   Code  Code  Limit
        ET       10 2006       30.00  549  34
        TRANSPORTATION ASSISTANCE
  Y     VT       10 2ØØ6    2ØØ       569    22
        VOC Tuition




                                 More
Message

                     14-esvd      16-amen          24-del
```

SUCCESS NOTE: The system fills in the "Y" in the VEN field after you have completed ESVD and committed the data to the database by pressing ENTER on ESSS. "Y" in the SEL field and PF14 is used both to initially enter the vendor payment on ESVD as well as view ESVD after the payment has been entered.

ESVD

- Enter Vendor type and first three letters of Vendor name in the Vendor name field, press PF16 to look up vendor ID

UPDATE ES SUPPORT SERVICES VENDOR PAYMENT - ESVD ESVD
1761 10 05 06 01

Client Name JOYCE FUTZ Client ID XXX000184 Prog FS

Expense Type	------Service------ Month	Amt Auth	UAS Code	Ent Code
VT	10 2006	200.00	569	22

Vendor Type **4ØØ** Vendor Number ?

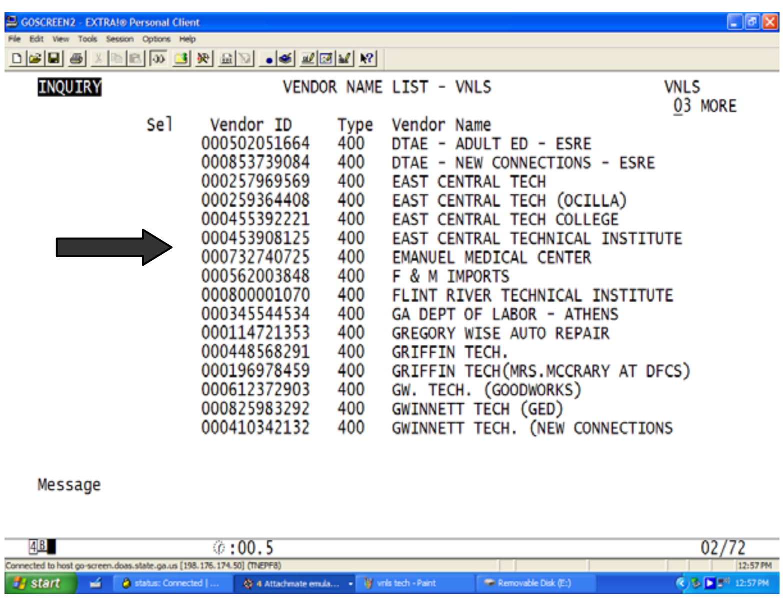
Vendor Name **ATH**
Organization
Address

City/State/Zip

Message 0013
0013 REQUIRED FIELDS ARE IDENTIFIED BY "?"
16-vnls

VNLS

- Find vendor ID and write it down



GOSCREEN2 - EXTRA!® Personal Client

INQUIRY VENDOR NAME LIST - VNLS VNLS
03 MORE

Sel	Vendor ID	Type	Vendor Name
	000502051664	400	DTAE - ADULT ED - ESRE
	000853739084	400	DTAE - NEW CONNECTIONS - ESRE
	000257969569	400	EAST CENTRAL TECH
	000259364408	400	EAST CENTRAL TECH (OCILLA)
	000455392221	400	EAST CENTRAL TECH COLLEGE
	000453908125	400	EAST CENTRAL TECHNICAL INSTITUTE
	000732740725	400	EMANUEL MEDICAL CENTER
	000562003848	400	F & M IMPORTS
	000800001070	400	FLINT RIVER TECHNICAL INSTITUTE
	000345544534	400	GA DEPT OF LABOR - ATHENS
	000114721353	400	GREGORY WISE AUTO REPAIR
	000448568291	400	GRIFFIN TECH.
	000196978459	400	GRIFFIN TECH(MRS.MCCRARY AT DFCS)
	000612372903	400	GW. TECH. (GOODWORKS)
	000825983292	400	GWINNETT TECH (GED)
	000410342132	400	GWINNETT TECH. (NEW CONNECTIONS

Message

:00.5 02/72

ESVD

- Enter Vendor ID for Emanuel Medical Center in Vendor Number field and Press ENTER
- SUCCESS fills in provider data for you after you commit to data base

```
UPDATE         ES SUPPORT SERVICES VENDOR PAYMENT - ESVD         ESVD
                     1761  10 05 06                    01

Client Name JOYCE          FUTZ           Client ID XXX000184  Prog FS



  Expense   ------Service------     Amt     UAS    Ent
   Type         Month            Auth    Code   Code
    VT         10  2006          200.00   569     22

  Vendor Type  4ØØ   Vendor Number  000732740725

  Vendor Name
  Organization
  Address

  City/State/Zip



Message

                   16-vnls
```

ESSS

- Press Enter to return to ESME

ESME

- Select C and press Enter
- Fast path to ESAS

ESAS

- Enter “Y” in select field for VOC, press Enter

ESAC

- Press PF9 to go to REMA

REMA

- Enter required documentation

```
UPDATE                    REMARKS - REMA                    REMA
                                         01
 10 Ø5 Ø6 IMW FS
 AUTHORIZING TUITION PAYMENT TO ATHENS TECH FOR CNA COURSE, PAID
 VENDOR IN THE AMOUNT OF $2ØØ FOR MARCH. PARTICIPANT WILL BE REIMBURSED
 $3 PER DAY FOR TRANSPORTATION UPON RECEIPT OF ATTENDANCE REPORTS.  EMANUEL
 MEDICAL CENTER WILL PROVIDE BOOKS AND UNIFORMS FOR TRAINING. T/C WITH JUDY
 SMITH 10/5/Ø6 CONFIRMED ACCEPTANCE INTO COURSE BEGINNING 10/5/Ø6.


                                          More
MESSAGE

13-bott
```

- Press ENTER until you get to ESME

■ Close WPU/Enroll in VOC (ESAC)■

Background: It is now Oct 5, Joyce Futz finished her work experience assignment for October and you have just received a copy of her attendance sheet. Her WPU activity needs to be closed out, and transportation assistance for October has already been paid. You also received a phone call from Judy Smith that Joyce began her vocational training that day. You need to enroll her in the activity in SUCCESS.

- TASK: Close out Joyce's WPU activity and remember to authorize payment for any outstanding support services. Enroll Joyce in her VOC activity, updating any support service needs she might have. Use the data and screens that follow. The Trainer will walk you through the process.

■ Closing/Opening Activities ■

Checklist for Closing an Activity:

- Update the E&T participant's education level if applicable (ESPR)
- Pay any outstanding support services (ESSS, ESVD)
- Enter actual participation hours (ESAC)
- Close the activity (ESAC)
- Enroll in VOC activity (ESAC)

ESME

- Select “C”, enter client ID, program type and press ENTER

ESPR

- Document outcome of participation in Work Experience
- Fast path to ESAS

ESAS

- Enter “Y” in SEL field next to activity
- Press ENTER

```
UPDATE        EMPLOYMENT SERVICES ACTIVITY SUMMARY - ESAS          ESAS
                        1761  10 05 06                    01

Client Name JOYCE          FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

  Sel  Step  Activity  Activity  Activity    -------Actual--------  Completion
             Code      Type      Status    Begin Date   End Date    Reason
   Y    01    WPU       P         E        10 05 06
        02    VOC       P         P

      15-lett       16-amen
```

ESAC

- In the Production Region (in the 'real world'), you would enter the number of actual hours completed. Here, we have to leave the numbers at '0'. Enter an Activity status code of either “C” for a successful completion or “N” for an unsuccessful (negative) completion.

- Enter an Activity Completion code; As with the actual hours, we cannot enter the actual end date in the Training Region. We enter 10/5/06. In the Production Region, you would enter the actual end date. In Joyce's case, this would be 10/31/06.
- Press F9 to document
- Press ENTER

```
UPDATE      EMPLOYMENT SERVICES ACTIVITY SCREEN - ESAC          ESAC
                       1761  10 05 06

Client Name JOYCE        FUTZ          Client ID XXX000184
Prog FS  Status AB  Priority ABWD   Elig Load ID XXXX  ES  Load ID XXXX

 Step  Act   Act   - Status -  -Projected Dates-    -- Actual Dates --
       Code  Type  Stat Compl   Begin    Ends        Begin    End
  1    WPU    P     C    ATT   10 05 06 10 05 06    10 05 06  10 05 Ø6

----  Monthly Hours ----  Activity Provider
                   Employer/Sponsor  DFCS
   Date      Hours     Contact Person  CHERYL MCALEER
                   Address  184 NORTH AVE          Tel
  09 04 06    14      City/St ATHENS            GA Zip 30606
  09 11 06    14
  09 18 06    Ø       Health Ins    Occupation     Initial Wage
  09 25 06    Ø       First Sub Paycheck Date
                   Last Sub Paycheck Date
                   Rollover     Rollover Rate

Message

       14-eshr     15-lett      16-amen      18-esss
```

ESAS

- Delete the "Y" next to WPU.
- Enter "Y" in SEL field next to VOC activity, press ENTER

```
UPDATE        EMPLOYMENT SERVICES ACTIVITY SUMMARY - ESAS         ESAS
                          1761  10 05 06                   01

Client Name JOYCE         FUTZ          Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

  Sel  Step  Activity  Activity  Activity    -------Actual--------  Completion
             Code      Type      Status     Begin Date   End Date    Reason
   Y   02     VOC        P         P
       01     WPU        P         C       10 05 06     10 31 06     ATT







 15-lett       16-amen
```

ESAC

- Enter "E" in STAT field. As in the previous ESAC screen, we cannot enter to actual begin date (for Joyce it is 11/4/06). Instead, enter 10/5/06.
- Press PF9 to go to REMA

SUCCESS NOTE: You cannot enter a future date in the actual begin date.

```
UPDATE       EMPLOYMENT SERVICES ACTIVITY SCREEN - ESAC          ESAC
                          1761  10 05 06

Client Name JOYCE         FUTZ          Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Step   Act    Act    - Status -   -Projected Dates-     -- Actual Dates --
       Code   Type   Stat Compl    Begin     Ends          Begin     End
  2    VOC     P      E           11 04 06 12 31 06     10 Ø5 Ø6

----  Monthly Hours ----  Activity Provider ATHENS TECH
                          Employer/Sponsor
   Date      Hours       Contact Person   JUDY SMITH
                          Address  1201 MAIN STREET        Tel
  02 04 02      0        City/St ATHENS              GA Zip 31201
  02 11 02      0
  02 18 02      0        Health Ins     Occupation      Initial Wage
  02 25 02      0        First Sub Paycheck Date
                          Last Sub Paycheck Date
                          Rollover      Rollover Rate

Message

        14-eshr      15-lett        16-amen       18-esss
```

REMA

- Enter appropriate documentation
- Press ENTER and fastpath to ESSN

ESSN

- Resolve all service needs
- Press Enter until you return to ESME

■ Review Activities ■

Background: It is now October 5 and Joyce Futz is due for an end of the step review on October 5.

- TASK: Schedule a review appointment and update SUCCESS information using the data and screens that follow. The Trainer will assist you if needed.

ESME

- Select "C", enter client ID and program type, press ENTER

ESPR

- Enter appointment information to schedule review
- Press F9 to go to REMA

```
UPDATE      EMPLOYMENT SERVICES PROFILE SCREEN - ESPR              ESPR
                          1691  10 05 06           Remarks    01

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

LEP   Y              Load Id   XXXX   Exempt Reas       Age 25
Orientation Date            10 05 06   Orientation Attended     Y
Assessment Date              10 05 06   Assessment Attended      Y
AU ID                    XXXX00137  Priority Code           ABWD
Participation Beg Date       09 30 06   Race/Ethnicity         WHITE    N
Participation Closure Date             Initial Literacy Level
Participation Closure Reason            Followup Literacy Level
Participation Rereferral Date 09 30 06   Initial Education Level      12
Review Completed                       Followup Education Level
Review Complete Date
Next Review Date
   Appt Date  10 Ø5 Ø6       Appt Type  PRN   Appt Letter Print Location B
   Appt Begin Time (HH:MM) 02 : ØØ       Appt End Time (HH:MM) 03 : ØØ
   L Name/Appt Remarks FUTZ 9Ø-Day Review

Message

 13-note        14-schd       15-lett       16-amen       20-schs
```

REMA

- Enter appropriate documentation
- Press ENTER until you return to ESME

■ Complete Review ■

Background: It is now October 6, and during her review, Joyce provides the attendance form and certificate of completion in the Certified Nursing Assistant course from Athens Tech. She attended 2Ø days in October. She also reports that she has been offered a job at the Health Department. She has completed her criminal background check and will hear from the employer today regarding her start date for employment. Assume all participation hours and travel has been entered correctly for March.

- TASK: Using the data and screens that follow, close out Joyce's VOC activity, authorizing any outstanding support service payments. The Trainer will assist you as necessary.

Checklist for Completing Vocational Education:

- Update her education level on ESPR if necessary.
- Authorize payment for any support services needed on ESSN/ESSS
- Enter participation hours on ESAC
- Close the activity on ESAC

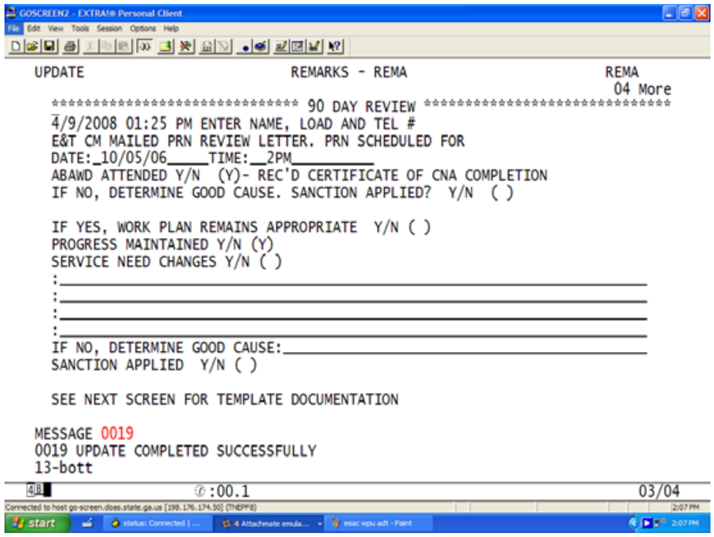
ESPR

- Update Educational Level

```
UPDATE      EMPLOYMENT SERVICES PROFILE SCREEN - ESPR              ESPR
                    1761  10 05 06           Remarks    01

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

LEP   Y              Load Id   XXXX  Exempt Reas        Age 25
Orientation Date             10 05 06   Orientation Attended     Y
Assessment Date               10 05 06   Assessment Attended      Y
AU ID                     XXXX00137  Priority Code          ABWD
Participation Beg Date       09 30 06   Race/Ethnicity          WHITE    N
Participation Closure Date              Initial Literacy Level
Participation Closure Reason            Followup Literacy Level
Participation Rereferral Date 09 30 06   Initial Education Level      12
Review Completed                        Followup Education Level     14
Review Complete Date
Next Review Date
   Appt Date  10 05 06         Appt Type  PRN   Appt Letter Print Location L
   Appt Begin Time (HH:MM) 02 : 00       Appt End Time (HH:MM) 03 : 00
   L Name/Appt Remarks FUTZ 90-Day Review

Message

 13-note        14-schd       15-lett       16-amen       20-schs
```

REMA

- Document client contact, receipt of certificate.
- Press the tilde key to go to ADT (#0)



- Press ENTER to return to ESPR, fast path to ESSN

ESSN

- Press F18 to authorize support services

ESSS

- Enter transportation reimbursement of $60 for October using UAS code 549 and entitlement code 16.
- Press Enter to ESSN and fast path to ESAS

ESAS

- Enter “Y” in SEL field next to activity
- Press ENTER

```
UPDATE        EMPLOYMENT SERVICES ACTIVITY SUMMARY - ESAS          ESAS
                    1691  10 05 06                    01

Client Name JOYCE         FUTZ           Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

  Sel  Step  Activity  Activity  Activity    -------Actual--------  Completion
              Code      Type     Status    Begin Date    End Date    Reason
   Y    02     VOC        P        E       10 05 06
        01     WPU        P        C       10 05 06    10 05 06      ATT










         15-lett        16-amen
```

ESAC

- In the Production Region, we would enter 20 hours for each week. In the Training Region, we will leave the them at '0'.
- Enter an Activity status code of either “C” for a successful completion or “N” for an unsuccessful (negative) completion.
- Enter an Activity Completion code.
- Enter 10/5/06 for the actual end date. In the Production Region, you would enter 12/31/06 for Joyce.

```
UPDATE      EMPLOYMENT SERVICES ACTIVITY SCREEN - ESAC          ESAC
                    1761  10 05 06

Client Name JOYCE        FUTZ          Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

 Step   Act    Act    - Status -   -Projected Dates-     -- Actual Dates --
       Code   Type   Stat Compl    Begin     Ends          Begin     End
  2    VOC     P      C    CER    11 04 06 12 31 06      10 05 06  12 31 Ø6

----  Monthly Hours ----   Activity Provider ATHENS TECH
                     Employer/Sponsor
   Date      Hours      Contact Person    JUDY SMITH
                     Address  1201 MAIN STREET        Tel
 09 04 06      2Ø      City/St ATHENS              GA Zip 31201
 09 11 06      2Ø
 09 18 06      2Ø      Health Ins     Occupation      Initial Wage
 09 25 06      2Ø      First Sub Paycheck Date
                     Last Sub Paycheck Date
                     Rollover      Rollover Rate

Message

        14-eshr      15-lett       16-amen       18-esss
```

REMA

- Enter appropriate documentation regarding participation and support services
- Press ENTER until you return to ESAS
- Fastpath to ESPR

ESPR

- Enter review data after interview
- Enter documentation on REMA

```
UPDATE      EMPLOYMENT SERVICES PROFILE SCREEN - ESPR               ESPR
                    BL23  03 31 02          Remarks    01

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

LEP   Y              Load Id   XXXX  Exempt Reas       Age 25
Orientation Date            10 05 06   Orientation Attended    Y
Assessment Date              10 05 06   Assessment Attended      Y
AU ID                      XXXX00137  Priority Code          ABWD
Participation Beg Date       09 30 06   Race/Ethnicity         WHITE    N
Participation Closure Date              Initial Literacy Level
Participation Closure Reason             Followup Literacy Level
Participation Rereferral Date           Initial Education Level     12
Review Completed             Y         Followup Education Level     14
Review Complete Date         10 Ø5 Ø6
Next Review Date
   Appt Date  10 05 06         Appt Type  PRN   Appt Letter Print Location L
   Appt Begin Time (HH:MM) 02 : 00       Appt End Time (HH:MM) 03 : 00
   L Name/Appt Remarks FUTZ 90-Day Review

Message

 13-note        14-schd      15-lett      16-amen      20-schs
```

REMA

- Enter appropriate documentation
- Press ENTER until you return to ESME

■ Add an Activity/Begin Employment ■

Background: Joyce Futz calls to report that she has begun her employment at Emanuel Medical Center. She is employed as a CNA. She began her job October 5. Her initial hourly wage is $5.5Ø. She is employed 2Ø hours per week.

- TASK: Complete the necessary steps to add Joyce's work activity to SUCCESS using the data and screens that follow. The trainer will assist you as necessary.

Checklist for adding an activity (EPU):

- Enter employment documentation of ESPR
- Enter Employment data on ESWH

ESME

- Select "A", enter client ID and program type, press ENTER

ESPR

- PF9 to REMA

REMA

- Enter documentation of client contact
- Press ENTER to return to ESPR, fast path to ESWH

ESWH

- Emanuel Medical Center
  171 Emery Highway
  Athens, GA 30601
  706-745-0411
- Return to ESME

VIII. Non-compliance/Compliance

Background: Joyce Futz lost her job on 10/16/06 due to poor attendance. You have received a copy of her separation notice. She worked 20 hours for the week of 10/5/06 and 15 hours for 10/12/06. You determine that non-compliance exists without good cause and act to sanction her case.

- TASK: Using the data and screens that follow, enter Joyce's non-compliance information into SUCCESS. The Trainer will assist you as necessary

When closing a case:

- Enter sanction information (ESNO)
- Close E&T case (ESPR)
- Complete any outstanding support services payments
- Update actual hours (ESAC)
- Close any open activity (ESAC)
- Enter file closure information (ESPR)

ESME

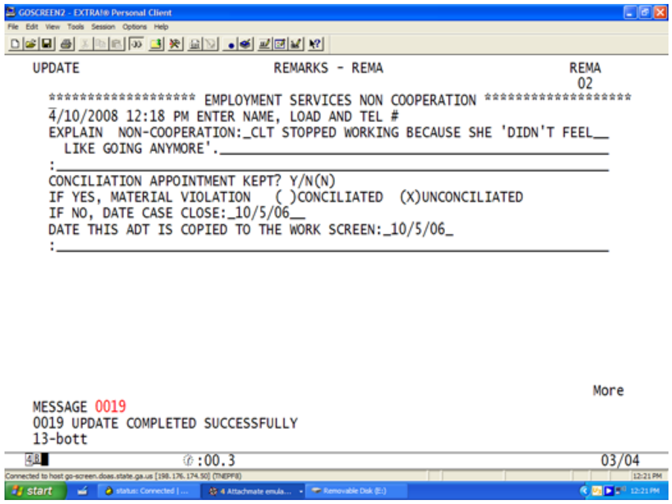
- Select "C", enter client ID and program type, press ENTER.
- Fast path from ESPR to ESNO.

ESNO

- Enter sanction information

```
UPDATE        EMPLOYMENT SERVICES NON-COOPERATION DATA           ESNO
                   1761  10 05 06                  01

Client Name JOYCE         FUTZ          Client ID XXX000184
Prog FS   Status AB    Priority  ABWD   Elig Load ID XXXX   ES  Load ID XXXX


  Del
              Non-Cooperation Type         DNRS
              Non-Cooperation Date         10 05 Ø6
              Conciliation Appointment     10 05 Ø6
              Conciliation              N
              Referred for Sanction      10 05 Ø6
              Sanction Begin Date
              Sanctioned Number/Offenses
              Sanctioned
              Compliance Referral Date
              Compliance/Cure
                                         More


Message

      15-lett     16-amen     22-alwg                    24-del
```

- Press the tilde key to go to ADT



- Press ENTER to return to ESME

ESME

- Select “A” and press ENTER
- Fastpath to ESWH

ESWH

- Update employment information for Medical Center with date last employed.
- Press ENTER to go back to ESME

■ Sanction Joyce Futz ■

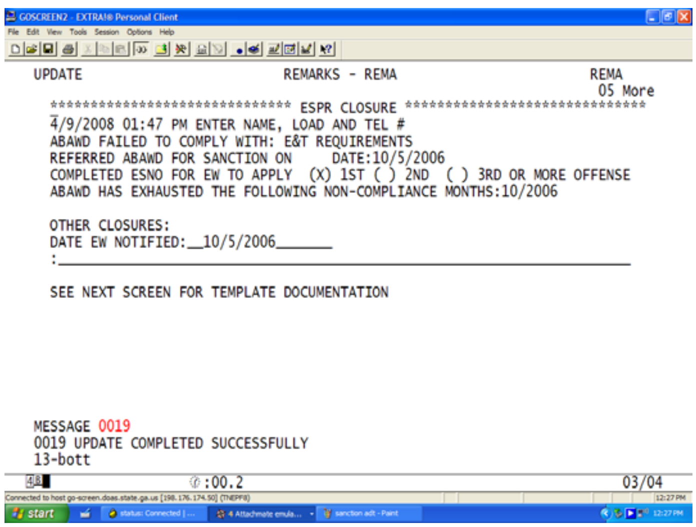
BACKGROUND: It is now October 5 and you have received alert # 563 informing you Joyce's FS case has been sanctioned.

ESME

- Select "C" and press ENTER

ESPR

- Enter participation closure date
- Enter "REF (referred for sanction) as the participation closure reason
- Press the tilde key to go to the ADT (#6)



- Enter all appropriate documentation
- Press ENTER, fast path to ESNO

ESNO

- SUCCESS has entered Sanction Begin Date and Number of Offenses
- Enter "Y" in sanctioned field
- Press ENTER to return to ESME

```
UPDATE        EMPLOYMENT SERVICES NON-COOPERATION DATA            ESNO
                    1761  10 05 06                    01

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB     Priority  ABWD   Elig Load ID XXXX   ES  Load ID XXXX


  Del
            Non-Cooperation Type         DNRS
            Non-Cooperation Date         10 05 06
            Conciliation Appointment     10 05 06
            Conciliation                 N
            Referred for Sanction        10 05 06
            Sanction Begin Date          10 05 06
            Sanctioned Number/Offenses   1
            Sanctioned                   Y
            Compliance Referral Date
            Compliance/Cure
```

■ Compliance Procedures ■

Background: Joyce Futz reapplies for FS on October 5 and requests to comply with her E&T requirements. You schedule an ABAWD appointment for her for August 5. Her work experience will be at the Clarke Co. DFCS office at 184 North Ave, Athens, GA, 30601. Cheryl McAleer is the contact person.

- TASK: Enter compliance information using the screens and data that follow. The Trainer will assist you as necessary.

Checklist for compliance:

- Send appointment to place participant in activity (ESPR)
- Enter assessment date and attended field (ESPR)
- Update assessment data (ESAD)
- Close JSA activity (ESAC)

- ❑ Enroll participant in new activity (ESWP, ESAC)
- ❑ After compliance, enter compliance information (ESNO)

ESME

- Select "A", enter client ID, program type and press ENTER

ESPR

- Schedule an ABAWD appointment.
- Document
- Complete any other screens necessary, return to ESME when finished.

.

ESME

- Select "C", enter client ID and program type, press ENTER and fast path to ESWP

ESWP

- **Enter:**
  - The step number - 04
  - The activity code - WPU
  - Anticipated weekly hours – 14 hrs/wk (28 hrs/mo)
  - Any service needs specific to the activity - None
  - Agency and participant responsibilities
  - Projected begin and end dates – 10/5 – 10/31
  - Enter "Y" in Create Activity Field
  - Press the tilde key to go to the ADT (#10) & enter the appropriate documentation for the activity
  - Press ENTER to go to ESAS

ESAS

- Enter "Y" next to JSA and press ENTER

ESAC

- Enter "X" for Stat code
- Enter appropriate documentation on ADT (#2)
- Document the following on ESAC (ADT #2) as necessary:
  - Offered/pending placement and filled/enrolled activity.
  - Monthly information regarding participation activities, including hours entered on ESAC and how participation is verified.
  - Non-participation, sanction, compliance, and regain information for specific violations.
  - Eligibility for support services entered on ESSS.
  - Tracking of time limited support services for education and training activities.
  - Monitoring of required progress on education and training activities.
  - Enter actual begin & end dates of 10/5/06.

- Enter provider information: Clarke County DFCS
  184 North Ave
  Athens, GA 30601
- Press ENTER to return to ESAS.
- Press ENTER until ESNO.

ERNO

- Enter compliance referral date; enter compliance/cure date after verifying compliance

```
UPDATE        EMPLOYMENT SERVICES NON-COOPERATION DATA            ESNO
                    1761  10 05 06                    01

Client Name JOYCE         FUTZ          Client ID XXX000184
Prog FS   Status AB    Priority  ABWD   Elig Load ID XXXX   ES  Load ID XXXX


  Del
            Non-Cooperation Type         DNRS
            Non-Cooperation Date         10 05 06
            Conciliation Appointment     10 05 06
            Conciliation                 N
            Referred for Sanction        10 05 06
            Sanction Begin Date          10 05 06
            Sanctioned Number/Offenses   1
            Sanctioned                   Y
            Compliance Referral Date     10 Ø5 Ø6
            Compliance/Cure              10 05 Ø6


Message
      15-lett    16-amen    22-alwg                24-del
```

■ Enter Compliance Information ■

Background: Joyce keeps her appointment on 10/5 and will comply with her activity.

ESME

- Select "A", enter client ID, program type and press ENTER

ESPR

- Enter assessment date and attended field
- Press F9 to document

```
UPDATE     EMPLOYMENT SERVICES PROFILE SCREEN - ESPR              ESAD
                         1761  10 05 06           Remarks    01

Client Name JOYCE          FUTZ            Client ID XXX000184
Prog FS   Status AB   Priority ABWD    Elig Load ID XXXX   ES  Load ID XXXX

LEP   Y              Load Id   XXXX  Exempt Reas        Age 25
Orientation Date              10 Ø5 Ø6   Orientation Attended     Y
Assessment Date                10 Ø5 Ø6   Assessment Attended      Y
AU ID                      XXXX00137  Priority Code          ABWD
Participation Beg Date         09 30 06   Race/Ethnicity         WHITE    N
Participation Closure Date              Initial Literacy Level
Participation Closure Reason            Followup Literacy Level
Participation Rereferral Date           Initial Education Level      12
Review Completed                       Followup Education Level     14
Review Complete Date
Next Review Date
   Appt Date  10 05 06         Appt Type  ORN   Appt Letter Print Location L
   Appt Begin Time (HH:MM) 03 : 00       Appt End Time (HH:MM) 04 : 00
   L Name/Appt Remarks FUTZ WORK EXPERIENCE LETTER

Message

 13-note        14-schd       15-lett       16-amen       20-schs
```

- Review the data and update as necessary

IX. Caseload Management - Managing Alerts

Main Menu

- select D
- press enter

DMEN

- select A
- press enter

ALWG

- enter your caseload ID number
- enter Joyce Futz's AU ID number in the AU ID field
- enter an alert code between 450 – 489
- enter message text as follows:
  "Joyce Futz to be approved for SSI. Check for approval"
- enter 10/15/06 as the date you want the text to display on your alerts
- enter 10/25/06 as the date the alert is actually due
- press enter

DMEN

- select B
- press enter

ALPR

The screen lists alerts for a caseload by priority order, from oldest to newest within the priority group. The smaller alert code has the higher priority.

Alerts are listed on two lines. The first line has the alert code, due date, AU or Client number, and message text. The second line has the name of the Head of AU or specific client being referred to if it is a system generated alert. In order to display the Head of AU or specific client on the second line for a Worker-generated alert, the FICM must enter the name on the second line when creating the alert.

Alert colors

The alerts will appear in the following colors:

- **Fuchsia or Hot Pink** means the alert is new today and has not been dispositioned.
- **Light Blue** means the alert has been on your alert listing more than one day and has not been dispositioned.
- **White** means you have just accessed that alert.
- **Yellow** means the alert has been transferred to another worker or you have dispositioned the alert today.

Reasons to Create Alerts

- To track the arrival of a SSN for a newborn child
- SSCM tells us a foster home in temporary status will be in full approval status by a certain date.
- SSCM tells us they are going to court to transfer custody.
- To check permanency plan language.
- To manually track cases.

Working Off Your Alerts

Notice at the bottom of the screen the PF keys are listed that you can use from the ALPR screen.

PF13 – to view a two tier alert, such as BENDEX update of UINC or a SSN match on New Hire Employee File. When you enter a "Y" in the select field and press PF13, the system will display another screen which gives specific information from the other agency (DOL, SSA) with which we interface.

PF14 – for a supervisor to transfer an alert on a vacant caseload.

PF15 – to go into the case using the selection you would use on AMEN. For example, you would enter "R" (interim change) or "B" (inquiry) in the select field to go into an active case.

PF16 – to go into the Employment Services screens using the selections on PHME.

PF17 – Supervisory Review Cases (for supervisor use only).

PF18 – Quality Control Cases (for QC use only).

- enter R next to the alert for Joyce Futz
- press PF15
- PF4 around the REDE and ADDR screens to STAT C

STAT C

- press PF23

ALAU

This screen can be accessed from most of the SUCCESS screens via a PF key and will show you all outstanding alerts for an AU.

- press enter to go back to STAT

STAT C

- fast path to ERN1 02 to document receipt of income verification (Note: This verification was received during the review process.)
- fast path to DONE
- press enter

ALPR

- enter D in the disposition field
- press enter

Notice the alert color changes to yellow to indicate it has been dispositioned and will be removed from the listing in overnight batch processing.

- press enter again to return to DMEN

DMEN

- select C
- press enter

ALDD

This screen lists the same alerts you just viewed on the Priority Detail List. They are now sorted by due date, from oldest to newest date.

- press the Home key
- enter 10/25/06 in the “From Date” field at the top of the screen
- press enter
- press enter back to DMEN

DMEN

- select D and enter Joyce Futz’s AU ID number
- delete 10/15/06 from the “From Date” field
- press enter

ALAU

This is the same screen you accessed from PF23 on the STAT screen. It is just another way to list all the outstanding alerts for a specific AU.

- PF3 back to DMEN

DMEN

- select E
- delete the AU number
- press enter

ALWS

This screen gives an overview snapshot of the types of cases or actions pending for a caseload.

This screen summarizes your alerts into eight categories and indicates the total number of alerts in each category that are:

- currently pending
- due within the next 7 days
- overdue

The Summary Groups are:

001 – Outstanding Conversion Alerts

100 – Pending Applications Alerts

200 – Pending Maintenance Activities

300 – Pending Reviews

400 – AUs Discontinued by Batch

500 – Clients Discontinued/Disqualified by Batch

600 – Other

700 – Employment Services Alerts

- press enter back to DMEN

DMEN

- select B
- enter 561 for the alert code
- press enter

ALPR

- press enter back to DMEN

SUCCESS Alerts

The following alerts are sent to the eligibility worker regarding ET actions:

241 – ES MANDATORY CLIENT REFERRED FOR SANCTIONS – notifies that the ES/ET participant has refused to cooperate, and that the AU benefits should be sanctioned. It is generated when a date is entered in the referred for sanctions field on the ESNO screen and the ES status indicates the client is a mandatory ES participant.

25Ø – DISQUAL PARTICIPANT COOPERATED WITH ES, END SANCTIONS – notifies that the ES participant has agreed to cooperate and the sanction can be removed. Generated when the ES CM enters a date in the compliance/cure field on ESNO.

396 – DISREGARD ALERT 241 – DATE ENTERED IN ERROR – notifies that the referred for sanctions alert was sent in error. It is generated any time the CM deletes the date from the referred for sanctions field on ESNO, regardless of when the date was originally entered.

398 – PARTICIPANT NO LONGER HAS UNSUBSIDIZED WORK – Sent when the ES/ET CM enters an actual end date for activity code EPR or EPU on ESAC.

551 – CLIENT HAS EARNED INCOME – Sent when the ES/ET CM enters an actual begin date for activity code EPR or EPU on ESAC. The EW should check to make sure the income is entered into the SUCCESS database.

The following alerts are sent to the ET CM based on eligibility or ET related data in a two-load county:

551 – CLIENT HAS EARNED INCOME – sent to the ES/ET CM for an active ES/ET participant with earned income entered in data collect and there is no job recorded in ES/ET.

553 – AU MOVED, NEW ADDRESS – generated when the ET client's AU address is changed.

556 – CLIENT NO LONGER HAS EARNED INCOME – generated when earned income is deleted from the eligibility case.

561 – PARTICIPANT ASSIGNED TO CASE MANAGER – sent in two different situations: either in the original assignment of the CM by the LO load assignment person from the ESRT/ESRF screen; or by changing the assigned CM on ESPR.

563 – PARTICIPANT SANCTIONED – sent when data collect assigns a financial responsibility code of “sa” sanction, with a “P” (Peach) penalty type to a Food Stamp E&T client. For a TANF client, the alert is generated with a new strike reason is entered with a reason code “W” – work plan.

566 – CLIENT’S FS CASE IS CLOSED – sent when a FS E&T client’s AU closes. The employment services case must be closed.

567 – CLIENT’S FS CASE IS REOPENED – sent when a closed FS AU is reopened for a client who is tied to an active ES case. The client can then continue participating in ES activities.

The following alerts are generated to the ES CM based upon ES client data:

568 – EMPLOYMENT SERVICES REVIEW IS DUE – generated 75 days after the completed review date recorded on ESPR. If no completed review date is recorded, it is generated 75 days after the assessment date found on the same screen.

569 – FS PARTICIPANT REFERRED – sent to inform the worker that the re-referral process was done by batch processing for the necessary FS AU.

572 – SUCCESS AU APPROVED – generated when an ES client in a TANF or FS AU which was previously pending now becomes active.

The following alerts are generated to the EW based upon WORK ES/ET status data:

222 – CHILD TURNING 16 NOT A STUDENT – CHECK ES STATUS – reminds the EW to evaluate the work registration status of a 16 year old.

574 – ABAWD CLIENT TURNING 5Ø – RE-EVALUATE ES STATUS – sent when a client with a WORK status of ABAWD or ABAWD exempt is turning 5Ø the next month so that the status can be changed.

X. Reports

A. Food Stamps Alphabetic Caseload Listing By Name

This monthly report lists caseload information by individual client in alphabetic order within local office by ES load ID. Separate reports are generated for TANF and Food Stamps.

B. Food Stamps E&T Participation Report

This report provides a listing at the ES Load ID, local office, and county level of all E&T participants enrolled in an activity for the report month. Up to four activities are shown, along with the hours per activity, and a total by client.

C. E&T Program SUCCESS Problem Log

This report is designed to capture all the data pertaining to cases that cannot be entered into the system. The CM must access this report via the bulletin board. This report is not generated by SUCCESS.

D. List of other E&T Reports

DMB3439A-DMB34301
Rundate: 4/17/01

Georgia Department of Human Resources
Division of Family and Children Services

FOOD STAMPS ALPHABETIC CASELOAD LISTING BY NAME
Reporting Month 03/01
FOOD STAMPS

CO: 049 Elberta
LO: 049 DFCS
CM LOAD ID: 1505

Name		Ref Date	ST	Pend Act Cds	New Act Cds	Ongoing Act Cds	Prior Act Cds	End Rsn
SMITH	NED	2/15/01	AB					
ID#134567890		ACT BEG DT						
SSN# 256778899		ACT END DT						
DOB: 02/28/57		COMPL CODE						
EDUCATION:99	LITERACY LEVEL: 0000							
SWINFORD	TAMMY	2/26/01	AB		EPU			
ID#678954321		ACT BEG DT			03/01			
SSN#445533221		ACT END DT						
DOB: 10/25/74		COMPL CODE						
EDUCATION:00	LITERACY LEVEL: 0000							
THORN	LINDA	12/2/00	AB			WPU	ASM	
ID#407892999		ACT BEG DT				01/01	01/01	
SSN#251367892		ACT END DT					01/01	
DOB: 08/03/80		COMPL CODE					ATT	
EDUCATION:99	LITERACY LEVEL: 0000							
TUCKER	MALCOLM	3/1/01	AB	WPU				
ID#456789020		ACT BEG DT						
SSN#262985667		ACT END DT						
DOB:08/31/58		COMPL CODE						
EDUCATION:12	LITERACY LEVEL:0000							

DMB3437A-DMB34371
Rundate: 04/17/01

Georgia Department of Human Resources
Division of Family and Children Services

FOOD STAMPS E&T PARTICIPATION REPORT
REPORTING MONTH 03/01

Client ID#		Name	Activity Code/Hrs	Activity Code/Hrs	Activity Code/Hrs	Activity Code/Hrs	Total Hours
123456789		Client A	VOC 100				100
234567891		Client B	GED 100				100
345678706		Client C	VOC 60	WPU 40			100
456787063		Client D	VOC 100				100
567870634		Client E	WPU 45				45
678706345		Client F	WPU 28				28
787063456		Client G	WPU 25				25
870634567		Client H	WPU 08				08
706345678		Client I	GED 05				05
987654321	C	Client J	WPU				00
876543219		Client K	JSA				00

10 TOTAL PARTICIPANTS

“C” = CLOSED/INELIGIBLE FOOD STAMP

TO: Taylor.Shelia
CC: *, Gladmon. Tamiko,
SUBJECT: E&T SUCCESS Problem Log
Sep 22 03 Mon 1:43pm ET

County: Activity Month:
Case Manager: Phone#: ( ) -
Email Address:

Customer Name: Client ID#:
Problem:

Customer Name: Client ID#:
Problem:

Customer Name: Client ID#:
Problem:

Customer Name: Client ID#:
Problem:

Customer Name: Client ID#:
Problem:

Submit problems as they occur.
If you have any questions about this form, please contact me at (404) 657-3745.

PF 1=Help 2=Exit 3=Return 4=Mail 7=Back 8=Forward

D. List of Other E&T Reports

Employed Employment Services Participants Report

This semi-annual report identifies the clients in TANF and Food Stamp programs who are employed and lists the clients' employment information.

Employment Services Service Needs Report

This report provides monthly totals for clients with service needs within the TANF and Food Stamps programs broken down by ES status, age, sex, race, and AU size. It is produced twice - once for applicants and once for recipients.

Employment Services TANF / Food Stamps Program Report

This federally mandated monthly report identifies the participants in the TANF and Food Stamps programs and gives various statistical totals, including participants in employment activities, support service expenditures, totals of participants by activity, and activity completions. A separate version is produced for applicants and recipients.

Participant Demographic Report

This is a report produced monthly which lists statistical information on various demographic elements for Employment Services participants, including limited English proficiency, age, sex, race, AU size, literacy level, and educational level. A separate Food Stamp version is produced for ABAWD participants.

USDA Report

This summary level report provides monthly and year-to-date (federal fiscal year) totals. This report is for Food Stamps program registrants only. Remote county registrants and exempt participants are included in the registrant count as well as listed in a separate exemption total. ABAWD and applicant information is broken out separately. Information includes new registrants and registrants who began E&T participation in the reporting month or in the year to date by activity.

ES Statewide Registrant Summary

This report identifies the total number of participants referred from the Food Stamps and TANF programs on a monthly basis. ABAWD participants are listed separately.

TANF or Food Stamps Monthly Entered Unsubsidized Employment

This monthly report identifies the total number of clients who entered employment during the reporting month. The totals are broken out into various categories, such as educational level, literacy level, race, ethnicity, age, sex, wages, and occupational codes.

ES New Registrant Report

This weekly report lists new Employment Services registrants within each Local Office broken out into TANF 1 parent, TANF 2 parent, Food Stamps, and Food Stamp ABAWD categories. A summary page provides total counts within each program including total exempt clients.

TANF or Food Stamps Participant Recidivism Report

This report is produced annually at state fiscal year end and lists statistical information on various demographic elements for Employment Services participants who went- off assistance as a result of Employment Services employment and then went back onto assistance at a later date. There is a separate report for TANF and Food Stamp program participants. The Food Stamp report is not generated for remote counties which do not have an E&T program.

Employment Services Support Services Summarized Issuance Request Report

This report is produced monthly and summarizes the month's Employment Services benefit issuance information by expense type. Separate totals are given for issuances. to vendors and clients. The totals are produced at county and statewide levels.

Employment Services Caseload Report - Enrolled in Component Activities

This report lists client and activity details by ES Load ID. Data includes client name, client ID, AU ID, program type (for TANF), age, priority group (for FS), and up to three activities in which the client is enrolled.

Employment Services Caseload Report - Employed Participants

This report provides details by ES Load ID data on participants who are employed. Data includes client name, client ID, AU ID, program type (for TANF), age, priority group for FS), and in which employment activity the client is enrolled.

Employment Services Caseload Report - Participation Service Needs

This report provides details by ES Load ID data on participants who have unresolved service needs. Data includes client name, client ID, AU ID, program type (for TANF), age, priority group (for FS), and up to three unresolved service needs.

Employment Services Caseload Report - Pending Component Activity

For each pending activity, this report lists the clients having unresolved pending activities. The data includes client name, client ID, AU ID, program type (for TANF), age, and priority group (for FS).

Employment Services Caseload Report - Caseload Totals by Employment Services Load

This summary report provides totals within various categories by state, county, local office and Load ID. The categories include: participants with no Employment Services activity participants with unresolved service needs participants with pending component activities employed participants enrolled in any activity participants with closed Employment Services case total active participants

Employment Services Caseload Summary

This report lists various caseload monthly totals by county, local office, and Load ID. There is a separate report for TANF and Food Stamps, with separate ABAWD totals. Information includes average education/literacy level, age, participation end reasons, clients pending by activity, clients newly participating by activity, clients in ongoing participation by activity, positive and negative completions by activity, and for Food Stamps, a separation of pending into newly pending and ongoing pending.

Employment Services Support Services Issuance Request

This daily report lists the requests for payment to clients with a separate report for requests for payment to vendors. It lists itemized details for each participant's recorded support services information, along with the authorized payment amounts included in the payment request total.

Employment Services Caseload Report - Caseload Summary Totals

This summary report by Local Office provides totals within various categories including participants with no Employment Services activity; participants with unresolved service needs; participants with pending component activities; employed participants; participants enrolled in any activity; participants with closed Employment Services case; total active participants. A total line for the state is provided at the end of the report.

Employment Services Annual E&T Report

This report provides total FS Employment Services registrants, total exemptions, and total non-exempt registrants as of October I for the state. ABAWD registrant data is listed separately. This data is required for the state's annual FNS 583 report to the USDA.

XI. End of Course/Review/Questions