

Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) Employment Plan

January 1, 2020 – December 31, 2021

Herkimer County

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Section 1- Assurances

As a condition of the receipt of federal and State funds the Herkimer County Department of Social Services submits this Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) Employment Plan (Plan) to the New York State Office of Temporary and Disability Assistance. The Plan outlines the administration of employment services for TA and SNAP applicants and recipients for the period January 1, 2020 through December 31, 2021. As Commissioner of Herkimer County Department of Social Services, I hereby affirm that employment services programs will be administered in accordance with all applicable federal and State policies, laws, regulations and provisions of this Plan.

/s/ TS 12/17/2019

Timothy Seymour, Social Services Commissioner

12/17/2019, Date

Amendments to this Plan:

Date Approved OTDA	Section(s) Amended

(To be completed by OTDA)

Section 2 Administration

Section 2.1 Administrative Structure

This agency's organizational chart is attached. It identifies the units and staff within the agency that are involved in the operation of the district's employment program.

Following is a description of the office(s) in and/or outside of the Department of Social Services that are involved in the operation of the district's employment program. The responsibilities of each office are described below.

1. Employment Coordinator (Oversees all employment operations)
2. Employment Counselor (Safety Net caseload, Work Experience Programs, case management, assessments, conciliations)
3. Senior Clerk (Medically exempt population, TANF, Safety Net, SNF, assessments, conciliations)
5. Caseworker (administers all day care programs – TANF and income eligible, SN assessments)
6. Caseworker (SN, TANF, SNF, 200%, SNAP Job Search assistance, assessments, conciliations, manages JRT and HSC programs)
7. Clerk (full-time, clerical support)
8. NYS Jobs Specialist (TANF, SN, SNF, job referrals, monitors job search, resume' review)
9. Employment and Training Administration (ERT program – Herkimer Co. One Stop)
10. Vocational Service Coordinator (Exempt population-TANF, employability determinations, monitors treatment plans for compliance, completes referrals to Resource Center for Independent Living)

Section 2.2 TA and SNAP Employment & Training (SNAP E&T) Provider Agencies

Table 1 - Contracts Associated with TA and SNAP Employment Programs and Services

Table 1 lists the local contracts or agreements with agencies to provide employment services to TA and SNAP clients. These activities and services may include, but are not limited to: employability determinations; development of assessments and employment plans; conciliation and grievance activities; provision of work activities such as job readiness training; education and job skills training; monitoring and support for compliance with treatment plans for exempt individuals with the potential for restoration to self-sufficiency; job development; job placement and retention services; and other employment related activities.

Each contract listed in Table 1 contains an assurance that the activities are not otherwise available from that provider on a non-reimbursable basis, and, if not a performance-based contract, a statement regarding use of a cost allocation methodology that satisfies Generally Accepted Accounting Principles, as well as the requirements of U.S. Office of Management and Budget Circulars A-122 for nonprofit organizations, A-21 for educational institutions, or A-87 for

State and local governments. Districts must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts.

Provider	Total Contract Cost (per year)	Funding Source(s) (Check all that apply)	Categories of Clients Served (Check all that apply)	Programs, Services or Activities Provided
Employment and Training Admin.	\$50,000.00	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Job Readiness Training
Employment and Training Admin.	\$7000.00	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Desk space for one employment worker at Working Solutions
Employment and Resource Center for Independent Living Training Admin.	\$49,480.00	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Initial screenings, assessment & planning, employment preparation, coordination of services, assist in meeting work activity requirements, and reporting & follow-up.
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	

Provider	Total Contract Cost (per year)	Funding Source(s) (Check all that apply)	Categories of Clients Served (Check all that apply)	Programs, Services or Activities Provided
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	\$0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
	0	<input type="checkbox"/> FFFS <input type="checkbox"/> SNAP E&T <input type="checkbox"/> Local <input type="checkbox"/> Other	<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	

Table 2 – Other Service Providers

Table 2 includes agencies/providers that offer services to participants and to which the district expects to refer participants but which have no direct financial agreement with the district.

Provider	Funding Source(s) (if known)	Categories of Clients Served (Check all that apply)	Programs, Services or Activities Provided
Herkimer Co. BOCES		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	High School Equivalency
Herkimer Co. Working Solutions		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Resume workshop, job search assistance, job interview workshop, basic computer skills training, how to job search on the internet, and in some cases on the job training financial assistance.
Herkimer Area Resource Center		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Create a personal employment/life plan. Identify and help individuals address barriers to employment and/or to Access VR eligibility. Individuals identified who may have a disability will be referred to Access VR. Provide job coaching.
Resource Center for Independent Living		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Assist individuals with the SSI process. Assist individuals with coordinating appointments such as medical. Act as an advocate for families and individuals. Also provide job coaching services.
Access VR (VESID)		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	Meet with work limited individuals in order to assess their work capabilities and make any necessary referrals such as vocational programs.
		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	
		<input type="checkbox"/> FA <input type="checkbox"/> SNA Family <input type="checkbox"/> SNA Individual <input type="checkbox"/> SNAP <input type="checkbox"/> TANF 200%	

Section 2.3 OTDA Jobs Staff Agreement

OTDA Jobs Program Services – Target Groups

("X" signifies those that apply in this district)

Services	=	Target Groups	=
Assessment/Employment Plan	=	Applicants	=
Supervised Job Search	=	FA & SNA with children	=
Job Readiness Training	=	SNA without Children	=
Job Club	=	SNAP	=
Job Placement Services	=	TANF 200%	=
Grant Diversion	=		=
Job Development (employer outreach)	=		=
WOTC pre-certifications	=		=

Other Services Requested

Described below are additional services/duties which will be requested of Jobs staff (e.g. WTWCMS data entry, case conferencing, job fairs)

Assist clients with resume' preparation, filing out a job application, provides direct job referrals, and monitors compliance for the Employment Unit. Attends job fairs and recruitment opportunities to meet with employers. Adds notes in WTWCMS.

Section 2.4 Access to Services at New York State Career Centers

In New York State, TANF is a required WIOA partner and must coordinate access to TANF services with the comprehensive Career Centers.

- a. Below is a description of how the district provides access to its programs and services with Career Center partners. Check all that apply:
 - The district has employee(s) physically present at a Career Center
 - The district has contract staff physically present at a Career Center
 - The district makes available direct access to its program staff via phone or technology at a Career Center
 - The district makes available copies of the LDSS-2921 (Common Application) at a Career Center
 - Other: All non-exempt Temporary Assistance applicants are referred to the Career Center to register to access the employment services offered.

- b. Please provide a description of how the district coordinates with Career Center partners with providing services to the district's clients, including referral and information sharing mechanisms, or other collaboration such as participation on the local WIOA Business Services Team, etc.

As part of the employment assessment process the Employment Worker provides the applicant with an appointment to meet with a Career Center representative. Once the applicant has attended their appointment the Career Center representative notifies the

employment unit and provides information on any direct job referrals given to the applicant.

Section 3 Engagement and Work Preparation

Section 3.1 Federal “Engaged in Work” Requirement (Reference 18 NYCRR 385.2 (f))

For purposes of satisfying the federal requirement which states that parents or caretakers must be engaged in work as soon as the district determines they are ready, but no later than within 24 months of receiving federally funded assistance, district’s definition of “Engaged in Work” is:

Compliance with assessment, employment planning, all activities included in the individual’s Employment/Self-Sufficiency plan including any need to attend treatment/rehabilitation programs, or any of the work activities listed in Section 3.4. Also included is pursuit of other forms of income such as SSI and SSDI.

Include any additional information regarding the district’s local “engaged in work” requirements:

1. Actively participate in their employment assessments and employability plans.
2. Participate in the Work Experience Program
3. Attend and successfully complete the JRT classes.
5. Actively pursue HSC if applicable.
5. Attend counseling and/or treatment, if required.
6. Complete the number of required Job Search contacts.
7. Complete direct job referrals when required.
8. Actively pursue child care, if necessary.

Section 3.2 Orientation (Reference 18 NYCRR 385.5)

Check one of the following:

The district provides orientation in accordance with 18 NYCRR Section 385.5 and no additional information is provided at orientation.

In addition to the requirements outlined in 18 NYCRR Section 385.5 of the regulations, the district’s orientation provides the following:

Described below is the manner in which the district completes the required orientation for all applicants and recipients of TA (e.g. in a group setting, individually, or a combination of both), including the orientation procedure for exempt individuals and non-exempt individuals, if different:

Orientation is completed on an individual basis at the time of application. The orientation process is the same for all applicants. During the interview the worker screens the applicant to determine if they will be exempt or non-exempt. Based on that determination the applicant is given an appointment date and time with an employment worker to complete an assessment. During this meeting the employment worker informs the applicants of all employment requirements. Other DSS responsibilities are covered at the assessment such as: supportive services, educational opportunities and child care.

Section 3.3 Assessment and Employment Planning

TA Assessment

(Reference 18 NYCRR 385.6 and 385.7)

Check one of the following:

a. The district conducts assessments as required by 18 NYCRR 385.6(a) and 385.7(a):

The district enters assessments directly into WTCMS

The district uses the LDSS 4980 (New York State Assessment) and later enters information into WTCMS.

The district conducts assessments using a local equivalent tool, and later enters information into WTCMS. Attached is the local equivalent.

The local equivalent does not contain additional elements other than what is required.

The local equivalent does contain additional elements beyond what is required, listed below:

Military background, offender status, substance abuse history, health, special needs of any adults in the household, financial needs of the household and any additional assistance received by the household.

b. Describe the district procedure for the completion of an employment assessment:

Assessment date and times are given to the applicant at orientation. All assessments are conducted one on one by employment staff. The TANF exempt applicant assessments are conducted by the Vocational Service Coordinator. Households with dependent children and 16 and 17 year olds not in school will receive an assessment within the 90 day requirement. Households without dependent children will be assessed within the year from application.

c. The district administrative unit or contractor responsible for conducting assessments is:

Herkimer County Employment Unit and the RCIL Vocational Service Coordinator.

d. The qualifications of the employees conducting the assessment are at minimum: [Refer to requirements listed in 18 NYCRR 385.6(c) and 385.7(c)]

All Employment staff have met and exceeded the qualifications for their positions under the Civil Service System. They are trained staff that has demonstrated the ability to perform this function. Staff: Employment Counselor, Senior Clerk, Caseworkers, and Vocational Service Coordinator.

e. Applicants in households **with** dependent children are required to participate in completion of an assessment:

Yes No

f. Applicants in households **without** dependent children are required to participate in completion of an assessment:

Yes No

- g. **Exempt** adults in households **without** dependent children are required to participate in the completion of an assessment:

Yes No

- h. How often and under what circumstances is the assessment updated?

Every six months along with the households Temporary Assistance recertification. As needed if a household's circumstances have changed.

Temporary Assistance Employment Plan

(Reference 18 NYCRR 385.6 and 385.7)

- a. Check one of the following:

The district develops individual employment plans as required by 18 NYCRR 385.6(a) and 385.7(a):

The district enters employment plans directly into WTCMS.

The district uses the LDSS 4978 (New York State Employment Plan) and later enters information into WTCMS.

The district develops individual employment plans using a local equivalent tool and later enters information into WTCMS. Attached is the local equivalent.

The local equivalent **does not** contain additional elements other than what is required.

The local equivalent **does** contain additional elements beyond what is required, listed below:

Referrals to BOCES orientation for TABE testing, Working Solution for registration and direct job referrals, and appointment with JOBS program.

- b. Check one of the following:

The same administrative unit or contractor that conducts employment assessments also develops employment plans.

A different district administrative unit or contractor develops employment plans, and their qualifications include

- c. Describe the district procedure for the completion of an individual's employment plan.

Individualized employment plans are completed at the participant's assessment appointment. The employment worker in collaboration with the participant develop the employment plan. The plan includes the participants employment preferences and goals, work activity assignments and details on any supportive services provided to the participant.

- d. How often and under what circumstances is the employment plan updated?

Every six months along with the households Temporary Assistance recertification. As needed if a household's circumstances have changed.

Section 3.4 Participation Rates and Work Activities (Reference 18 NYCRR 385.8 and 385.9)

- a. Describe below how the district plans to meet federal and State TA participation rate requirements. Included is the weekly hours standard participation requirement for individuals in the different case and household types, along with the typical time period it takes for nonexempt individuals to be engaged in activities for both newly opened cases and individuals who status changed from exempt to nonexempt. Information regarding engaging exempt individuals is entered in Section 6:

In Herkimer Co. engagement in activities is immediate and continuous. All Temporary Assistance applicants are given an appointment with the Employment Unit at their application interview. Appointments are usually scheduled within 7 days. Assessments and employability plans are completed. Non-exempt individuals (TA) are given direct job referrals, an appointment with the Jobs Program for supervised job search, a referral to a staffing agency, and enrolled in ERT if applicable. SNAP applicants are informed of job search assistance if needed. Potentially exempt are given medical/psychiatric statements to be completed by a medical professional and returned within 10 days.

Non-exempt and exempt clients are engaged and participating from this point until the closing of their Temporary Assistance case. Their employment worker monitors non-exempt participants for maximum participation. All work activities are included for participation (ex. Community service, training, work, work experience, job search, job readiness). Exempt participant information is included in Section 6.3. The weekly standard participation rate is 35 hours per week for all categories.

- b. Estimate the number of individuals expected to receive employment services:

	Households with Dependent Children Average Monthly	Households without Dependent Children Average Monthly
Individuals	50	70

- c. Describe below how the district uses work participation management reports available through COGNOS or other reports and activities to monitor district progress toward meeting work participation requirements and ensuring full engagement by adults in work or work preparation activities:

Cognos reports such as Monthly Countable / Not Countable Weeks based on scheduled and actual hours are reviewed and used to determine what needs to be done to increase the participation rate. Engagement reports are also reviewed to make sure recipients are involved in some type of a core activity.

- d. Describe the extent to which the district requires Non-Temporary Assistance Supplemental Nutrition Assistance Program (NTA SNAP) recipients to participate in SNAP E&T work activities. If the district is offering Supervised Job Search as an E&T

activity component, the district must describe how the job search activity will be supervised and tracked, including the frequency of monitoring the participant's job search efforts. (Please note: Case management services must be provided to all participants enrolled in an E&T activity):

Herkimer County is not mandating NTA/SNAP applicants or recipients to participate in SNAP E&T work activity assignments.

If the district is not mandating SNAP E&T work activity assignments, please describe how NTA SNAP work registrants are informed of the services available, upon request, for assistance with job search activities. (Please note: At a minimum, districts are required to make available job search as a SNAP E&T activity to NTA SNAP applicants and recipients):

Letters are included in all SNAP application packets informing the individual that they may phone the Employment Unit for job search assistance.

- e. Describe the district procedure for Job Search, including the required number of job search contacts and hours per week assigned. Also include a description of how often individuals are generally required to report job search outcomes and if activities other than job search are routinely expected:

1. The district assigns TA **applicants** to Job Search. Yes No

If yes, the process for engaging TA **applicants** is:

referred to the Employment Unit for an employment assessment. The applicant is instructed to register with Working Solutions where they are given a couple direct referrals and also meet with the State OTDA representative. If the TA applicant is engaged in some type of paid or unpaid activity, then they're instructed to make 6 job contacts per week. If the TA applicant is unemployed and not involved in some type of assigned activity, then they're mandated to make 12 job contacts per week. The Job Search Log contains a section for Time In and Time Out so the TA applicant can keep a time log for how long they were at the employers, the time it took them to travel from one employer to another, and how much time they spent preparing for the contact. The employment unit worker schedules a date and time for the TA applicant to meet with the OTDA representative to review the job bank for possible employment match, assist with resume', and assign number of job search contacts. Job search contact sheets are reviewed for completeness and reasonableness on a weekly basis by the OTDA representative or employment unit worker. The TA applicant's participation is expected to total 20 hours for the week. The Employment Unit Representative will contact a sample of employers periodically to verify that the participant actually contacted the employer about the job. These reviews will not occur in instances where it is determined that contacting the employer would jeopardize current or future job entry efforts by other TA clients.

Applicant Job Search	Minimum Number of Contacts	Minimum Number of Hours	Additional Information
TANF and SNA MOE	12	20	6 contacts if engaged in a work activity.
SNA Individuals	12	20	6 contacts if engaged in a work activity.

2. The district assigns TA **recipients** to Job Search. Yes No

If yes, the process for engaging TA **recipients** is:

Once the TA case is opened the TA recipient is assigned to the Employment Counselor who will then engage the client in an activity such as ERT or Work Experience. As the client transitions from applicant to recipient the Job Search remains ongoing with the OTDA representative. The job search activity is always in addition to another activity such as work experience or ERT. The ERT program also has a job search component. The recipient is expected to make 6 contacts weekly in addition to participating in the other assigned activity. The Job Search Log contains a section for Time In and Time Out so the TA applicant can keep a time log for how long they were at the employers, the time it took them to travel from one employer to another, and how much time they spent preparing for the contact. The TA recipient meets with the OTDA representative on a monthly basis and the job logs are reviewed for completeness and reasonableness on a weekly basis by either the OTDA representative or an employment worker. The Employment Unit Representative will contact a sample of employers periodically to verify that the participant actually contacted the employer about the job. These reviews will not occur in instances where it is determined that contacting the employer would jeopardize current or future job entry efforts by other TA clients.

- f. Describe the district’s process and policy, including the guidelines workers follow, when determining whether participation in self-employment is approved as part of an individual’s required work activities. If the district always approves self-employment as part of an individual’s required work activities, please note this policy below.
In order for self-employment to be approved there must be creditable documentation indicating work hours and income. The work hours and income should at least be at minimum wage level and a minimum of 30 hours per week. If it appears that this self-employment will not eventually result in self-sufficiency, the self-employment will not be approved.
- g. The allowable work activities that are available in the social services district are listed and defined in the table on the next two pages. An “X” in the appropriate check box indicates the activity is available for individuals receiving Family Assistance (FA), Safety Net Assistance for households with children (SNA Fam), Safety Net Assistance for households without children (SNA IND), and/or Supplemental Nutrition Assistance

Program (SNAP) benefits. A blank check box indicates the activity is not available for that case type.

	Activity and Definition
<ul style="list-style-type: none"> <input type="checkbox"/> FA <input type="checkbox"/> SNA Fam <input type="checkbox"/> SNA Ind <input type="checkbox"/> SNAP 	<p>Unsubsidized Employment - Full time or part time employment in the public or private sector that is not subsidized by TANF or any other public program (excluding employer tax credits). Unsubsidized employment includes self-employment and/or paid internships.</p>
<ul style="list-style-type: none"> <input type="checkbox"/> FA <input type="checkbox"/> SNA Fam <input type="checkbox"/> SNA Ind <input type="checkbox"/> SNAP 	<p>Subsidized Private Sector Employment - Employment in the private sector for which the employer receives a subsidy from TANF or other public funds (excluding tax credits) to offset some or all of the wages and costs of employing and training a recipient in accordance with New York State Social Services Law 336-f. Subsidized private sector employment will include positions subsidized through grant diversion/Transitional Employment Advancement Program (TEAP), supported employment programs, and paid college work study programs at private institutions. Individuals participating in subsidized private sector employment are paid wages and receive the same benefits as unsubsidized employees who perform similar work. An employment situation will be subsidized for up to the full amount of wages/benefits provided to the program participant and will be subsidized for the length of time as determined appropriate by the State or social services district.</p>
<ul style="list-style-type: none"> <input type="checkbox"/> FA <input type="checkbox"/> SNA Fam <input type="checkbox"/> SNA Ind <input type="checkbox"/> SNAP 	<p>Subsidized Public Sector Employment - Employment in the public sector for which the employer receives a subsidy from TANF or other public funds (excluding tax credits) to offset some or all of the wages and costs of employing and training a recipient in accordance with New York State Social Services Law 336-e. Subsidized public sector employment will include positions subsidized through grant diversion/TEAP, supported employment programs, and paid college work study programs at public institutions. Individuals participating in subsidized public sector employment, and work study unless otherwise permitted under a federal work study program, are paid wages and receive the same benefits as unsubsidized employees who perform similar work. An employment situation will be subsidized for up to the full amount of wages/benefits provided to the program participant and will be subsidized for the length of time as determined appropriate by the State or social services district.</p>
<ul style="list-style-type: none"> <input type="checkbox"/> FA <input type="checkbox"/> SNA Fam <input type="checkbox"/> SNA Ind <input type="checkbox"/> SNAP 	<p>Work Experience - Unpaid work performed at a public or not-for-profit organization to enable a participant who has not obtained unsubsidized employment to improve his or her employability. Work experience provides participants with an opportunity to acquire training, knowledge, work habits, and work references necessary to obtain and retain employment. Participation in work experience includes training required for the participant to complete the work experience assignment. For example, an individual who is expected to provide clerical support in a government agency may be provided training to develop or refine filing and data entry skills as needed to perform the tasks required as part of the work activity assignment.</p> <p>In addition to those components noted above, work experience will include unpaid internships that are part of any non-graduate student's education curriculum. (Note: Paid internships are to be reported as employment.)</p>
<ul style="list-style-type: none"> <input type="checkbox"/> FA <input type="checkbox"/> SNA Fam <input type="checkbox"/> SNA Ind <input type="checkbox"/> SNAP 	<p>On-the-Job Training (OJT) - Training in a public or private sector employment setting during which the participant receives work-essential paid training while he or she is engaged in productive work that provides the knowledge and skills essential to attain full and adequate performance of the job.</p> <p>OJT will be unsubsidized (for which the employer does not receive a subsidy) or subsidized using TANF funds or other funds to offset the cost of the training provided to the participant. A subsidized OJT will be subsidized for up to the full cost of providing such training and wages/benefits provided to the program participant. Positions will be subsidized for the length of time determined appropriate by the State or social services district. OJT is distinct from subsidized employment since the individual must participate in workplace training to attain full and adequate job performance and the subsidy provided is intended to offset the cost of such training.</p>

Activity and Definition	
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Community Service - A structured program in which participants perform work for the direct benefit of the community under the auspices of public or nonprofit organizations. Community service placements must be projects that serve a useful community purpose in fields such as health, social services, environmental protection, education, urban and rural redevelopment, welfare, public recreation, public facilities, public safety, and childcare. Community service programs are designed to improve the employability of participants not otherwise able to obtain unsubsidized employment. Participation in community service may include training that is directly required for the participant to complete the community service assignment. For example, an individual who is expected to provide clerical support to a food pantry may be provided training to develop or refine filing and data entry skills.</p> <p>Community service assignments will primarily be voluntary in nature including participation in VISTA, AmeriCorps, and unpaid volunteer activities at a school, Head Start programs, religious or faith-based institutions, community organizations or a nonprofit or public agency but will also include such mandated participation when court ordered. Participation in activities to support these organizations is deemed to provide a service to the community. In those instances, where the participation could meet the federal definition of work experience or community service and the district or program provider would like to have another recipient provide childcare for the community service individual, such hours of work may be reported as participation in community service.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Job Search - The act of seeking or obtaining employment or preparing to seek or obtain employment and will include: looking for suitable job openings in a group or individual setting; making contact with potential employers; learning appropriate workplace expectations and behaviors in preparation for submitting job applications and interviewing; preparing and applying for, and/or interviewing for jobs and related activities.</p>
<ul style="list-style-type: none"> — SNAP 	<p>SNAP E&T Supervised Job Search- The act of seeking or obtaining employment through a job search that is directly supervised and may include: case management services, career exploration, interview preparation, job application assistance, learning appropriate workplace expectations and behaviors in preparation for submitting job applications and interviewing, job leads, and direct job referrals.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Job Readiness Training (JRT) Activities - Participation in programs that include seeking and preparing for work. JRT includes two types of activities: (1) traditional activities of resume preparation, training in interviewing skills, and instruction in workplace expectations, training in effective job seeking, including life skills training; and (2) activities that improve an individual's employability, such as substance abuse treatment, mental health treatment, or rehabilitation activities in which a qualified medical or mental health professional has certified that such treatment is necessary.</p> <p>Traditional JRT activities will include: resume preparation, training in interview skills, instruction in workplace expectations, training in effective job seeking, life skills essential to workplace success, time management, goal setting, budgeting, basic math and literacy skills, household management, interpersonal skills, decision making skills, anger management, parenting skills when it has been determined that such training could help reduce unplanned work leave or apprehension toward entering employment.</p> <p>For TANF and SNA MOE funded families, JRT also includes substance abuse and other treatment and rehabilitative services that are required for individuals who are unable to work or individuals whose employability and employment retention requires such services. Such services, which should be reported on WTWCMS as such, will be deemed within WRTS participation rate logic to be JRT for recipients of TANF and SNA MOE funding but will be deemed to be Community Service for recipients of SNA non-MOE, include:</p> <ul style="list-style-type: none"> • Physical health treatment and rehabilitation services including attending necessary physical therapy, and doctor appointments. Such treatment will include medical, behavioral and other treatment necessary for individuals suffering from substance abuse (current and former users) with such required treatment ranging from detoxification services to after care/abstinence maintenance. • Mental health services including therapy, counseling, and other services to address mental or emotional disorders that can interfere with an individual's daily life functions, ability to work, looking for work or the ability to retain employment.

Activity and Definition	
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Vocational Education - Vocational education is defined as an organized educational program that directly relates to the preparation of individuals for current or emerging occupations that require training up to a four-year degree. Vocational education does not generally include basic or remedial education or English as a Second Language (ESL) but may include work focused general education and language instruction that is a regular or integral part of a vocational education program. Social services districts are responsible for ensuring that any such remedial education or ESL is a regular part of the program for participants with similar skill sets as the TANF/SNA MOE client, is determined necessary by the program provider, and is limited in hours to less than one half of program participation. Vocational education programs include the completion of activities that provide individuals the knowledge and skills to perform a specific trade, occupation or vocation. Vocational education must be provided by an education or training organization.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Job Skills Training - Training or education in job skills to improve a participant’s employability, to ensure clients have the basic skills competencies required by employers to support job entry and/or to advance or adapt to the changing demands of the workplace. Where identified as needed, such training may include the development of basic workplace skills including professional workplace behaviors and decision-making skills. Job skills training may include customized or technical training designed to provide participants with additional workplace skills, post-secondary education courses leading to a bachelor’s or other advanced degree, or other training included under the definition of vocational education training. Job skills training may include literacy instruction, English language instruction, or other basic education for an individual who has already obtained a high school diploma or equivalency when determined from a client’s assessment that such instruction is needed to improve the participant’s employability.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Education Training - Education directly related to employment for a recipient who has not received a high school diploma or equivalency must be related to a specific occupation, job or job offer or otherwise determined based on a client assessment as necessary to improve the participant’s employability to support job entry, retention or advancement. Education directly related to employment may include courses designed to provide the knowledge and skills for general or specific occupations or work settings to ensure clients have the basic skills competencies required by employers and may also include adult basic education, ESL instruction and education leading to a high school equivalency diploma as determined as necessary to improve the participant’s job opportunities in potential occupations. Where identified as needed such training may include the development of basic workplace skills including professional workplace behaviors and decision-making skills.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Secondary School - Regular attendance in accordance with the requirements of the secondary school or a course of study at a secondary school or other State accredited institution leading to a high school equivalence (HSE) diploma, in the case of a recipient who has not completed secondary school or received a certificate of general equivalence. Secondary school participation may include general adult basic education or ESL if it is linked to attending secondary school or leading to a HSE diploma as determined necessary by the educational institution. Secondary School or HSE programs that routinely include ESL, career training, alternative school, tutoring, dropout prevention, teen pregnancy or parenting programs as a requirement of program participation as determined by the educational institution will also be permitted.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Provision of Childcare for Individual Participating in Community Service - Providing unpaid childcare to enable another TA (TANF/SNA MOE funded) recipient to participate in a community service program.</p>
<ul style="list-style-type: none"> — FA — SNA Fam — SNA Ind — SNAP 	<p>Other - Any work activity that does not meet the criteria of any of the above countable activities constitutes participation that is not countable toward federal and State participation rates.</p>

Section 3.5 Job Development

The district conducts or accesses job development services to expand job opportunities for TA and SNAP participants. Yes No

If yes, the district participates in job development activities in the following manner:

District staff contacts employers to solicit jobs for TA and SNAP participants.

Below is the description of how this is done, including number of staff, frequency of contacts, etc.:

District contracts or has an agreement with another agency to contact employers and solicit jobs for TA and/or SNAP participants. Below is the description of how this is done, including number of staff, frequency of contacts.

OTDA Jobs Program staff are charged with job development as indicated in section 2.3. Additional information, if any, is described below:

Section 3.6 Training Approval and Activity Enrollment Policies (Reference 18 NYCRR 385.9)

- a. Describe how the district identifies appropriate education program providers for services of Adult Basic Education, High School Equivalency (HSE) diploma preparation, and English Language Instruction that are available to clients whose assessment indicates such services would be an appropriate work activity assignment:

Providers must be accredited by the New York State Dept. of Education and have demonstrated history of serving the educational needs as it relates to providing education and/or training that leads to job placement.

- b. Describe how the district identifies appropriate program providers of Vocational Education and Job Skills Training programs that are available to clients whose assessment indicates such services would be an appropriate work activity assignment:

Providers must be accredited by the New York State Dept. of Education and have demonstrated history of serving the educational needs as it relates to providing education and/or training that leads to job placement.

- c. Describe the process and guideline workers follow to ensure that individuals who have not attained a basic literacy level and/or have not attained a high school diploma are offered the opportunity to participate in an educational activity:

If it is determined during the assessment that the applicant or recipient has not attained a basic literacy level and/or has not attained a high school diploma, the employment worker will include HSE orientation and HSE attendance on the employability plan. The BOCES personnel will administer the testing required to determine the educational level.

Full-time or part-time attendance will be determined by taking into consideration other activities the client may be participating in.

- d. Describe the district's process and policy, including the guideline workers follow, when determining whether participation in educational activities is approved for individuals who have not attained a high school diploma who are interested in participating in an educational activity. Include in this section instances when the agency would deny participation in educational activities:
The employment worker who conducted the assessment will determine if the individual should be referred to the HSE orientation. The BOCES staff will administer the testing to determine if there is a need for pre-HSE instruction or if the individual is a good candidate for the HSE program. Some instances where the agency would deny participation are: history of past non-compliance, poor performance in past educational activities, and a literacy level not meeting the standard required by the educational activity.
- e. Describe the district's process and policy for determining whether a participant is approved/assigned to participate in job skills or vocational education activities:
An individual must complete a face-to-face interview/assessment prior to training approval. The Employment Unit Representative may identify the need for vocational education or job skills program by reviewing the employment assessment section that covers past employment history or by a face-to-face interview where the client may verbally express an interest in a certain job field. The client's past participation history would be considered in the decision process. Only programs of study that require other than a baccalaureate or advanced degree will be approved.
- f. Describe the highest level of post-secondary level education that the district will approve as a work activity, up to a four-year college program:
If a student is within 12 months of obtaining a degree, up to a four-year college degree and the field of study meets the vocational education definition, the educational activity will be approved.
- g. Describe how the district will ensure that enrollments in post-secondary education beyond the 12-month lifetime limit are combined with a weekly average of at least 20 hours in paid employment activities which may include work study, work experience or community service:
Employment representatives will schedule an update/assessment to determine the appropriate employment activity and require the participant to complete a weekly average of at least 20 hours in paid employment activities, work experience or community service.
- h. Education and training providers are evaluated by the following standards:
Providers must be accredited by the New York State Dept. of Education and have demonstrated history of serving the educational needs as it relates to providing education and/or training that leads to job placement.
- i. The district procedure for advising participants of approved training providers is:
A recipient is notified of approval or denial of training by letter. Prior to approval or denial, the supervisor reviews the information. The participant is informed of approved

training providers during the assessment and orientation phases. Also during other phone and agency contacts.

- j. The district procedure for notifying participants of approval for training or enrollment in a work activity is:
Enrollment in a work activity is discussed at the assessment and is included on the applicant/recipient's employability plan. This plan is signed by the applicant/recipient and a copy is given. The specifics of the placement are supplied by mail. The enrollment letter is generated by CMS.

- k. In accordance with 18 NYCRR 385.9(b), regardless of whether the college program is approved for the participant as an employment work activity, the district will approve as a work activity a work-study, internship, externship or other work placement that is part of a non-graduate student's curriculum unless one or more of the following conditions applies as checked below:

- It has been determined that the student voluntarily quit a job or reduced earnings to qualify for initial or increased TA.

- A job or on-the-job training position that is comparable to the work-study, internship, externship or other work placement cannot reasonably be expected to exist in the private, public or not-for-profit sector.

- The student is not maintaining a cumulative C average (or the equivalent). The district may disregard this provision if the student documents an undue hardship.

- The institution or student fails to monitor and report information regarding the student's attendance and performance as required.

- The student fails to progress toward the completion of a course of study without good cause, as determined by the district.

- The student has previously enrolled in work-study, internship, or other work placement and failed to complete the work placement without good cause as determined by the district.

- Additional reasons as stated below:

- l. To verify continued exempt status, the district will monitor the high school attendance of 16-18 year old students in the following manner:
Teen school attendance is monitored by the Family Assistance Examiner at application/recertification by following the requirements outlined on LDSS 4888, School Attendance Desk Guide.

- m. The district's procedure for ensuring that an individual's health related limitations are accommodated when assigning the individual to a work activity is:
To ensure that accommodations are made for a work limited individual in a work activity, the participant's health related limitations are provided to the worksite supervisor in

writing in the activity placement letter. The worksite agency will be notified in writing if any conditions change.

Section 3.7 Work Verification

Consistent with New York State's approved Work Verification Plan (WVP), and in accordance with the requirements established by the United States Department of Health and Human Services, districts must develop a quality assurance plan to ensure that the data reported, from which their work participation rates are derived, are accurate. The plan must include the district's procedure for monitoring reported scheduled and actual attendance in paid employment and unpaid work activities and the controls in place to ensure that reported exemption statuses resulting in federal exclusions from the work participation rate calculation are accurately made, work eligible individuals are correctly identified, hours of attendance reported are accurate and documented, data entry is accurate and that the district and its providers adhere to the approved work activity definitions and the determination of countable excused absences and holiday reporting within federal limits. Each district must maintain the documentation to verify what is being reported to NYS OTDA.

Each district must describe how it will conduct periodic self audits to determine that system entries are consistent with documentation in case files. The district must also explain how it will choose the sample size, select sample cases and establish the review period (no less frequently than semi-annually). The plan must indicate the district will maintain documentation on all pertinent findings produced through its self audit process and that case records for all reviewed cases will be available for State and other auditors in their review of the local work verification system for the standard 6 year period associated with such reviews.

The district will sample cases from each month within the (6 month) semi-annual period. The October to March review will be due by May 20th. The April to September review will be due by November 20th. The results of these audits will enable the district to identify policies, processes or cases that may need corrective action.

After each self audit is completed, the district must submit a summary of findings to OTDA A&QI at AQI.WV.SelfAudits@otda.ny.gov for State review including specific information on each of the errors identified. In addition, when monitoring reveals substantial problems, the district must describe the corrective action it will take.

The Quality Assurance (QA) plan must include the following elements:

- Ensure that documentation of wages and actual hours of employment is verified and accurately projected/reported and present in the case file, is actual and is projected correctly;
- Ensure that the documentation for actual hours, supervision/attendance, excused absences, and holidays in other activities is present in the case file;
- Assess whether participation in the work activities reported for work eligible individuals meets the approved federal definition for the activity;

- Assess that the data entered into either WTWCMS, NYCWAY or other automated systems used for reporting work activities is accurate, including actual hours, excused absences and holidays; and is based on documentation in the case record; and
- Ensure that documentation necessary to determine an individual to be exempt due to being the parent caretaker of a disabled household member (Employability Code 38 or 48), and/or parent or caretaker relative of a child in the household under 12 months of age, (Employability code 31), is present in the case file and that individuals meet the exempt status based on the required documentation.

The District's Quality Assurance Process is as follows:

The district will perform a random sample of (6) cases semi-annually for **paid work activities** to review district worker collected documentation and data entry. Both the TA and employment case files will be reviewed. Hours of employment will be verified through receipt of pay stubs, employer verification forms or collateral contact with the employer. The review will ensure the hours of employment on the ABEL budget are consistent with the hours reported on WTWCMS and documentation is in the file to support hours reported on WTWCMS and that the scheduled hours on WTWCMS is consistent with the documentation.

The district will perform a random sample of (6) cases semi-annually for participation in **unpaid work activities** to review district worker collected documentation and data entry. The employment case files will be reviewed. Actual hours of attendance will be documented by attendance sheets showing actual hours of attendance, any excused absences during the month, any unexcused absences during the month, and holiday time. The review will ensure the actual hours of attendance reported on the monthly attendance sheets has been correctly reported on WTWCMS, excused absences and holiday time are documented in the case file and correctly reported on WTWCMS in accordance with federal limitations, and documentation of actual hours of attendance is accurate and matches the hours of participation reported on WTWCMS by district or provider staff.

The district will perform a random sample of (3) cases semi-annually in which a case member is reported as an employability code **38-needed in the home fulltime or employability code 48-time limit exemption** to care for a disabled household member to review district worker collected documentation and data entry. The TA case file will be reviewed to ensure there is presence of medical documentation to support the exemption and that the documentation has a timeframe for the exemption and that the individual is the appropriate caretaker.

The district will perform a random sample of (3) cases semi-annually in which a case member is reported as an employability **code 31-caretaker of a child under the age of 12 months** to review district worker collected documentation and data entry. The TA case file will be reviewed to ensure there is documentation from hospital, birth certificate or social security card present to verify the child under the age of one. TA records will also be reviewed to ensure that the household composition is in fact a one parent case and that the individual has not exceeded the 12-month lifetime limit.

The district will review district worker or approved provider/vendor collected documentation and data entry of the above listed elements. The district will assess and verify that participation in the reported work activities listed above meet the State approved definition for the activity.

Use of Outside Providers/Vendors

Does the district utilize outside providers/vendors to collect documentation and enter data directly into WTCMS?

Yes No

If Yes, does the district's provider/vendor collected documentation, data entry and management of WTCMS follow the same process that would be used by the district worker?

Yes No

If No, please describe the process used below:

Section 3.8 Strategies/Procedures for Accommodating Individuals with Limited English Proficiency

Following is a description of how the district accommodates the needs of Non-English-speaking participants in accessing employment activities and services:

Herkimer County will assist non-english speaking individuals with a referral to an ESL class and provide needed supports. Herkimer County has used bilingual staff to assist workers in informing the non-english speaking participants of employment services and their rights and responsibilities. Herkimer County also has access to interpreters by contacting Language Line Solutions (800-752-6096).

Section 3.9 Strategies/Procedures for Increasing Program Attendance

Describe district policies and/or procedures in place to reduce the amount of time participants fail to participate in work activities, including absences that are with good cause:

The Employment Representatives, as part of their interviews, assist the clients in developing a childcare plan as well as a back-up plan. The Employment Representative also counsels the client on the importance of scheduling appointments so that they don't conflict with their work hours. Herkimer Co.'s practice is to schedule agency appointments in a way that doesn't conflict with the client's work activity schedule. The Caseworker who is responsible for post-employment assistance also is available to assist clients through problems that may be affecting their work attendance.

Section 3.10 Strategies/Procedures for Engaging Sanctioned TA Participants

District attempts to engage sanctioned participants as soon as they are sanctioned using the following strategies:

District attempts to engage sanctioned participants when the durational period of the sanction is completed using the following strategies:

— District attempts to engage sanctioned participants during different times in the sanction period using the following strategies.

At next point of contact or recertification a sanctioned individual is offered an opportunity to sign a willing to comply statement. If they choose to comply they may request to be added back on to the case and assigned to an approved activity. After completing five work days in the approved work activity the sanction will be lifted.

Section 3.11 Strategies for reducing the need for TA

District's strategies for reducing the need for TA are described below:

Herkimer Co. Dept. of Social Services utilizes diversion strategies to facilitate and promote an individual's ability to obtain employment, retain employment and eliminate their need for Temporary Assistance. Strategies include: mandatory participation in a 4 week Employment Readiness Program for SN applicants and two parent cases who are able to work, referrals to Temp Employment Agencies and an in-house NYS Jobs representative; direct referrals to job openings and referrals to the One Stop Career Center. Day care applications for individuals requiring services to accept employment are expedited.

Section 4 Support Services

(Reference 18 NYCRR 385.4)

Section 4.1 TA and Non-TA SNAP Applicants and Recipients in Work Activities Approved by the District

- a. The social services district will provide childcare in accordance with the childcare section of the district's Child and Family County Services Plan. The district will also provide for participants the following expenses which the district deems necessary for the individual to participate in orientation, assessment, employment planning, approved work activities and activities to restore self-sufficiency:
Transportation – the least expensive form of transportation that is available will be reimbursed to a participant on a monthly basis. The Herkimer Co. Dept. of Social Services will reimburse recipients with their own vehicles the county established mileage reimbursement rate of 30 cents per mile. Bus passes will be issued when public transportation is available. Mileage is also reimbursed in a situation when another individual gives the participant a ride to and from the approved activity. The participant must submit a written statement signed by the individual providing the transportation. Herkimer Co. Dept. of Social Services will reimburse participants for work related expenses, which are essential for participation in work activities, within limits, and pre-approved by the Herkimer Co. Dept. of Social Services (\$100 max). The Herkimer Co. Dept. of Social Services will provide case management to all Temporary Assistance recipients who are participating in work activities including employment.
- b. The district will use the following approach to assist those participants who need transportation to and from an approved work activity site, including any applicable mileage reimbursement rate, and the method used by the district to arrive at that reimbursement rate. OTDA policy establishes a mileage reimbursement rate of no less than the IRS established rate for medical/moving purposes. In all instances, should the

actual cost of transportation needed to participate in an assigned work activity exceed the reimbursement rate determined by the district, the district will reimburse for the actual costs based on reasonable documentation submitted by the work activity participant.

Please check all that apply:

- Bus pass/token
- Gas card/voucher
- Mileage reimbursement at IRS Business rate, (effective 1/1/19 is 58 cents/mi)
- Mileage reimbursement at IRS Medical/Moving rate, (effective 1/1/19 is 20 cents/mi)
- Other mileage rate, (please explain methodology used to establish reimbursement rate):

Herkimer County attempts to place participants in work activities that are in proximity to their residence or accessible by public transportation. If public transportation is necessary to the department will provide bus tickets to the participant. For those participants who live in a rural area with no public transportation the department will provide a mileage reimbursement at a rate of 30 cents per mile, or the actual cost based on documentation submitted by the work activity participant.

- c. OTDA policy establishes a distance not to exceed 2 miles as the maximum distance that the district can require a participant to walk to a work activity assignment or to access public transportation. The district's policy states that an individual may be required to walk up to the distance described below each way to a work activity or to access public transportation:

Herkimer County would require a participant to walk to a work activity assignment that is within the village limits where they reside. This distance should be no greater than 2 miles. Exceptions to this standard may be made for participants with a disability and parents with issues regarding location of child care.

- d. The district will provide the following services to assist individuals at risk of needing TA to improve their opportunities for employment or to maintain their employment:
Herkimer County may authorize, within limits and pre-approval, supportive services such as: work required clothing, bus passes, and if employed, child care.

Section 4.2 Transitional Support Services

The district will provide the following supports and strategies to support job retention:

Herkimer County assists with child care cost if financial eligible. Bus passes will be offered up until first pay. A voucher for work required clothing is also provided. An Employment Caseworker will assist in accessing child support, upgrading of employment, finding child care, and vocational training opportunities.

The district will provide the following support services, for up to 90 days after case closing, to individuals whose TA cases have closed due to employment:

Employment Caseworker management services.

Section 4.3 Extended Support Services

As long as funding is available (through FFFS, etc.), the district will provide the following supportive services for individuals who are eligible under the TANF Services 200% of poverty eligibility guidelines:

Child care assistance through Child Care Block Grant.

Section 5 Conciliation, Sanction and Dispute Resolution Procedures

(Reference 18 NYCRR 385.11 and 385.12)

Section 5.1 Conciliation

The district's conciliation process for TA applicants and recipients is in accordance with 18 NYCRR 385.11(a). Conciliations are conducted (check all that apply and describe the procedure.):

- in person
- by phone
- by mail

The Herkimer Co. Dept. of Social Services will provide the following conciliation process: Individuals who failed or refused to comply with Welfare-To-Work activity assignments are issued a Conciliation Notification. Response to this notice must be within the 10 day required time frame. Individuals will be advised that the purpose of this meeting is to show that their failure to comply was not willful and was good cause. The conciliation meeting will consist of the individual, an Employment Unit representative and supervisor, and a staff person who is not directly responsible for the customer's case(s). If, in the Herkimer Co. Dept. of Social Services judgment, the individual fails to show good cause or fails to respond to the Conciliation Notification within the prescribed time limit(s), a sanction of the case(s) will be imposed. The Herkimer Co. Dept. of Social Services has ten (10) days to arrive at a determination and inform the individual, in writing, of the agency's decision. When the individual's noncompliance is found to be willful and they fail to show good cause, a sanction is imposed, and the agency will then issue a 10-day Notice of Intent. If the individual is in disagreement with the conciliation finding, a Fair Hearing may be requested.

If the recipient calls and states that they are unable to attend the conciliation, a new date and time will be provided or information will be taken over the phone and the recipient will be given an opportunity to put their good cause in writing and submit any supporting documentation.

The Temporary Assistance good cause/willfulness determination is made by:

- client's employment worker
- a supervisor
- separate entity:

The information taken by the conciliator and the documentation submitted by the recipient or applicant are reviewed by both the employment worker and supervisor. After this case review a determination to sanction or not sanction is made. Quite often the conciliator also takes part in the determination.

The district's conciliation process for SNAP recipients is in accordance with 18 NYCRR 385.11. Conciliations are conducted (check all that apply and describe the procedure.):

- in person
- by phone
- by mail

The SNAP E&T good cause/willfulness determination is made by:

- client's employment worker
- a supervisor
- separate entity:

The district's procedure for engaging SNAP recipients in a work activity to demonstrate compliance to avoid a SNAP E&T related sanction is:

If it is determined that the individual did not have good cause and that the individual willfully failed to comply with required work activities, he/she will be given the opportunity to avoid a SNAP sanction by completing a work activity as assigned. The work activity will be job search. The individual will be required to submit 12 job contacts within 10 days. If the individual successfully completes the job search activity, a SNAP sanction will not be imposed. If the individual fails to submit the 12 required job contacts, a request will be sent by the Employment Unit Worker to the Eligibility Worker to impose the SNAP sanction per Sec. 385.12.

Section 5.2 Sanctions

- a. The district's procedure for determining compliance for those TA recipients who wish to end their employment sanction (18 NYCRR 385.12, 385.13), including the time period established for demonstrating compliance to the satisfaction of the district is:
The sanctioned individual signs a willing to comply statement. The sanctioned individual is then assigned to an approved activity. Once the individual has participated in the activity for 5 consecutive days the sanction will be lifted. Temporary Assistance benefits will be restored retroactive to the date the individual indicated a willingness to comply, but no earlier than the expiration of the minimum duration period.
- b. The district's procedure for determining compliance for those SNAP recipients who wish to end their employment sanction (18 NYCRR 385.12, 385.13), including the time period established for demonstrating compliance to the satisfaction of the district is:
Upon completion of the minimum sanction duration, SNAP individuals who wish to end their employment sanction must show compliance by writing a statement that they are willing to comply. Once the individual has completed an application to be added to the case and completed twelve job search contacts within 5 days the sanction will be lifted. Also, a SNAP individual may be added back to the household if the household provides proof that the individual meets the criteria to be exempt from SNAP work requirements. For the NTA SNAP recipients, we do not mandate SNAP E&T activities, so all they would need to do is reapply once the duration has expired.

Section 5.3 Dispute Resolution

The district's procedure for individuals who wish to dispute their work activity assignments, including individuals who dispute the district's response to their request for health-related accommodations is conducted in accordance with 18 NYCRR 385.11.

The grievance is mediated by:

- An agreement with an independent entity
- Supervisory staff who are trained in mediation and who have no direct responsibility for the individual's case
- Designated supervisory staff who have no direct responsibility for the individual's case and who are not trained in mediation

Section 6 Disability Determinations, Documentation and Requirements of Exempt Individuals

(Reference 18 NYCRR 385.2)

Section 6.1 Disability Determination Process and Tools

The district's process for determining an individual's disabilities and/or work limitations is in accordance with 18 NYCRR 385.2(d). Check **all** that apply, and describe the process:

- District participates in the OTDA managed contract for independent medical evaluations.
- District contracts directly with a physician to provide independent medical evaluations.
- District accepts physician's statement provided by participant.
- District accepts physician's statement provided by participant but refers for an independent evaluation when deemed necessary.
- Other process (please describe):

The local process for reviewing the medical documentation to determine if the individual is exempt, nonexempt, or work limited is as follows:

- District directs the contracted physician or individual's physician to determine status.
- District review team reviews and determines status (described below).
- Specialized disability/medical staff or unit reviews and determines status (described below)
- Other:

The Employment Workers assigned to the medical applicants/recepients review the medical documentation to make a disability determination. If the medical documentation is not clear, then the Employment Supervisor and or physician's office is consulted to assist in the disability determination.

Section 6.2 Mental Health Screening and Assessment

The district is administering a screening tool for TA participants to help determine whether a referral for a mental health evaluation is warranted, in addition to screening for a disability that occurs as part of the application or disability determination process

Yes No (*If No, section 6.2 is complete*)

If yes: Describe the district's policy for determining when a program participant is offered a mental health screen.

If yes: Does the district use the LDSS 5009 - Mental Health Screening Tool and/or the computer assisted version of the Modified Mini Screening tool (MMS)?

Yes No

If using the MMS, indicate the district's cutoff score (7, 8 or 9) for referral to a mental health evaluation:

If using a screening tool other than the MMS, indicate the screening tool used:

Describe the district procedure for referring a participant for a mental health evaluation, when warranted by the screening result:

Section 6.3 Requirements for Exempt TA Participants (Reference 18 NYCRR 385.2 (e))

An exempt individual who has the potential to be restored to self-sufficiency through rehabilitation may be required to accept medical care to assist the individual in recovering from a mental or physical impairment, accept referral to and enrollment in a program of vocational rehabilitation, training, and/or other essential rehabilitation, and provide requested evidence that he/she is participating in the assigned program.

- a. Following is the district's procedure for determining if an individual who is unable to work due to mental or physical impairment has the potential through treatment or other rehabilitative activities to improve the ability to work. This determination is different from the determination of the individual's disability exemption as covered in Section 6.1 of this plan. Included here is who (e.g., medical practitioner, employment worker, TA worker, local review team, etc.) makes or assists in this determination that an individual can restore or improve employability through treatment or other rehabilitative activities. Also included is the source and type of information used to make the determination (e.g., information from individual's medical practitioner, district contracted provider, specialist evaluation obtained as result of district referral, etc.):

Following is the district's process for determining an individual's disabilities and/or work limitations:

At application, re-certification, or as necessary, a determination of an individual's ability to work is made. If a person states they are unable to work, Employment Staff requests a medical/psychiatric statement to be returned in 10 days. If a medical is not received, the case is ineligible until compliance. If a person is not able to work and meets the criteria for SSI, a referral is made. A re-assessment of ability to work will be made at re-certification or when appropriate. The case continues to be monitored and tracked. Referral Process to IMA: The DSS Employment Unit will identify the client based on the listed criteria: client claims to be unable to work or participate in work activities due to a medical or mental health condition and is suspected of not having the alleged medical or mental health issues, client's medical states numerous medical conditions, client's medical from their provider does not identify diagnosis and/or length of time client is unable to work or is contradicted by other evidence, client has demonstrated an inability to successfully participate in work activities or employment and is suspected of having a disability/work limitation that is not being claimed, and client does not have a current treating source or the current treating source is either unable or unwilling to provide documentation needed to determine employability. The referral will be at the discretion of the Employment Unit and made by Employment Unit Staff. The use of IMA will apply to TANF, Safety Net MOE, and Safety Net Non-MOE. Both PA applicants as well as recipients may be referred. IMA will determine employability whenever they are able to. The district will also be using IMA documentation to determine employability.

If a person has limitations to their employability, Employment Staff will request a medical/psychiatric statement (10 days) during their employment assessment. This will be necessary to develop their EP in order to recommend the appropriate employment activities in which the individual is able to participate. Individuals with verified limitations must work with Herkimer Co. Dept. of Social Services staff to access services such as education/training, rehabilitation, etc., that is necessary to remove or reduce their barriers. Individuals must also work with Herkimer Co. Dept. of Social Services staff to apply for SSI/SSD benefits and exhaust all possible appeals in the process.

Whenever a determination of an individual's medical condition is made the Department will notify the applicant or recipient in writing of such determination. The LDSS-4005 Notification of Disability Review Findings and the Right to Contest is sent. The district will inform work activity providers of any individual's work limitations identified as part of the disability review process.

When a recipient with limitations is placed on a worksite, the Herkimer Co. Dept. of Social Services will send a notice advising the agency of these conditions and the necessity of not exceeding the specified limitations. The worksite will be notified if any conditions change.

- b. Following is the district's procedure for developing a treatment plan and for referring the participant to appropriate treatment, etc. Please be specific:

The Employment Worker will review the medical report to determine the treatment plan. If the physician fails to provide a treatment plan, the Employment Worker will phone the physician's office in an attempt to identify the recommended treatment plan.

- c. Following is the district's procedure for tracking the participant's compliance with the treatment plan, including who in the district is responsible for monitoring compliance. Include elements such as monthly confirmation of attendance at rehabilitation or other factors to judge participation and progress, along with how often the treatment plan is updated:

The Employment Worker will request on a monthly or weekly basis attendance verification for required medical appointments. The worker will also request verification of referral appointments, such as to medical specialists.