



NEW YORK STATE  
OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE  
40 NORTH PEARL STREET  
ALBANY, NEW YORK 12243-0001

David A. Paterson  
Governor

David A. Hansell  
Commissioner

March 27, 2009

Ms. Wendy H. Bourgeois  
Commissioner  
Cattaraugus County Department of Social Services  
One Leo Moss Drive, Suite 6010  
Olean, New York 14760

Dear Commissioner Bourgeois:

I am pleased to inform you that your enclosed **Intensive Case Services for Noncompliant Families (ICS3)** plan submitted in response to 08-LCM-13 has been approved in the amount of \$11,018.

These ICS3 funds are available to support your efforts to increase work participation by TANF-eligible recipients who are subject to or have been sanctioned for noncompliance with work activities as described in your approved ICS3 plan. If your district's approved plan includes ICS services to TANF-eligible participants who are not fully engaged, please note that no more than 20% of the district's ICS3 allocation may be used to provide services to such recipients.

Financial claims should be submitted to the Bureau of Financial Services as described in the claiming instructions included in 08-LCM-13 *Funding for Intensive Case Services for Noncompliant Families (ICS3)*. Program outcome measures are reported quarterly to OTDA through the TANF Reporting and Control System 2 (TRACS 2). Reporting guidelines are enclosed. Detailed reporting instructions will be provided separately.

Thank you for your continued efforts to engage all families receiving temporary assistance in work preparation activities so they may successfully enter the workforce. If you have any questions regarding this program, please contact Libby McGinn at (518) 486-6106 or your Employment Technical Advisor.

Sincerely,

A handwritten signature in black ink, appearing to read 'RS', written over a horizontal line.

Russell Sykes  
Deputy Commissioner  
Center for Employment and Economic Supports

Enclosure

cc: Michele Hoffman  
Darcell McDonald  
Libby McGinn

*"providing temporary assistance for permanent change"*

**Program Narrative for Intensive Case Services (ICS3)  
Services for TANF-Eligible Participants-Noncompliant**

District Name: Cattaraugus County

Contact Name and Number: Michele E. Hoffman (716)701-3585

ICS funds budgeted for services to TANF-eligible noncompliant participants:

\$ 8814.00

Anticipated number of TANF-eligible noncompliant participants to be served during program period: 35-40

**I. Program goals and services**

A. List the specific goals of the project for TANF-eligible, noncompliant participants.

*The goal of this project will be to bring sanctioned individuals into compliance with federal work activity requirements. To address this population, the Department will assign an Employment Specialist, who is familiar with DSS regulations, work requirements, eligibility components, and community resources, to look at cases that are in jeopardy of case reduction and/or sanction for non-compliance. The Specialist will make direct contact with this population utilizing all methods of contact. The Specialist will schedule office visits and make home visits to conduct a more in-depth assessment including identifying potential barriers to compliance and arrange appropriate services if necessary. The worker will go over work requirements, assess the family situation to determine if the individual or household has an exemption that may not have been noted and review child care, transportation, and other issues that may be a barrier to compliance. Through knowledge of community resources, the Employment Specialist will be able to refer individuals to programs that offer job coaching, job development and on-the-job training. In addition, if appropriate, the Employment Specialist will refer individuals for medical evaluations and follow up on any recommendations of the medical provider.*

B. Describe the process that will be used to identify and refer TANF-eligible, noncompliant participants for ICS services.

*The Agency utilizes a database that tracks compliance in work activities along with WJWCMS. When an individual is assigned to activities and fails to comply they are immediately referred to the Employment Specialist to attempt to make contact. Time sheets are also a good tool to immediately see if the individual is experiencing problems at the site or has poor attendance. Work site providers and community partners immediately notify the Agency if the client stops attending or is in need of intervention. Communication has always been key to keeping the person engaged.*

- C. Explain the method of outreach that will be used to initiate contact with TANF-eligible, noncompliant participants. Additionally, identify the two different types of outreach that will be used before any action is taken to discontinue public assistance benefits for failure to comply with a public assistance eligibility requirement that is included as a component of an ICS program plan.

*Home visits seem to be the most effective method in re-engaging individuals who are non-compliant. Often times, the issues confronting the client can be cleared up or resolved with moderate assistance. Often times, the individual is overwhelmed with a family situation and unable to communicate the problem in an office setting. The worker is able to get a better sense of the situation and the individual is more relaxed and receptive in their own surroundings.*

*Scheduled appointments in the office and phone calls are other methods utilized. Several attempts are made prior to the Agency taking negative action.*

- D. Describe the case management services and other activities that will be provided to assist TANF-eligible, noncompliant participants to identify and address barriers and increase participation in work or work-preparation activities.

*The Employment Specialist will offer a broad array of case management services and other activities to engage clients. The worker will assess the family situation in depth. The worker will review basic literacy scores and prior education. The worker will review short and long term goals and look at the potential for vocational educational services. The Agency also refers individuals to community partners when appropriate. Some of the partners utilized are Everywoman Opportunity Center, Mental Health Association, Literacy Volunteers, BRIDGE, GED providers, VESJD, Employment Connection, and The One Stop Career Center, to name a few. Case management with an in-depth assessment, appropriate referrals, supportive services, job coaching, mentoring, resume preparation and assistance, help to alleviate or remove what was a "barrier" or problem.*

**H. Project Staff and Duties**

Identify the project staff and duties for each provider or district staff providing services to TANF-eligible, noncompliant participants.

Position/Title	Estimated Percentage of Time on ICS Program	Duties
<i>Employment Specialist</i>	<i>Apx. 1/4</i>	<i>The Specialist will do in-depth case management and assessments with the non-compliant population. The worker will make several contacts to engage the individual and will make appropriate referrals. The worker will also be responsible to track and monitor compliance and enter all data on the spreadsheet and into WFWCMS. The worker will also provide quarterly reports to the Chief Supervisor and the Deputy Commissioner who enters the data into IRACS.</i>

### III. Data Collection

Briefly describe the mechanism that will be used to collect the data to be reported on the TANF Reporting and Control System (TRACS 2).

*Information on services and outcomes are maintained both on the JCS spreadsheet and on WFWCMS. The spreadsheet lists names, dates of contact, method of contact, comments and outcomes. At the end of each quarter results are tabulated and outcomes are reported on TRACS.*

**Program Narrative for Intensive Case Services (ICS3)  
Services for TANF-Eligible Participants - Not Fully Engaged**

Note: This form only needs to be completed if the district intends to use up to 20% of their ICS allocation to provide services to this eligible population.

**District Name:** Cattaraugus County

**Contact Name and Number:** Michele E. Hoffman (716)701-3585

ICS funds budgeted for services to TANF-eligible participants who are not fully engaged: \$ 2204.00

Anticipated number of TANF-eligible participants who are not fully engaged to be served during the program period: 25-30

**I. Program goals and services**

A. List the specific goals of the project for TANF-eligible participants who are not fully engaged in countable work activities.

*The Agency will utilize many of the same methods to serve the "Not fully engaged" population as we do for the "Non-compliant" population. The goal for this population is to maximize the individual's potential. The Employment specialist will meet with individuals who are not fully engaged and do an in-depth assessment. The employment specialist will review basic literacy scores, prior work history, medical restrictions or limitations, assess potential barriers and go over with the individual their short and long term goals. The Employment specialist will review potential vocational education courses, will assist the individual up-date their resume and refer the individual for on-the-job training for employment. The Employment specialist will connect the individual with job coaches if appropriate and connect them to OTDA's JOBS staff and Labor Market Specialists at the One Stop Career Center.*

B. Describe the process that will be used to identify and refer TANF-eligible participants who are not fully engaged in countable work activities for the ICS program.

*The Employment unit staff begin the assessment of individuals applying for assistance on day one. An individual is immediately scheduled for the TABE test to get a baseline of their basic literacy. Individuals are also scheduled to meet with an Employment Specialist to review work history, medical limitations or restrictions, educational level etc... If the individual is able to work they are immediately assigned to see the JOBS staff and also required to do a job search. Individuals may also be assigned to work activities such as job club, resume preparation, GED classes, job skills training, and work experience if appropriate. All assignments are document and monitored by time sheets. If for any reason the individual fails to participate in countable work activities, the individual is referred to the ICS program.*

- C. Explain the methods of outreach that will be used to initiate contact with TANF-eligible participants who are not fully engaged in countable work activities. Additionally, identify the two different types of outreach that will be used before any action is taken to discontinue public assistance benefits for failure to comply with a public assistance eligibility requirement that is included as a component of an ICS program plan.

*As with the "non-compliant" population, several methods of outreach are used to reach out to the "not fully engaged" population. Home visits seem to be the most effective method as the worker has the opportunity to connect with the individual in their own surroundings which typically will allow the individual to be more candid as to why they failed to participate in the work assignment. The Agency will also attempt to reach individuals by telephone, mail and scheduled appointments.*

- D. Describe the case management services and other activities that will be provided to assist TANF-eligible participants who are not fully engaged in countable work activities to identify and address barriers and increase participation in work or work preparation activities.

*The Employment Specialist will offer a broad array of case management services and other activities to engage individuals in work and/or work activities. The worker will do an in-depth assessment, address the family situation, review prior work history, review educational levels, review medical limitations or restrictions, review long and short term goals, and any barriers that may be preventing the individual from fully participating. The worker will address supportive services that may be appropriate, review budgeting to show the benefits of work, and refer the individual to any and all appropriate community partners. Case management with an in-depth assessment, appropriate referrals, supportive services, job coaching, mentoring, resume preparation and assistance, help to alleviate problems and increase the individual's potential in work and/or work activities.*

## II. Project Staff and Duties

Identify the project staff and duties for each provider or district staff providing services to TANF-eligible participants who are not fully engaged in countable work activities

Position/Title	Estimated Percentage of Time on ICS Program	Duties
<i>Employment Specialist</i>	<i>Apx. 1/16</i>	<i>The Specialist will do in-depth case management and assessments with the not-fully engaged population. The worker will make several contacts to engage the individual and will make appropriate referrals. The worker will also be responsible to track and monitor compliance and enter all data on the ICS spreadsheet and into WFWCMS. The worker will also provide quarterly reports to the Chief Supervisor and the Deputy Commissioner who enters the data into IRRES.</i>

### **III. Data Collection**

Briefly describe the mechanism that will be used to collect the data to be reported on the TANF Reporting and Control System (TRACS 2).

*Information on services, assignments, activities and outcomes are maintained on both the JCS spreadsheet and on WJWEMS. The spreadsheet lists names, dates of contact, method of contact, comments and outcomes. At the end of each quarter results are tabulated and outcomes are reported on TRACS.*

**Intensive Case Services for Noncompliant Families Baseline Budget Form**

**ICS 3**

ICS 3 Program Cycle: January 1, 2009-December 31, 2009

**Program Cycle must fall within expenditure period of January 1, 2009 - December 31, 2009**

Local Department of Social Services \_\_\_\_\_

Cattaraugus County

Provider Agency \_\_\_\_\_

Cattaraugus County DSS

<b>Budget Categories</b>			
	NON-ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 6,387.00	\$ -	\$ 6,387.00
2. Fringe Benefits	\$ 2,027.00	\$ -	\$ 2,027.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 8,414.00</b>	<b>\$ -</b>	<b>\$ 8,414.00</b>
<b>NON-SALARY COSTS</b>			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
<b>9. Total Non-Salary Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>10. Overhead Costs Allocated</b>		\$ 200.00	\$ 200.00
<b>11. A-87 Costs Allocated</b>		\$ 200.00	\$ 200.00
<b>PARTICIPANT RELATED COSTS</b>			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
<b>15. Total Participant Related Costs</b>	<b>\$ -</b>		<b>\$ -</b>
<b>16. Total Project Costs</b>	<b>\$ 8,414.00</b>	<b>\$ 400.00</b>	<b>\$ 8,814.00</b>

\* If the District plans to subcontract with a local provider agency for program services, a separate Baseline Budget Form must be completed and submitted for each subcontractor.

Budget Narrative - Please use Budget Form 3A to provide a brief narrative for categories 4, 5, 6, 7, 8, 12, 13 and 14.

**Intensive Case Services for Noncompliant Families Baseline Budget Narrative Form**

**ICS 3**

Local Department of Social Services \_\_\_\_\_

Cattaraugus County \_\_\_\_\_

Provider Agency \_\_\_\_\_

Cattaraugus County DSS \_\_\_\_\_

Budget Categories	
4. Contractual Costs:	
N/A	
5. Staff Travel Costs:	
N/A	
6. Equipment Costs:	
N/A	
7. Supplies:	
N/A	
8. Other Direct Expenses:	
N/A	
12. Work-Related Supports:	
N/A	
13. Participant Transportation:	
N/A	
14. Other Participant Related Costs:	
N/A	

**Intensive Case Services for Not Fully Engaged Families Baseline Budget Form**

ICS 3

ICS 3 Program Cycle: January 1, 2009-December 31, 2009

**Program Cycle must fall within expenditure period of January 1, 2009 - December 31, 2009**Local Department of Social Services Cattaraugus CountyProvider Agency Cattaraugus County DSS

<b>Budget Categories</b>			
	<b>NON-ADMINISTRATION COSTS</b>	<b>ADMINISTRATION COSTS</b>	<b>TOTAL COSTS</b>
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 1,582.00	\$ -	\$ 1,582.00
2. Fringe Benefits	\$ 472.00	\$ -	\$ 472.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 2,054.00</b>	<b>\$ -</b>	<b>\$ 2,054.00</b>
<b>NON-SALARY COSTS</b>			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
<b>9. Total Non-Salary Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>10. Overhead Costs Allocated</b>		<b>\$ 50.00</b>	<b>\$ 50.00</b>
<b>11. A-87 Costs Allocated</b>		<b>\$ 100.00</b>	<b>\$ 100.00</b>
<b>PARTICIPANT RELATED COSTS</b>			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
<b>15. Total Participant Related Costs</b>	<b>\$ -</b>		<b>\$ -</b>
<b>16. Total Project Costs</b>	<b>\$ 2,054.00</b>	<b>\$ 150.00</b>	<b>\$ 2,204.00</b>

\* If the District plans to subcontract with a local provider agency for program services, a separate Baseline Budget Form must be completed and submitted for each subcontractor.

Budget Narrative - Please use Budget Form 4A to provide a brief narrative for categories 4, 5, 6, 7, 8, 12, 13 and 14.

**Intensive Case Services for Not Fully Engaged Families Baseline Budget Narrative Form**

**ICS 3**

Local Department of Social Services \_\_\_\_\_ Cattaraugus County \_\_\_\_\_

Provider Agency \_\_\_\_\_ Cattaraugus County DSS \_\_\_\_\_

<b>Budget Categories</b>	
4. Contractual Costs:	
N/A	
5. Staff Travel Costs:	
N/A	
6. Equipment Costs:	
N/A	
7. Supplies:	
N/A	
8. Other Direct Expenses:	
N/A	
12. Work-Related Supports:	
N/A	
13. Participant Transportation:	
N/A	
14. Other Participant Related Costs:	
N/A	

**Intensive Case Services (ICS) 3  
Program Outcome Measures  
Reporting Guidelines**

**March 2009**

Districts are required to report program outcome measures supported by Intensive Case Services (ICS) funds. Districts previously reported program outcomes for the SFY 06-07 ICS and SFY 07-08 ICS programs via the TANF Reporting and Control System (TRACS) based on the number of participants served and the associated program outcomes achieved during the respective reporting quarter. Districts will report ICS3 program outcomes achieved during Calendar Year 2009 through TRACS2. Program outcomes will be submitted quarterly as in previous cycles, however, instead of reporting one (grand) total number for the quarterly reporting period for each question, the screen will prompt the user to input a number for each of the three months for that quarter. The due date for such reports are as follows:

<b>Reporting Quarter</b>	<b>Due Date</b>
January, 2009 - March, 2009	4/15/09
April, 2009 - June, 2009	7/15/09
July, 2009 - September, 2009	10/15/09
October, 2009 - December, 2009	1/15/10

The system changes needed to support the reporting of ICS3 outcomes are under development, but the following guidelines should be used to identify the program outcomes to be reported on TRACS2. Districts will receive detailed reporting instructions, including information on how to access TRACS2 before April 15, 2009. The information below provides a summary of the program outcomes that districts will be required to submit for the ICS3 program.

Note: Financial claims are not submitted through TRACS 2 and should be submitted to the OTDA Bureau of Financial Services consistent with the Claiming Instructions described in 08 LCM-13.

**Eligible Population**

Participants served under the ICS Program must be eligible to receive TANF-funded non-assistance services and must be in receipt of TANF (case types 11 or 12) or Safety Net MOE (case type 16 or 17 with state charge code 63 or 64). This includes two-parent families eligible for TANF-funded non-assistance as described in 06 LCM-09. Eligible participants also must be:

- individuals who are noncompliant (subject to penalty or in sanction status for failure to comply) with work requirements, or
- individuals who are not fully engaged in countable work activities, including those employed part time (up to 20% of a district's allocation may be spent on efforts to target this population).

The outcomes for **each** eligible population served under the Intensive Case Services Program will continue to be reported separately for those districts serving both eligible populations as described below. Districts that have targeted 100% of their ICS3 allocation only need to report program outcomes associated with the noncompliant population.

The program outcome reporting elements are broken down into 4 categories and are described below.

### **I. Participants served during the report month**

- 1. Unduplicated number of participants served during the report month:** Report the unduplicated number of participants that received one or more ICS funded service during the report month. An ICS funded service may include, but is not limited to: providing information to clarify the reason for the sanction and how the family's grant is affected; enhanced assessments; home visits or other ICS related contact with family, and case management services.

### **II. Participants successfully contacted during report month**

- 2. Number of participants contacted by letter/call-in:** Report the number of participants that responded to a contact letter/call-in sent during the reporting month.
- 3. Number of participants contacted by phone call:** Report the number of participants that responded to a phone contact made during the reporting month.
- 4. Number of participants contacted by home visit:** Report the number of participants that received a home visit during the reporting month.
- 5. Number of participants contacted by other means:** Report the number of participants that responded to outreach made during the reporting month by some means other than those listed above.

Note: A participant who responds to more than one method of outreach during the reporting month would appear in all those that applied.

### **III. Engagement outcomes for report month**

- 6. Number of participants successfully engaged in work activities for the first time following contact:** Of the number of participants served, report the number of participants who began participation in work activities, including employment, during the reporting month.

#### Notes:

Participants who continue to participate in work activities during subsequent report months would not be reported in this data element, but would be reported in #10, if he/she

continues to participate in such activities for a minimum of 3 months following the initial placement in work activities.

Participants determined to be exempt and engaged in treatment or rehabilitation should be reported under reporting element #8 even though the district may report the activity on WTWCMS as job readiness training.

7. **Number of participants successfully engaged in necessary treatment for the first time following contact:** Of the number of participants served, report the number of participants determined exempt and who began participation in treatment, rehabilitation or medical care during the reporting month.

Note: Participants who continue to participate in necessary treatment in subsequent report months would not be reported in this data element, but would be reported in #10, if he/she continues to participate in such activities for a minimum of 3 months following the initial placement in necessary treatment.

8. **Number of participants that remain unengaged without good cause:** Report the unduplicated number of participants served who continue to refuse to engage in work activities or other appropriate services during the reporting month.
9. **Number of participants with newly reported income:** Report the number of participants who obtain employment during the reporting month, or whose current employment was obtained before the reporting month, but is discovered by the district during the reporting month.
10. **Number of participants that remain engaged in work activities or necessary treatment for a minimum of 3 months following initial placement:** Of the number of participants successfully engaged in work activities (including employment) or necessary treatment in a previous report month (outcomes #6 and #7), report the number of participants who remain successfully engaged in such activities for a minimum of 3 months following the initial placement.

#### IV. Cases closed during the report month

11. **Number of cases closed due to income from employment obtained during the report month:** Report the number of cases closed during the reporting month due to income obtained during the reporting month. (Note: These participants should also have been included in reporting element #9.)
12. **Number of cases closed because district was unable to locate the participant:** Report the number of cases closed during the reporting month because the district was unable to locate the participant.
13. **Number of cases closed for failure to respond to outreach (excludes households the district was unable to locate):** Report the number of cases closed during the reporting

month for failure to comply with public assistance eligibility requirements which have been included as a component under the ICS program.

14. **Number of cases closed because of newly reported income prior to report month:** Report the number of cases closed during the reporting month due to income that was obtained prior to the reporting month, was previously unreported, and when budgeted, makes the household ineligible.
15. **Number of cases closed at the request of the participant:** Report the number of cases closed during the reporting month at the request of the participant.
16. **Number of cases closed for any reason other than those listed:** Report the number of cases closed during the reporting month for reasons other than those listed above.

OTDA is required to provide quarterly performance and expenditure data for programs funded by TANF, including the Intensive Case Services program. Districts are reminded that the program outcomes reported in the TRACS 2 system will be summarized with ICS3 expenditures based on claims submitted by districts and posted to the ICS Performance and Accountability matrix that will be available on the OTDA website at <http://www.otda.state.ny.us/main/pma>. Therefore, districts should ensure that program outcomes and claiming information are up-to-date, complete and accurate when submitted.

If you have any reporting questions, contact Libby McGinn at (518) 486-6106.