



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 26, 2009

Mr. Steven T. Wickmark
Commissioner
Chautauqua County Department of Social Services
H.R. Clothier Building
7 North Erie Street
Mayville, New York 14757

Dear Commissioner Wickmark:

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 \$48,851.

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,

Russell Sykes
Deputy Commissioner
Center for Employment and Economic Supports

Enclosure

cc: Rose Lancione
Darcell McDonald
Libby McGinn

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

District Name: Chautauqua County

Contact Name and Number: Rose Ann Lancione (716) 363-3512

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

\$ 48,851

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

75

I. Program goals and services

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

The goals of this project are to assist sanctioned individuals and those in conciliation in overcoming barriers that may prevent them from participating in work activities. This will be achieved through intensive individualized contact from district staff.

Chautauqua County has had success with our past model and we plan to continue the same basic model. Teams, consisting of Case Managers from Temporary Assistance and/or Community Service Workers from our Children and Family Services Unit, will initially conduct home visits for each sanctioned individual or for those in danger of being sanctioned due to non-compliance with work requirements. The team will fully assess the family's strengths and barriers, using Chautauqua County's version of the State Assessment Tool. Upon completion of the in depth assessment, the team will complete our local Family Measurement Scale. This tool will be used as a measure of progress in the family's development.

In-home assessments have proven to be a valuable tool as seeing the participant in their home setting provide a more complete view of the family's strengths and needs. The home visits have also served to strengthen the relationships between the case manager and the individual which in turn can aid in the cooperative effort to overcome barriers.

If the participant is willing to work on their barriers, break their sanction and move toward self-sufficiency, the team will continue to work with the participant independently, through home visits, community visits and educational "field trips". At each contact, a different topic will be discussed with the individual (such as management of household income, childcare, coping with home & family, job search, accessing local resources, goal setting, and problem solving and giving back to the community). (While most of these topics are discussed during the initial DSS assessment process, we feel that, by discussing a topic at a time, we can better address questions and assure better understanding.)

Referrals to other DSS programs as well as community agencies are made during the contacts. Again, while referrals are a regular part of DSS case management services, this project allows for more one-on-one time with the participants, thus allowing time for an in-depth discussion of the benefits of each program.

A strong message of the benefits of employment is delivered at each contact. We use the tools developed by OTDA, such as the Work Pays graph. Chautauqua County DSS is also a VITA site and strongly promotes VITA and EITC benefits.

In past years, we have offered incentives for compliance. Incentives included items such as: a card for a free haircut/styling, a phone card for calling possible employers, resume paper, envelopes and stamps, motivational tapes or books. Incentives were given only after the client has met a certain benchmark. Benchmarks include: breaking a sanction and complying for at least 7 days, remaining compliant for 30 days, new or increased earned income, case closing due to new or increased income. Due to limited funds in 2009, use of incentives will be limited.

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

Monthly COGNOS reports are run and distributed to the supervisors working with the ICS staff. Individuals, who have not yet been assigned to an ICS Team, are then assigned to a team based on current workload size. In addition, within each office, we have one ICS Team who works specifically with individuals in conciliation status. There is a process in place to notify the ICS Team whenever a conciliation notice is sent out on any individual. Our goal is to contact each individual immediately following the receipt of the conciliation notice in an attempt to explain the regulations and to identify and resolve any barriers which may be preventing compliance and therefore prevent the sanction from occurring.

- C. Explain the method of outreach that will be used to initiate contact with TANF-eligible, non-compliant 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.

Initial contact is usually by phone or letter to set up an appointment for a home visit. Occasionally an unannounced home visit may be made, especially if the ICS Team has scheduled home visits in the vicinity and they have been unable to contact the individual by phone.

If the individual is willing to work with the ICS Team in overcoming the barriers preventing participation in work activities, no adverse actions will be taken. The Team will continue to work intensively with the individual until he or she is compliant.

After the Team has made at least 3 contacts (home visits, community visits, phone or office) with the participant, he/she is still unwilling to cooperate with the Team; he/she will be assigned to a monthly sanction workgroup ("Pathways"-like). Clients are notified by letter that explains that

attendance is an eligibility requirement and failure to attend may result in case closing. At these meetings we will provide information, such as what their TA grant would look like if the individual were no longer sanctioned and what would happen if they had earned income and supportive services that are available; interviewing techniques, appropriate, workplace behavior, etc.

- 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.

Please see above.

In 2008, we used a portion of our funding to contract with Denise Schaller. She has provided "No One Is Unemployable" sessions for our sanctioned population, as well as planned follow up sessions. These sessions have been very well received by our participants. We are in the process of trying to identify other funding to bring this highly effective training back for newly sanctioned individuals in 2009. The ICS Staff is, however, equipped with Ms Schaller's "Tool Kit" and is currently incorporating it into home visits as well as the monthly Pathways-like sanction groups. This practice will continue into 2009, even if no other funding is available to contract with Ms Schaller.

II. 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
6 Case Managers	12.5%	Provide a strength based approach to case management. Establish a supportive relationship with the individual and help him/her develop a plan to overcome barriers in an attempt to bring the individual into compliance and ultimately become self-sufficient.
3 Community Services Workers	12.5%	Assist the case manager in providing a strength based approach to case management. Establish a supportive relationship with the individual and help him/her develop a plan to overcome barriers in an attempt to bring the individual into compliance and ultimately become self-sufficient.
2 Senior Social Welfare Examiners (1 in each branch office)	Up to 12.5%	Day to day monitoring and supervision of ICS Teams. Assigns new cases to ICS Teams. Coach staff. Conduct regular case reviews of ICS participants with ICS staff. Also assist ICS Teams, as needed with home visits, or monthly group sessions.
	Up to 12.5%	Overall monitoring of the project, maintaining reports for

1 Principal Social Welfare Examiner		the project, reporting of data. Coaching of case managers and community services workers involved with the project. Coordinates and facilitates events and ICS staff monthly meetings. Assures compliance with project plan. Monitors expenditures.

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).

Each ICS Team maintains an EXCEL spreadsheet listing each individual they have worked with during the quarter. The spreadsheet captures all contacts made, type of contact (phone, home visit, etc.), barriers identified, goals achieved. At the end of each quarter, the ICS staff forwards the spreadsheets to the Principal Social Welfare Examiner, who then compiles the information into one spreadsheet. This spreadsheet is then used to enter data into TRACS 2.

Intensive Case Services for Noncompliant Families Baseline Budget Form**ICS 3**

ICS 3 Program Cycle: 1/5/09 through 7/10/09 (27 weeks)

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

Local Department of Social Services Chautauqua County
Provider Agency _____

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 29,398.00	\$ 3,467.00	\$ 32,865.00
2. Fringe Benefits	\$ 12,788.00	\$ 1,508.00	\$ 14,296.00
3. Total Salary & Fringe Benefits	\$ 42,186.00	\$ 4,975.00	\$ 47,161.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 1,485.00	\$ -	\$ 1,485.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies		\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 1,485.00	\$ -	\$ 1,485.00
10. Overhead Costs Allocated		\$ -	\$ -
11. A-87 Costs Allocated		\$ -	\$ -
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ 205.00		\$ 205.00
13. Participant Transportation			\$ -
14. Other Participant Related Costs			\$ -
15. Total Participant Related Costs	\$ 205.00		\$ 205.00
16. Total Project Costs	\$ 43,876.00	\$ 4,975.00	\$ 48,851.00

* 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 _____ Chautauqua County _____

Provider Agency _____

Budget Categories

4. Contractual Costs:

5. Staff Travel Costs:

100 miles per week at \$.55 per mile for 27 weeks.

6. Equipment Costs:

7. Supplies:

8. Other Direct Expenses:

12. Work-Related Supports:

Incentives that cannot be covered under supportive services, such as motivational tapes and books or work related equipment that may be needed to overcome a barrier. (Example a special alarm clock for a hearing impaired participant who has started a job.)

13. Participant Transportation:

14. Other Participant Related Costs:

**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:

Reporting Quarter	Due Date
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.