



David A. Paterson
Governor

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

David A. Hansell
Commissioner

April 28, 2009

Ms. Lesley Lyon
Commissioner
Franklin County Department of Social Services
355 West Main Street, Suite 331
Malone, New York 12953-1877

Dear Commissioner Lyon:

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 \$11,355.

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 'RSY', written over a horizontal line.

Russell Sykes
Deputy Commissioner
Center for Employment and Economic Supports

Enclosure

cc: Debra Lewis
Keri Stark
Libby McGinn

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

District Name: FRANKLIN

Contact Name and Number: Debra Lewis, Employment Coordinator: 518-481-1774

ICS funds budgeted for services to TANF-eligible **noncompliant** participants: **\$9084**

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

I. Program goals and services

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

TANF-eligible clients who are subject to penalty for non-compliance will receive multiple home visits and/or phone calls from a team of workers who will identify barriers to self sufficiency and help provide resources to the client to overcome those barriers. It is believed that more can be learned about barriers by observation and interacting with the client in his or her own home and through an office visit.

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

The team will continue to prioritize clients to receive visits starting with those who have had previous visits and have been identified as having barriers to self-sufficiency which need to be addressed (visits will be in accordance with 18NYCRR 351.28 and 95ADM24). New clients will be added as identified through a monthly pull down on Cognos. The population who may have previously received Learning Disability, Bridge or other intensive case management services prior to being sanctioned or during a previous sanction is included, even if they have not been sanctioned the longest.

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.

All visits will be scheduled in advance by phone or letter. If there is no contact on the first visit, it will be rescheduled one time. A letter is sent to schedule all appointments. The only time a phone contact would be used is in the event of a returned letter due to address change or a last minute add-on to the day's schedule.

- 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 team has been successful in educating some clients on the benefits of being added back to the case. Some clients have chosen to close their case rather than continue with home visiting.

Case Management services will include but are not limited to:

- Assessment of barriers and education on solutions.
- Help with transportation, car loans, bus tokens, etc.
- Transport clients to job interviews and other required employment-related appointments to provide moral support as well as transportation.
- Coaching with job skills and interview preparation.
- Referrals to other services such as day care, substance abuse, mental health, etc.

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
Employment Coordinator	10%	In-kind DSS Responsible for identifying and scheduling home visits, participates in home visits.
Social Welfare Examiner	10%	In Kind DSS Participates in home visits – writes up notes – educates clients of benefits of being added to the case.
Employment and Training Assistant	10%	Paid out of ICM Budget From One Worksource – salary is partially supported by DSS. Career Development Center is the contract agency for our welfare-to-work program. Participates in home visits, provides case management services.

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).

Manual tracking of all visits/dates on Home Visit Assessment sheets along with debriefing and follow-up and then entered into 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: FRANKLIN

Contact Name and Number: Debra Lewis, Employment Coordinator: 518-481-1774

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

\$ 2271

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

15

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.

TANF-eligible clients who are not fully engaged receive multiple home visits and/or phone calls from a team of workers who will identify barriers to self sufficiency and help provide resources to the client to overcome those barriers. It is believed that more can be learned about barriers by observation and interacting with the client in his or her own home and through an office visit.

- 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 team will continue to prioritize clients to receive visits starting with those who have had previous visits and have been identified as having barriers to self-sufficiency which need to be addressed (visits will be in accordance with 18NYCRR 351.28 and 95ADM24. New clients will be added as identified through a monthly pull down on Cognos. The population who may have previously received Learning Disability, Bridge or other intensive case management services is included. In addition, some are added with referrals from the Employment and Training Counselors.

- 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.

All visits will be scheduled in advance by phone or letter. If there is no contact on the first visit, it will be rescheduled one time. A letter is sent to schedule all appointments. The only time a phone contact would be used is in the event of a returned letter due to address change or a last minute add-on to the day's schedule.

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.

Case Management services will include but are not limited to:

- **Assessment of barriers and education on solutions.**
- **Help with transportation, car loans, bus tokens, etc.**
- **Transport clients to job interviews and other required employment-related appointments to provide moral support as well as transportation.**
- **Coaching with job skills and interview preparation.**
- **Referrals to other services such as day care, substance abuse, mental health, etc.**

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
Employment Coordinator	10%	In-kind DSS Responsible for identifying and scheduling home visits, participates in home visits.
Social Welfare Examiner	10%	In Kind DSS Participates in home visits – writes up notes – educates clients of benefits of increased participation.
Employment and Training Assistant	10%	Paid out of ICM Budget From One Worksource – salary is partially supported by DSS. Career Development Center is the contract agency for our welfare-to-work program. Participates in home visits, provides case management services.

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).

Manual tracking of all visits/dates on Home Visit Assessment sheets along with debriefing and follow-up and then entered into 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
 Provider Agency

Franklin
One Worksource-Franklin County

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 5,000.00		\$ 5,000.00
2. Fringe Benefits	\$ 1,750.00		\$ 1,750.00
3. Total Salary & Fringe Benefits	\$ 6,750.00		\$ 6,750.00
NON-SALARY COSTS			
4. Contractual Costs *			
5. Staff Travel Costs	\$ 1,734.00		\$ 1,734.00
6. Equipment Costs			
7. Supplies			
8. Other Direct Expenses			
9. Total Non-Salary Expenses			
10. Overhead Costs Allocated			
11. A-87 Costs Allocated			
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ 500.00		\$ 500.00
13. Participant Transportation	\$ 100.00		\$ 100.00
14. Other Participant Related Costs			
15. Total Participant Related Costs	\$ 600.00		\$ 600.00
16. Total Project Costs	\$ 9,084.00		\$ 9,084.00

* 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 _____ **FRANKLIN** _____

Provider Agency _____ **ONE WORKSOURCE-FRANKLIN COUNTY** _____

Budget Categories	
4. Contractual Costs:	
5. Staff Travel Costs:	
	mileage for home visits
6. Equipment Costs:	
7. Supplies:	
8. Other Direct Expenses:	
12. Work-Related Supports:	
	Restricted license fees, car-related expenses, clothing cost for job interviews or work
13. Participant Transportation:	
	Transportation to/from therapy, counseling, job interviews, employment, gas vouchers
14. Other Participant Related Costs:	

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

FRANKLIN

Provider Agency

One Worksource - Franklin County

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL COSTS
SALARY COSTS			
1. Salary Costs	\$ 1,283.00	\$ -	\$ 1,283.00
2. Fringe Benefits	\$ 388.00	\$ -	\$ 388.00
3. Total Salary & Fringe Benefits	\$ 1,671.00	\$ -	\$ 1,671.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 200.00	\$ -	\$ 200.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 200.00	\$ -	\$ 200.00
10. Overhead Costs Allocated		\$ -	\$ -
11. A-87 Costs Allocated		\$ -	\$ -
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ 200.00		\$ 200.00
13. Participant Transportation	\$ 200.00		\$ 200.00
14. Other Participant Related Costs			\$ -
15. Total Participant Related Costs	\$ 400.00		\$ 400.00
16. Total Project Costs	\$ 2,271.00	\$ -	\$ 2,271.00

* 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 4A to provide a brief narrative for categories 4, 5, 6, 7, 8, 12, 13 and 14.

**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	5/07/09
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 obtained 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.