



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 6, 2009

Ms. Eileen Kirkpatrick
Commissioner
Genesee County Department of Social Services
5130 East Main Street, Suite 3
Batavia, New York 14020

Dear Commissioner Kirkpatrick:

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 \$9,966.

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: Cathie Mase
Darcell McDonald
Libby McGinn

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

District Name: Genesee County

Contact Name and Number: Cathie Mase (585) 344 2580 extension 6424

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

\$ 9,966.00

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

10

I. Program goals and services

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

The goals of the Genesee County project are as follows:

1. Of those noncompliant recipients accepted into the program, increase the number participating in countable activities by 50%
2. Complete a comprehensive family assessment for 95% of families referred to the program to determine barriers, needs for supportive services, and other circumstances that are resulting in non-compliance.
3. Of those completing the family assessment and actively participating in the program, 66% will achieve full participation.

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

Individuals identified as non-compliant will be referred to the Genesee County Job Development Bureau, who will be the program operator. The Department of Social Services (LDSS) will select individuals for this program who are non-compliant with TANF work requirements and are physically and mentally capable of full engagement. The LDSS will notify the individual that the referral has occurred and urge the individual to participate in services. The services that will be offered to non-compliant individuals will be: Outreach, Family Assessment, Supportive Service Referral, Intensive Case Management, Vocational Assessment, Career Exploration, Skill Training, Individual Job Development and Job Placement.

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.

Outreach – The Job Development Bureau Counselor will make contact with the non-compliant individual by telephone or in person within one week of LDSS referral. The JDB

Counselor will explain the program and will set up an appointment to meet with the individual at their home to begin the assessment process. Individuals who, after repeated attempts, fail to meet with the JDB Counselor or refuse to participate in the assessment process will not be enrolled in the program and the LDSS will be notified. The JDB Counselor will be responsible for providing detailed written documentation to the LDSS, regarding the circumstances of each individual's failure to achieve participation.

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.

Family Assessment – The JDB Counselor will meet with the non-compliant individual and their family in the home to conduct an assessment of the family's strengths, weaknesses, barriers, obstacles to employment, and reasons for non-compliance. The assessment will enable the JDB Counselor to determine the specific motivator applicable to the individual. The assessment process will assist the JDB Counselor to develop a relationship with the individual and family while facilitating cooperation and openness to problem solving.

Referrals – The JDB Counselor will use an extensive knowledge of community agencies and services to make appropriate referrals throughout the program. The JDB Counselor will assist the individual in following through with referrals by assisting with initial contact, transporting the individual to the referral agency if necessary, and following up with the referral agency to coordinate services. The JDB Counselor will also assist in securing other funding to cover any cost associated with the needed services.

Intensive Case Management – The JDB Counselor will provide intensive case management to the program participant and their family. This will include meeting with the individual, case conferencing with other agencies involved with the family, coordinating services needed by the family, insuring that the individual is provided the employment related activities needed to assist them in achieving full compliance and securing employment, assisting the individual in securing reliable childcare and transportation enabling them to participate fully, assisting the individual with their job search, follow up to insure continued success in maintaining compliance and employment, and brokering any problems that occur on the job. The JDB Counselor will develop a close relationship with the individual that will facilitate on-going communication and compliance. The JDB Counselor will also use the motivational triggers specific to each individual that will encourage participation and employment.

Vocational Assessment – Each participant will receive a vocational assessment that includes interest, aptitude, skill, academic, and personality type evaluation. This will assist the individual in determining an appropriate career goal and identify any basic skill deficiencies.

Career Exploration – Individuals will be provided opportunities to explore careers of interest to them through research, field trips, and shadowing experiences. Individuals who are able to see the longer range possibilities of careers beyond initial entry-level jobs will be more likely to see the value in participating in career-oriented programming.

Education and Basic Skills Training – Those individuals who have not attained their GED will be provided classes to enable them to pass the GED exam. Those individuals who have a

basic skill deficiency that is hindering them from obtaining employment will be provided training to remediate those skills. Basic skills such as reading, math, and computer literacy will be provided as needed. The JDB Counselor will insure that transportation and childcare is available to allow the individual to participate in the training. Records of attendance will be kept to verify participation.

Financial Training – Individuals will receive training in financial management and building financial security. This training will assist non-compliant individuals who rely on benefits received by their children to see an alternative and learn how to achieve it. Many non-compliant individuals have experienced entry-level employment and yet are not motivated by what they experience as the result. Financial training will allow participants to see and understand the goal of building income, not just wages, to insure their long range security.

Enhanced Work Experience – Individuals participating in this program will be placed in work experience positions, limited to only public and not for profit organizations, that will most closely relate to their career goals. Work sites will be developed by the JDB Counselor that will provide the individual with career training as part of their work assignment. This “internship” type assignment will not only engage the individual in a countable activity but will provide them with training to enable them to secure employment in a related career interest.

Job Skills Training – Individuals may attend part-time classroom training in addition to their work experience assignments, if appropriate. This training would enhance the individual’s ability to secure employment at a greater rate than entry-level wage.

Job Development and Job Placement – Job ready individuals will be assisted in securing employment through instruction in resume development, correctly completing applications, completing on-line applications, interviewing skills, and dressing properly for the job search. These activities will be provided by the JDB Counselor, through partnership with the Genesee County Career Center. The JDB Counselor will assist the individual in securing suitable employment while fully participating in countable activities.

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
Accounting Supervisor	1%	<ul style="list-style-type: none"> • Prepare payroll breakout using staff time distribution sheets. • Prepare the Monthly Invoice Voucher for reimbursement of all program expenses. • Track the program revenue and expenses in fiscal system.

Senior Counselor	1%	<ul style="list-style-type: none"> • Provide program and staff oversight • Insure contract compliance
Counselor	14%	<ul style="list-style-type: none"> • Provide each TANF recipient and family referred to the program a comprehensive assessment identifying all strengths, weaknesses, and barriers to full participation. • Facilitate participation by the recipient in all appropriate activities and services as detailed in I-D. Provide support to the recipient and their family and coordinate all services and activities involving the recipient and family. Transport recipient to job interviews and other services when necessary. • Develop a written plan for service with the recipient to achieve full participation in work activities including employment. Document in case notes all contact with the recipient, family, and other entities concerned. Collect and maintain attendance records documenting the recipients participation in countable work related activities.

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).

The JDB Counselor will maintain a time record to document the amount of time spent working with each ICS customer. The time record will include a brief summary of the service(s) provided at each contact. The time record for each ICS customer will be provided each month to Cathie Mase, Genesee County DSS contact person. LDSS staff will then enter the data necessary for TRACS 2 documentation, based on the JDB submissions each month. If additional information is required for any individual, the LDSS will contact the JDB Counselor.

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, 2009Local Department of Social Services Genesee CountyProvider Agency Genesee County

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ -	\$ -	\$ -
2. Fringe Benefits	\$ -	\$ -	\$ -
3. Total Salary & Fringe Benefits	\$ -	\$ -	\$ -
NON-SALARY COSTS			
4. Contractual Costs *	\$ 9,966.00	\$ -	\$ 9,966.00
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 9,966.00	\$ -	\$ 9,966.00
10. Overhead Costs Allocated		\$ -	\$ -
11. A-87 Costs Allocated		\$ -	\$ -
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 9,966.00	\$ -	\$ 9,966.00

* 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 _____ Genesee County _____

Provider Agency _____ Genesee County _____

Budget Categories

4. Contractual Costs:

The Genesee County DSS will contract with the Genesee County Job Development Bureau located at the Genesee County One-Stop Career Center for the provision of the Intensive Case Services for Noncompliant Families. The total cost of the contract will be based on Staff Wages and Fringe for an .14 FTE of an Intensive Case Counselor, .01 FTE of a Senior Counselor to supervise the project, and .01 FTE of an Accounting Supervisor to complete the financial reporting. Staff Mileage will also be included to cover Counselor travel to recipients' homes, transporting recipients to interviews and employer visitations once working to ensure long term job retention. Goals for the project include in-depth assesment of work barriers, full engagement in countable work/work preparation activities, job placement resulting in employment to capacity and job retention.

5. Staff Travel Costs:

6. Equipment Costs:

7. Supplies:

8. Other Direct Expenses:

12. Work-Related Supports:

13. Participant Transportation:

14. Other Participant Related Costs:

Intensive Case Services for Noncompliant Families Baseline Budget Narrative Form

ICS 3

Local Department of Social Services _____ Genesee County _____

Provider Agency _____ Genesee County Job Development Bureau _____

Budget Categories
4. Contractual Costs:
5. Staff Travel Costs:
Mileage will be covered for the Intensive Case Counselor to travel to recipient's homes, transport recipients to interviews and conduct employer visitations to ensure job retention. Estimated 1300 miles X \$.55 per mile = \$715.
6. Equipment Costs:
7. Supplies:
8. Other Direct Expenses:
Estimated rent and utilities allocated to the time the Accounting Supervisor and Senior Counselor spend on the project will be \$225.64 based on the following cost allocation methodology: Accounting Supervisor = 19.6 hours of work X ((188.25 sq ft of space X \$15.82 cost of rent/utilities per square foot)/ 1957.5 hours per year = \$29.82 Senior Counselor = 19.6 hours of work X ((1236.25 sq ft of space X \$15.82 cost of rent/utilities per square foot)/ 1957.5 hours per year = \$195.82 Total allocated Rent/Utilities = \$225.64
12. Work-Related Supports:
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.