



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

May 6, 2009

Ms. Sandra K. Wright
Commissioner
Livingston County Department of Social Services
3 Murray Hill Drive
Mount Morris, New York 14510-1699

Dear Commissioner Wright:

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 \$13,858.

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: Howard Mankoff
Krista Eppers
Libby McGinn

"providing temporary assistance for permanent change"

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

District Name: Livingston County Department of Social Services

Contact Name and Number: Howard Mankoff (585) 243-7300

ICS funds budgeted for services to TANF-eligible **noncompliant participants: \$ 13,858.00**

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: **30**

I. Program goals and services

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

The specific goals of the project for TANF-eligible, non-compliant participants is to provide intensive case services to assist these participants who are determined noncompliant with federal work requirements to become fully engaged in appropriate work or work preparation activities.

This is achieved by referring these participants to an intensive case manager at the point non-compliance is demonstrated. The intensive case manager is a well seasoned practitioner that contacts each participant referred by the Social Services District with the goal of establishing a trusting relationship in order to identify any and all barriers to compliance, and through ongoing face-to-face contact, develop a plan to fully re-engage the participant in paid employment or countable work preparation activities. This plan may include referral to other qualified service providers to address any additional service needs identified by the intensive case manager relating to the participant's ability to fully re-engage in appropriate work or work preparation activities.

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

The process used to identify and refer TANF-eligible, non-compliant participants for ICS services is that when participants are determined to have failed to comply with required federal work requirements by their Temporary Assistance (TA) team, they are issued a Notice of Conciliation, in accordance with 18 NYCRR 385.11. At the time the Notice of Conciliation is prepared and issued the TA team makes a written referral for ICS and forwards this to the Employment Unit Team Supervisor, who records the referral for tracking purposes. Next, the Employment Unit Supervisor faxes the participant's referral to ICS to the intensive case manager at the provider, Catholic Charities of Livingston County. The fax referral is sent the same date the Supervisor receives and logs the referral from the TA Team. The fax is backed-up with the original hard copy referral sent via regular mail to the intensive case manager.

The turnaround time established for the intensive case manager to make initial contact with the participant is one week from the receipt of the referral.

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.

Targeted participants are contacted by the intensive case manager at Catholic Charities of Livingston County within one week of receiving the referral for ICS from the Employment Unit Supervisor. Targeted individuals are contacted through both home visits and written notices to discuss the availability of participating in the ICS program, which includes the Catholic Charities case manager accompanying them to their regularly scheduled appointments at DSS to help in advocating. Alternative means for contacting targeted participants not responding to written notices such as telephone contact are utilized to ensure contact is made. Contact through home visits and office appointments continue on a monthly basis until compliance with full re-engagement is achieved. The district will be notified by the intensive case manager at Catholic Charities to let the district know that there was no response to outreach. There is no eligibility component to participating in the ICS program.

The two different types of outreach that will be used are written notices and home visits, as detailed above. The intensive case manager at Catholic Charities first sends a letter and makes phone contact to introduce herself, and set-up the home visit. At the home visit the intensive case manager then does the assessment of possible barriers and potential additional supports that are needed. This assessment and recommendation are shared with the case management Team. In addition, the ICS intensive case manager is involved in scheduling the call-in meeting for the participant with the TA team to discuss the failure to comply issue(s), and accompanies clients to participate in the appointments that the district requires apart from the ICS program to provide advocacy, and to encourage the participant to make a new plan with the TA Team to demonstrate compliance with full re-engagement in federally mandated work requirements.

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.

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 are multi-faceted and tailored to each participant's unique situation as identified by the ICS intensive case manager. They include the dissemination and discussion of available written material regarding assistance to re-establish compliance with federally mandated employment requirements. This involves ensuring the participant fully understands what the federally mandated work requirements are, why they have been determined to have failed to comply with these requirements, what effect the participants noncompliance and reduction in public assistance benefits will have on the household's ability to attain financial stability and how the participant can demonstrate their compliance and re-engage. This discussion also involves identifying and reviewing and evaluating employment opportunities and/or activities available to assist the participant re-establish compliance, and begin the transition to self-sufficiency. Transitional benefits such as continued medical assistance, food stamp benefits, subsidized day care, etc. are identified and explained.

Based on the ICS intensive case manager's assessment, referrals are made for further medical evaluation, domestic violence services, vocational rehabilitation services, drug/alcohol counseling and/or outpatient/inpatient treatment services, and any other service need identified by the ICS intensive case manager and the participant as a barrier to re-engagement.

During home visits, the ICS intensive case manager, in the course of discussing the reasons the household was determined non-compliant, will make an assessment of other potential factors contributing to the noncompliance, to the extent possible, such as undisclosed issues with domestic

violence, child protective issues, inadequate housing or homelessness that may be preventing the participant from re-engaging. The ICS intensive case manager will also encourage the participant to report any new or possibly undisclosed income or employment to the TA Team to help establish compliance.

During office visits with the participant, the ICS intensive case manager will discuss the reasons the participant is noncompliant, will meet jointly with the participants TA team to develop and agree on a plan to bring the participant back into compliance as soon as possible.

The immediate goal of case management services provided by the ICS intensive case manager is to develop a plan to fully re-engage the participant in required federally mandated work requirements at the point of Conciliation, prior to the imposition of a sanction/reduction in public assistance for failure to comply. However, the ICS intensive case manager continues to meet with and develop a plan for re-engagement after the imposition of a sanction/reduction in public assistance benefits has been imposed, with the goal of re-engagement as soon as possible.

II. Project Staff and Duties

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

The provider of services to TANF-eligible, noncompliant participants as described above is Catholic Charities of Livingston County. The project staff is one intensive case manager employed by Catholic Charities of Livingston County. Catholic Charities of Livingston County is the provider for ICS currently, and has abundant experience and demonstrated effectiveness and success in providing program service to TA recipients.

<u>Position Title</u>	<u>Estimated % of Time on ICS program</u>	<u>Duties</u>
Intensive Case Manager	100%	Provide intensive case management services to TANF-eligible participants determined to be noncompliant with federal work requirements

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 provider, Catholic Charities of Livingston County, will collect the data for all elements of the program as listed in 08-LCM 12 page #8 and submit a report each month to the Employment Unit Supervisor at Livingston County Department of Social Services via e-mail. This report will be forwarded via e-mail to The Accounting Unit to the TRACS 2 designated staff assigned access to TRACS 2 for compilation and input into TRACS 2 on a quarterly basis.

Intensive Case Services for Noncompliant Families Baseline Budget Form
ICS 3

ICS 3 Program Cycle: January 1, 2009 - April 30, 2009

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

Local Department of Social Services Livingston Co. DSS
 Provider Agency Catholic Charities

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 11,779.00	\$ -	\$ 11,779.00
2. Fringe Benefits	\$ 2,079.00	\$ -	\$ 2,079.00
3. Total Salary & Fringe Benefits	\$ 13,858.00	\$ -	\$ 13,858.00
NON-SALARY COSTS			
4. Contractual Costs *		\$ -	\$ -
5. Staff Travel Costs	\$ -	\$ -	\$ -
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	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 13,858.00	\$ -	\$ 13,858.00

* 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 _____ Livingston County Department of Social Services _____

Provider Agency _____ Catholic Charities of Livingston County _____

Budget Categories

4. Contractual Costs:

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 Form**ICS 3**

ICS 3 Program Cycle: January 1, 2009 - April 30, 2009

Program Cycle must fall within expenditure period of January 1, 2009 - December 31, 2009Local Department of Social Services Livingston Co. DSS

Provider Agency _____

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 *	\$ 13,858.00	\$ -	\$ 13,858.00
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 13,858.00	\$ -	\$ 13,858.00
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	\$ 13,858.00	\$ -	\$ 13,858.00

* 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 (ICS) 3
Program Outcome Measures
Reporting Guidelines**

Revised May 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	05/29/09
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. Detailed reporting instructions, including information on how to access TRACS2 will be provided separately. 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 #7 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.