



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

March 16, 2009

Mr. John E. Imhof
Commissioner
Nassau County Department of Social Services
60 Charles Lindbergh Boulevard, Suite 160
Uniondale, New York 11553-3688

Dear Commissioner Imhof:

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 \$79,150.

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: Elaine McKay
John Healey
Libby McGinn

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

District Name: NASSAU COUNTY

Contact Name and Number: Elaine McKay, Director of Employment Programs, 516-227-7970, email: Elaine.McKay@hhsnassaucountyny.us

ICS funds budgeted for services to TANF-eligible **noncompliant participants:**
\$ 79,150

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

48

I. Program goals and services

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

The specific goals of this project are:

- To continue the project previously funded by NYS,
- To provide targeted outreach to this population of TANF families to move them from their “happily sanctioned” status, and
- To assist TANF-eligible recipients who are noncompliant with work requirements become fully engaged in appropriate work or work-preparation activities.
- To serve approximately 48 noncompliant participants

The methods that will be employed to accomplish the goals will include a Case Management Unit within the Employment Unit. Project staffing consists of a Social Welfare Examiner Supervisor I (0.10 FTE), a Social Welfare Examiner II (0.50 FTE), and a Social Welfare Examiner I (0.50 FTE) serving 48 TANF-eligible noncompliant participants over the project period.

The specific project services include:

- Perform a detailed assessment, develop a Service Plan and provide on-going case management services. Identify barriers that exist which seem to impede the individual’s self-sufficiency.
- Offer the necessary services and support to assist the family in overcoming their issues and enable them to participate in the mandated work requirements.

The methods that will be used to contact households and the case management services that will be provided will remain unchanged from ICS2 and are described below.

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

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

The TANF caseload will be reviewed to identify and refer TANF-eligible, noncompliant participants for ICS services. Participants served under the project 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), including 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.

The WEX I will be responsible for the initial review of each case and will provide the WEX II with all of the necessary information, i.e., household composition, child support issues, household income and sanction status. The WEX I will also receive case information back from the WEX II and will make all of the data entries into the Welfare to Work Case Management System (WTWCMS). The initial review will determine the client's suitability for intensive case management services.

A breakdown will be done of where the TANF recipients reside and both WEXs will be assigned a caseload of approximately twenty-four (24) families by community. The WEX will contact the recipient and/or head of household via telephone to schedule in-office visit or an in-home visit to conduct a detailed assessment. If the client cannot be reached by phone, a certified letter will be mailed asking them to contact the office for an appointment. A review of all relevant income eligibility information will be reviewed at the in-office or the in-home visit. Individuals who fail to respond to the certified mail will receive a letter explaining the additional sanctions that may occur (case closing).

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.

The WEX will contact the recipient and/or head of household via telephone to schedule in-office visit or an in-home visit to conduct a detailed assessment. If the client cannot be reached by phone, a certified letter will be mailed asking them to contact the office for an appointment.

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.

A Service Plan developed by the WEXs will be a written summary of the client interview, assessment and home visit (if scheduled). The WEXs will confer with the Supervisor to insure that all of the necessary services are incorporated in the plan to improve the household's potential for self-sufficiency. The WEXs will work intensively with each family and assist with the coordination of services, and follow-through on service referrals until the client is able to participate in a required work activity.

Some of the case management services may include, but are not limited to:

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

- Substance abuse or mental health resources
- Assistance with housing
- Referrals for disability benefits such as SSI or SSD
- Literacy issues and referrals to appropriate services
- Referrals for specific training programs, i.e., ESL, GED

Funding under this project will not be used to provide any form of medical services.

Anticipated number of noncompliant participants to be served: 48

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 methods that will be employed to accomplish the goals will include a Case Management Unit within the Employment Unit. It will be staffed by an existing Supervisor, one (1) WEX II, and one (1) WEX I serving 48 TANF-eligible noncompliant participants over the project period.

Position/Title	Estimated Percentage of Time on ICS Program	Duties
Social Welfare Examiner Supervisor I	25%	Provides project supervision and oversight. Data collection and reporting. <i>In kind contribution</i>
Social Welfare Examiner II	50%	Provides enhanced outreach, engagement, assessment and case management services.
Social Welfare Examiner I	50%	Provides enhanced outreach, engagement, assessment and 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).

A form and spreadsheet are the mechanisms used to collect project data to be reported on TRACS 2. The project supervisor is responsible for ensuring that data is collected on a monthly basis. The following data is captured on a monthly basis:

Participants served during reporting quarter:

- Number of targeted participants successfully contacted (served)

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- Participants successfully contacted during reporting quarter
- Number of participants contacted by letter/call-in
- Number of participants contacted by phone call
- Number of participants contacted by home visit
- Number of participants contacted by other means

Engagement outcomes for reporting quarter:

- Number of participants successfully engaged following contact
- Number of participants engaged in necessary treatment
- Number of participants that remain unengaged without good cause
- Number of participants with newly reported income
- Number of participants that remain engaged in work activities or necessary treatment in the quarter following placement

Cases closed during the reporting quarter:

- Number of cases closed due to income from employment obtained during the reporting quarter
- Number of cases closed because district was unable to locate family
- Number of cases closed for failure to respond to outreach (excludes household's district was unable to locate)
- Number of cases closed because of newly reported income prior to reporting quarter
- Number of cases closed at the request of the family
- Number of cases closed for any reason other than those listed

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

Intensive Case Services (ICS3)
January 1, 2009—December 31, 2009
Line Item Budget

Personnel

Name	Job Title	FTEs	Salary + Fringe
Cheryl McGovern	Social Welfare Examiner Supervisor I	25%	<i>In kind</i>
Arlene Sceri	Social Welfare Examiner II	50%	\$38,010
Deann Dumpson	Social Welfare Examiner I	50%	\$30,133
TOTAL	----	----	\$68,143

Salary Costs \$46,995.00
 Fringe Benefits (rate 46%) \$21,148.00
 Total Salary & Fringe Benefits \$68,143.00

Non-Personnel

Overhead Costs: \$ 9,507.00
A-87 Costs: \$ 1,500.00
 Total: \$11,007.00

TOTAL (Personnel plus Non-Personnel): \$79,150

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 Nassau County
 Provider Agency DSS

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 46,995.00	\$ -	\$ 46,995.00
2. Fringe Benefits (rate 46%)	\$ 21,148.00	\$ -	\$ 21,148.00
3. Total Salary & Fringe Benefits	\$ 68,143.00	\$ -	\$ 68,143.00
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		\$ 9,507.00	\$ 9,507.00
11. A-87 Costs Allocated		\$ 1,500.00	\$ 1,500.00
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 68,143.00	\$ 11,007.00	\$ 79,150.00

* 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 _____ Nassau County _____

Provider Agency _____ DSS _____

Budget Categories	
4. Contractual Costs:	
	<i>not applicable</i>
5. Staff Travel Costs:	
	<i>not applicable</i>
6. Equipment Costs:	
	<i>not applicable</i>
7. Supplies:	
	<i>not applicable</i>
8. Other Direct Expenses:	
	<i>not applicable</i>
12. Work-Related Supports:	
	<i>not applicable</i>
13. Participant Transportation:	
	<i>not applicable</i>
14. Other Participant Related Costs:	
	<i>not applicable</i>

**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 WTCMS 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.