



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

May 7, 2009

Mr. Anthony Restaino
Commissioner
Niagara County Department of Social Services
P.O. Box 506
Lockport, New York 14095

Dear Commissioner Restaino:

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 \$49,503.

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: Pamela Gatto
Darcell McDonald
Libby McGinn

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

District Name: Niagara

Contact Name and Number: Pam Gatto (716) 278-6801 Pamela.Gatto@niagaracounty.com

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

\$ 49,503.00

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: **25 - 30**

I. Program goals and services

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

Niagara continues to partner with Orleans Niagara BOCES to provide front door activities for applicants and GED classes in conjunction with the participant's work schedule to assist the client to self-sufficiency. As part of this initiative, Niagara County and Orleans-Niagara BOCES used ICS grant funding to hire 2 Case Managers and a Job Developer to reach out to individuals in jeopardy of sanction for failure to participate in work requirements once their case was opened. Once the applicant's case is opened and they are placed in a work activity, if they fail to appear for a scheduled activity, the ICS Case Manager immediately contacts the client via telephone or home visit or by mail to determine what the cause of non-compliance is. They make clear to the client the importance of participation to prevent sanction and to ultimately succeed to self-sufficiency. This initiative has allowed open communication between the client and the department to determine barriers that ultimately cause non-compliance and to assist the client with overcoming these barriers. Often the client fails to understand the necessity of meeting their core hours as well as their additional scheduled participation requirements as designed in their employment plan in order to avoid a work program sanction. Niagara County currently has identified 182 individuals in danger of a work sanction, on a work sanction for failure to comply with work rules, or voluntary job quit. The Contracted BOCES staff and DSS TOP and Employment staff is in daily contact to identify TANF individuals and to prevent sanction whenever possible. The initial contact with the ICS Case Manager can fulfill the conciliation requirements to prevent sanction action when done on or near the date of non-compliance and often times can get the client back into their work activity the next day.

Goal 1---determine the initial non-compliance on the day they non-comply to prevent sanction action whenever possible.

Goal 2---make personal, face-to-face or telephone contact with the client to prevent a sanction action.

Goal 3---identify specific barriers and make a plan with the client to overcome these barriers.

Goal 4---continue to provide follow up and job development that will enable self-sufficiency by helping the client secure a job with an employer and by following up with the client and the employer after the client is placed in the job to insure success.

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

The BOCES Case Managers check in with the GED, Job Readiness, and Source classes daily to identify absent students and immediately set out to contact the absent students/clients. DSS case managers, employment specialists and other TOP and Employment staff make other referrals regarding potential TANF-eligible participants in jeopardy of a sanction as they identify individuals in jeopardy. Because the BOCES Case Managers and TOP/Employment Staff at DSS are in daily communication, this works seamlessly to prevent sanctions whenever possible.

- 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.

As previously stated, the BOCES Case Manager is involved in daily attendance of class participants at scheduled sites. This helps to insure the client is familiar with the Case Manager. The first outreach contact takes place at the introduction of the Case Managers at the TANF orientation.

On day one of a missed class or job site assignment, the ICS Case Manager will telephone the participant first. If unable to make telephone contact a home visit is attempted. A letter is mailed if the Case Manager is unable to contact the client by telephone or home visit. The results of the contact are shared with the Employment Worker assigned to the case. This often acts as conciliation of a missed appointment or assignment to avert a sanction. It also provides assistance to the client for any barriers that they have encountered and gets them back into their activity and compliance much faster.

- 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 initial introduction with TANF employable clients is made at the TANF Orientation—prior to case opening and work schedule distribution. The Case Managers introduce themselves and provide an overview of what services they are able to assist with once the case opens. They encourage the client to contact them if they encounter a barrier that could prevent them from meeting their job requirements. When a client misses a scheduled work activity, and the Case Manager contacts them the same day. They have a list of community organizations as well as information on what DSS can provide to assist with barriers. The Intensive Case Managers meet regularly with the Employment Specialists and TOP Case Managers to case conference and share ideas and resources to assist with client barriers. Information shared at these in the meetings about a client's barriers and the plan to assist with overcoming the barriers is then incorporated into the client's employment plan. The daily contact between the Intensive Case Managers and the DSS staff enables Niagara to reach out to the client in a way that was not possible without the ICS grant. It promotes engagement rather than sanction.

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
BOCES Case Manager	39%	Attend DSS TANF Orientation, monitor attendance on GED and approved Training classes and meet regularly with the TOP/Employment staff at DSS. Contact client on first missed appointment, class or assignment to identify the reason why and to assist client in overcoming any barrier identified.
BOCES Case Manager	39%	Attend DSS TANF Orientation, monitor attendance on GED and approved Training classes and meet regularly with the TOP/Employment staff at DSS. Contact client on first missed appointment, class or assignment to identify the reason why and to assist client in overcoming any barrier identified.
BOCES Job Developer	39%	Work with BOCES Case Managers and DSS TOP and Employment Staff to identify client needs and to find suitable Employers to place clients in jobs as they successfully overcome their barriers.

III. Data Collection

Briefly describe the mechanism that will be used to collect the data to be reported on the TANF Reporting and Control System (TRACS 2).

Each referred client is logged on the attached tracking sheet by the contractor. At each contact and interaction, they indicate what the status of the client is and submit it to DSS monthly.

PLEASE see attached form used by ICS Staff to log client, type of contact and outcome.

Intensive Case Services for Noncompliant Families Baseline Budget Form
ICS 3

ICS 3 Program Cycle: 1/1/09 through 12/31/09

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

Local Department of Social Services Niagara
 Provider Agency Orleans/ Niagara BOCES

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 *	\$ 49,503.00	\$ -	\$ 49,503.00
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 49,503.00	\$ -	\$ 49,503.00
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	\$ 49,503.00	\$ -	\$ 49,503.00

*** 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 _____ Niagara _____

Provider Agency _____ Orleans Niagara BOCES _____

Budget Categories
4. Contractual Costs:
Niagara will contract 39% of the time/salary of 2 case managers and one job developer to perform the services described in this contract.
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: 1/1/09 through 12/31/09

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

Local Department of Social Services

Niagara

Provider Agency

Orleans/ Niagara BOCES

Budget Categories

	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 40,593.00	\$ -	\$ 40,593.00
2. Fringe Benefits	\$ 7,307.00	\$ -	\$ 7,307.00
3. Total Salary & Fringe Benefits	\$ 47,900.00	\$ -	\$ 47,900.00
NON-SALARY COSTS			
4. Contractual Costs *		\$ -	
5. Staff Travel Costs	\$ 1,603.00	\$ -	\$ 1,603.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 1,603.00	\$ -	\$ 1,603.00
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	\$ 49,503.00	\$ -	\$ 49,503.00

* 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	5/29/09
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.