



David A. Paterson  
Governor

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

David A. Hansell  
Commissioner

April 2, 2009

Mr. Robert S. Christopher  
Commissioner  
Saratoga County Department of Social Services  
152 West High Street  
Ballston Spa, New York 12020

Dear Commissioner Christopher:

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 \$5,484.

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: Deborah Osborn  
Michele Wilk  
Libby McGinn

*"providing temporary assistance for permanent change"*

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

**District Name:** Saratoga County

**Contact Name and Number:** Deborah A. Osborn. (518) 884-4139

ICS funds budgeted for services to TANF-eligible **noncompliant participants:** \$ \$5,484.00

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: 4-5 families/mo.

**I. Program goals and services**

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

**The specific goal of our project is to identify the needs of our non-compliant Temporary Assistance clients who are capable of working, through enhanced outreach and more intensive case management, focusing on the identified individual barriers to employment. Our goal, through this project, is to also enhance our district's ability to meet TANF participation rate requirements.**

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

**The process that we will use to identify and refer TANF-eligible, non-compliant participants for ICS services is as follows:**

- **Non-compliant individuals will be referred to our Employment Specialist Social Welfare Examiner by the respective Social Welfare Examiner at intake, recertification or at any point of client non-compliance.**
- **The Employment Specialist will review the case and jointly consult with the referring Eligibility Examiner and our Employment Programs Supervisor. Through this joint review, the Specialist and Employment Programs Supervisor will determine appropriateness for ICS Services and devise a strategy to initiate the client engagement process.**

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 method of outreach that will be used to initiate contact with TANF-eligible, non-compliant participants will be through personal telephone contact by the Employment Programs Specialist contact. The Employment Programs Supervisor, in conjunction with the Employment Specialist, will schedule a home visit with the client and will send a letter advising of the date and time of the visit.**
- **During the initial home visit, the Employment Programs Supervisor and the Employment Specialist will identify the service needs of the client that may not have been apparent and/or identified by the Eligibility Examiner during the office interview. The in depth assessment will identify the specific barriers, including family circumstances, that may be impacting the client's ability to be engaged in appropriate work or work-preparation activities. Even though specific employment/self-sufficiency plans are formulated with the client at the point of application and recertification, a thorough review and update of this plan to include new and/or different information will be completed during the home visit.**

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 that will be provided to assist TANF-eligible, noncompliant participants to identify and address barriers and to increase participation in work or work-preparation activities will include:**

- **Joint home visits will be made by the Employment Programs Supervisor and the Employment Specialist to identify specific barriers to a client's ability to comply with his/her employment/ self-sufficiency plan. This will include a functional assessment. Once identified, new requirements will be established with the client and appropriate referrals will be made to identified service providers such as Literacy Volunteers, Domestic Violence, Mental Health, Alcoholism Services, etc. Compliance with participation with these identified referral sources will be monitored and tracked. The client will be engaged in a discussion during the home visits, as well as in writing, of the financial impact on his/her family of non-compliance with the established service plan.**

## II. Project Staff and Duties

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

Position/Title	Estimated Percentage of Time on ICS Program	Duties
Employment Specialist	4.65%	Case review upon referral of the Eligibility Examiner; consultation with Eligibility Examiner and Employment Programs Supervisor to determine appropriateness for ICS Services; telephone outreach to the potential participant and follow up letter; home visit with Employment Programs Supervisor; development of and monitoring of established plan.
Employment Programs Supervisor	4.65%	Consultation with Eligibility Examiner and Employment Programs Specialist to determine appropriateness for ICS Services; home visit with Employment Specialist; development of and monitoring of established plan referral to appropriate service providers; follow through with client relative to compliance with the plan; consultation with Employment Specialist and Eligibility Examiner regarding client's compliance

## 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 data collected will be through tracking and monitoring of a client's initial and ongoing engagement and then compliance with, the established service plan, through additional home visits as needed and through communication with referred professionals and how these services resulted in positive outcomes in moving the client toward self-sufficiency.

**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 Saratoga County  
 Provider Agency Saratoga County DSS

**Budget Categories**

	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 3,836.00	\$ -	\$ 3,836.00
2. Fringe Benefits	\$ 1,534.00	\$ -	\$ 1,534.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 5,370.00</b>	<b>\$ -</b>	<b>\$ 5,370.00</b>
<b>NON-SALARY COSTS</b>			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
<b>9. Total Non-Salary Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>10. Overhead Costs Allocated</b>		\$ 56.00	\$ 56.00
<b>11. A-87 Costs Allocated</b>		\$ 58.00	\$ 58.00
<b>PARTICIPANT RELATED COSTS</b>			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
<b>15. Total Participant Related Costs</b>	<b>\$ -</b>		<b>\$ -</b>
<b>16. Total Project Costs</b>	<b>\$ 5,370.00</b>	<b>\$ 114.00</b>	<b>\$ 5,484.00</b>

\* 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**

**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:

<b>Reporting Quarter</b>	<b>Due Date</b>
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 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.