



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 6, 2009

Mr. Dennis Packard
Commissioner
Schenectady County Department of Social Services
797 Broadway
Schenectady, New York 12308

Dear Commissioner Packard:

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 \$25,326.

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: Ed Biittig
Michele Wilk
Libby McGinn

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

District Name: Schenectady County

Contact Name and Number: Edward Biittig (518) 344-2798

ICS funds budgeted for services to TANF-eligible noncompliant participants:	\$ 25,326.00
Anticipated number of TANF-eligible noncompliant participants to be served during program period:	75-100

I. Program goals and services

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

This request for funding will support the third year of an agreement between the Schenectady County Department of Social Services and the Schenectady Community Action Program, Inc. known as (SCAP) to provide intensive employment outreach and case management services to TANF recipients who are noncompliant with work rules. The goals of the intensive employment program are to:

- Ensure full engagement in work activity for all TANF recipients
- Continue and enhance efforts to engage TANF recipients who are noncompliant with work requirements
- Identify and address barriers to work participation
- Identify and explore with recipients the choices and actions that led to poor work outcomes in their work history/experience
- Eliminate barriers to accessing child care for TANF recipients

In May 2007, SCDSS contracted with SCAP to provide intensive employment case management services to this population. This program works with existing employment support resources in our community to assist noncompliant recipients in identifying their specific barriers to work and work activity. The case manager works with each recipient to develop a plan to, stabilize their environment, address health and financial concerns preventing them from complying and access community resources available to support their needs.

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

SCAP will be provided a copy by the Schenectady County Job Training Agency (SJTA) of all new customers who have been sent an initial contact letter for non-compliance with work requirements. If the customer fails to respond to the contact letter, a conciliation letter will be sent out to the customer and a copy sent to SCAP as well. SCAP will make in-person contact with the individual to determine the reason for non-compliance, address unresolved barriers and encourage the individual to keep the conciliation appointment.

Additionally, periodic reports will be run on Cognos by DSS staff of the long-term sanctioned population and the contact information for these individuals will be forwarded to SCAP in an attempt to engage the long-term sanctioned individuals in employment or employment activities

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.

- Contractor will make in person and telephone contacts attempting to reengage the sanctioned individual. Contractor will coordinate with the SCDSS and SJTA to reschedule any individual willing to comply with the employment program.
- Contractor will make contact with the individual on the date that the rescheduled appointment with SJTA has been determined and will go in person to insure that the individual reports on the appropriate date and time.
- Contractor will maintain biweekly contact with the individual, SCDSS and SJTA to insure that he/she is making satisfactory progress in the employment activity and will assist the individual in keeping job interviews or other program interviews as determined by SJTA.

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.

- Provide intensive employment support services to eligible TANF recipients who are subject to penalty or in sanction status for noncompliance with work and work related activity requirements.
- Contractor will be expected to provide direct assistance in resolution of barriers and notify both DSS and SJTA of the anticipated resolution of the barrier preventing compliance.
- Provide continued follow up services to families for up to 180 days after they find work and achieve self-sufficiency.
- Work with families to develop the skills they need to maintain employment.
- Track the progress of each family and coordinate information with Department staff.

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

Chari Jones, LMHC, Director of Employment Programs, SCAP (15%)

Dominic Ruggeri, Case Manager, SCAP (100%)

**Duties for each agency are outlined below*

The SCDSS staff is responsible for the following tasks associated with this project:

- Refer eligible TANF recipients who are subject to penalty or in sanction status for noncompliance with work and work-related activity requirements to Schenectady Community Action Program, Inc. for intensive employment support services.
- Share information with Schenectady Community Action Program, Inc. consistent with state and federal regulations. Shared information will include at a minimum, full identification, case status, household composition, household budget and employment code.
- Assist Schenectady Community Action Program, Inc. in developing a comprehensive employability assessment and history for each individual.
- Fully integrate the program with TA eligibility operations.
- Will monitor Contractor's performance on a quarterly basis using the following indicators:
 - Number of families referred
 - Number of referred families contacted, including contact method(s)
 - Outcome for each contracted family:
 - Number of families successfully engaged
 - Working/participating to capacity Y/N
 - Number of families not successfully engaged
 - Number cases closed by DSS and reasons for closing:
 - Unable to locate
 - Requested case close
 - Closed due to income
- SCDSS staff may require all such recipients to present to the Department for an eligibility interview with Mr. DiCesare, who will also review their employment status and assist the recipient in indicating his/her intent to comply.
- Upon signing the intent to comply, the recipient will be given an appointment at the Schenectady Job Training Agency (SJTA) to update his/her employment assessment, develop an employability plan and begin job search.

- Should the employment counselor determine the recipient is in need of supportive employment services to become compliant with work requirements, referrals will be made to ensure recipient is referred and connect to these services within 10 working days.
- SJTA employment staff will monitor the recipient's compliance and document such in WTWCMS weekly.

SCAP staff is responsible for the following tasks associate with this project.

- Provide intensive employment support services to eligible TANF recipients who are subject to penalty or in sanction status for noncompliance with work and work related activity requirements.
- Fully engage eligible TANF recipients who are subject to penalty or in sanction status for noncompliance with work and work related activity requirements in work and work related activity consistent with work participation rates.
- Provide at minimum one full-time direct employment case manager with a minimum of a Bachelor's degree of social work or a related field who shall work eight consecutive hours per day Monday through Friday. The direct care person shall be directly responsible for completing client assessments and facilitating the coordination of the recipients employment activity toward full engagement is countable work or work activity. A minimum of one full-time staff person with a minimum of a Bachelor's degree of social work or a related field who shall conduct employment assessments upon intake and prepare employment plans that address the identified barriers to employment and self-sufficiency. Any supervisor of personnel shall have a minimum of a Bachelor's degree in social work or a related field. Chari Jones will be responsible for the supervision of the SCAP case manager and the case manager will report directly to her. Any support staff subordinate to or working under the supervision of the shelter staff must have the education, experience or a combination of both commensurate with the duties specified in the job descriptions.
- Accept referrals to the intensive employment support services program during normal business hours.
- Contractor will make in person and telephone contacts attempting to reengage the sanctioned individual. Contractor will coordinate with the SCDSS and SJTA to reschedule any individual willing to comply with the employment program.
- Contractor will make contact with the individual on the date that the rescheduled appointment with SJTA has been determined and will go in person to insure that the individual reports on the appropriate date and time.
- Contractor will maintain biweekly contact with the individual, SCDSS and SJTA to insure that he/she is making satisfactory progress in the employment activity and will assist the individual in keeping job interviews or other program interviews as determined by SJTA.
- Contractor will be notified by SJTA of all new customers who have been sent a conciliation letter and the contractor will make in person contact with the individual to determine the reason for non-compliance, address unresolved barriers and encourage the individual to keep the conciliation appointment. Contractor will work with SCDSS

and SJTA to provide opportunities for persons to avoid sanctions, engage in employment activities and secure employment.

- Contractor will be expected to provide direct assistance in resolution of barriers and notify both DSS and SJTA of the anticipated resolution of the barrier preventing compliance.
- Provide continued follow up services to families for up to 180 days after they find work and achieve self-sufficiency.
- Work with families to develop the skills they need to maintain employment.
- Track the progress of each family and coordinate information with Department staff.
- Provide quarterly reports to the Department to monitor the following performance measures:
 - Number of families referred
 - Number of referred families contacted, including contact method(s)
 - Outcome for each contracted family:
 - Number of families successfully engaged
 - Working/participating to capacity Y/N
 - Number of families not successfully engaged
 - Number cases closed by DSS and reasons for closing:
 - Unable to locate
 - Requested case close
 - Closed due to income

All staff efforts provided within the intensive employment case management program is communicated to the TA examiner assigned to the recipient's case. To ensure prompt case level action as needed

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 spreadsheet will be provided to Department of Social Services by the provider agency, SCAP, on a quarterly basis and the information will be placed in TRACS 2.

Intensive Case Services for Noncompliant Families Baseline Budget Form

ICS 3

ICS 3 Program Cycle: January 2009-May 2009

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

Local Department of Social Services Schenectady County

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 *	\$ 25,326.00	\$ -	\$ 25,326.00
5. Staff Travel Costs		\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies		\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses		\$ -	\$ 25,326.00
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	\$ -	\$ -	\$ 25,326.00

* 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 Form

ICS 3

ICS 3 Program Cycle: January 2009-May 2009

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

Local Department of Social Services Schenectady CountyProvider Agency SCAP, Inc.

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 15,848.00	\$ 323.00	\$ 16,171.00
2. Fringe Benefits	\$ 4,343.00	\$ 89.00	\$ 4,432.00
3. Total Salary & Fringe Benefits	\$ 20,191.00	\$ 412.00	\$ 20,603.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 456.00	\$ -	\$ 456.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ 937.00	\$ -	\$ 937.00
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 1,393.00	\$ -	\$ 1,393.00
10. Overhead Costs Allocated		\$ 2,279.00	\$ 2,279.00
11. A-87 Costs Allocated		\$ -	\$ -
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ 1,051.00		\$ 1,051.00
14. Other Participant Related Costs			
15. Total Participant Related Costs	\$ 1,051.00		\$ 1,051.00
16. Total Project Costs	\$ 22,635.00	\$ 2,691.00	\$ 25,326.00

* 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 Schenectady

Provider Agency SCAP, Inc.

Budget Categories

4. Contractual Costs:

Schenectady County DSS will contract with SCAP for the provision of ICS services as described in program narrative.

5. Staff Travel Costs:

6. Equipment Costs:

7. Supplies:

Educational Supplies/materials/postage \$937

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 Schenectady

Provider Agency SCAP, Inc.

Budget Categories

4. Contractual Costs:

None, SCAP will not subcontract work under this program

5. Staff Travel Costs:

Staff Travel Expenses are for travel to customer homes to conduct home visits. Staff assisting customers in completing employment support service appointments and work activities. Staff assisting customers in the conciliation process. Staff follow up visits with customers at their assigned work activity and follow up visits for customers that find

6. Equipment Costs:

7. Supplies:

Educational Supplies/materials/postage \$937

8. Other Direct Expenses:

12. Work-Related Supports:

13. Participant Transportation:

LDSS will provide funds to SCAP to assist customers with short-term, non-recurring transportation to job interviews, work, work activities and required employment appointments.

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	4/30/09
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 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.