



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 20, 2009

Mr. Charles L. Schillaci
Commissioner
Seneca County Department of Social Services
P.O. Box 690
Waterloo, New York 13165-0690

Dear Commissioner Schillaci:

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 \$5,905.

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: Corky Jarrett
Krista Ethers
Libby McGinn

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

District Name: Seneca County-(45) (January 1, 2009-December 31, 2009)

Contact Name and Number: Corky Jarrett-315-539-1707

ICS funds budgeted for services to TANF-eligible **noncompliant participants:** \$ 5,605.00

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: 8

I. Program goals and services

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

1. To provide services and activities that will help individuals move forward and become willing to comply with TANF regulations.
2. To identify and address specific and unique factors or barriers that are impacting individuals at risk of non compliance.
3. To prevent individuals from becoming "happily sanctioned"

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

Pre-Sanction Review - an intensive case management step to serve as a tool to provide in-depth examination of an individual's circumstances before an impending sanction is imposed. It could also assist in the prevention of driving a family into deeper crisis with the loss of some of or all of the grant income.

- Meet with client to re-assess needs;
- Identify other barriers;
Secure additional supports/training toward stable employment;

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.

Individuals would be contacted in a variety of ways

Face to face appointments

Phone

Letter

Home visits

Provide follow-up services to explain how to come into compliance and maintain it;

- 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 case manager will do a face to face in depth assessment to help identify and address the barriers that are causing the individual to either become or remain non compliant.

Assessment will be done to determine if the individual has any hidden disabilities-the county will work with the Disability Program Navigator to help determine if such disabilities exist. If a disability is determined, then we will enlist the aid of the DPN to move the person forward in dealing with the problem.

We will increase our contact and partnership with other community agencies that also serve the individuals, adding more case conference that involve the agencies, Workforce Development, the ICM case manager and the individual.

The Intensive Case Counselor will make every effort to intensify follow up with the Individual through phone calls, as well as scheduling 1:1 meetings;

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 & Training Counselor	6.5 % (annually)	Interviews clients, meets with clients to do an in depth assessment of barriers, needs and skills, aids individuals in obtaining specific support services such as transportation, child care, legal aid etc., formulates an employability plan with the individual, makes home visits to discuss problems and progress with the individual, prepares reports, works with community agencies to assure the individuals are receiving the necessary services to move them forward to self-sufficiency.

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 spread sheet will be used weekly to track the individual services that are received by a person (using the format that is in TRACS). Since we have such a small number of sanctioned individuals at any one given time this has proven to be the easiest and most accurate way of tracking. A monthly tally is then done with the information put into TRACS 2 on a quarterly basis.

**Program Narrative for Intensive Case Services (ICS3)
Services for TANF-Eligible Participants - Not Fully Engaged**

Note: This form only needs to be completed if the district intends to use up to 20% of their ICS allocation to provide services to this eligible population.

District Name: Seneca County (45) (January 1, '09-December 31, '09)

Contact Name and Number: Industrial Medical Associates

ICS funds budgeted for services to TANF-eligible participants who are not fully engaged: \$ 300

Anticipated number of TANF-eligible participants who are not fully engaged to be served during the program period: 2

The agency will be using TANF and FFFS money to fund all case management. We will only be using the \$300 to provide the second opinion if we deem it necessary.

I. Program goals and services

A. List the specific goals of the project for TANF-eligible participants who are not fully engaged in countable work activities.

1. To identify reasons and methods available for those individuals that are not fully engaged in countable activities when medical issues are involved.

B. Describe the process that will be used to identify and refer TANF-eligible participants who are not fully engaged in countable work activities for the ICS program.

1. When documentation has been received from a doctor that an individual cannot engage in countable work activities due to a medical restriction; the intensive case manager will meet with them to work on solutions and goals that could lead to self-sufficiency;
2. If there is on-going counseling with mental health or continued, pervasive medical problems, the individual may be referred (as appropriate) for a second medical opinion;
3. The intensive case manager will make arrangements with the IMA facility, as appropriate;
4. Recommendations resulting from the second opinions will be utilized. The goal is for each individual- to be able to move toward or become engaged in countable work activities and eventually become self sufficient.

C. Explain the methods of outreach that will be used to initiate contact with TANF-eligible participants who are not fully engaged in countable work activities. 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.

Individuals would be contacted in a variety of ways
 Face to face appointments
 Phone

Letter
Home visits

- D. Describe the case management services and other activities that will be provided to assist TANF-eligible participants who are not fully engaged in countable work activities to identify and address barriers and increase participation in work or work preparation activities.

Case conference with individual and any other agencies the person is working with (for example- Services, VESID, ARC, Mental Health, etc.)

Case management services will be provided by the Employment and Training Counselor who will be funded using other funding sources.

Home visit/office visit-whatever it takes to do a face to face with the individual
Phone/mail if the case conference is not applicable to them

II. Project Staff and Duties

Identify the project staff and duties for each provider or district staff providing services to TANF-eligible participants who are not fully engaged in countable work activities

Position/Title	Estimated Percentage of Time on ICS Program	Duties
IMA Clinician	3 hours	Evaluations (covered with these funds)
ICM worker		Home visits, case conferences (other funds used for this under-engaged population)

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 spread sheet will be used weekly to track the individual services that are received by a person (using the format that is in TRACS).

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 Seneca County (45)-Seneca County Division of Human Services-
Provider Agency Seneca County Workforce Development Department

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 4,270.00	\$ -	\$ 4,270.00
2. Fringe Benefits	\$ 844.00	\$ -	\$ 844.00
3. Total Salary & Fringe Benefits	\$ 5,114.00	\$ -	\$ 5,114.00
NON-SALARY COSTS			
4. Contractual Costs *		\$ -	\$ -
5. Staff Travel Costs	\$ 100.00	\$ -	\$ 100.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ 91.00	\$ -	\$ 91.00
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 191.00	\$ -	\$ 191.00
10. Overhead Costs Allocated		\$ 150.00	\$ 150.00
11. A-87 Costs Allocated		\$ 150.00	\$ 150.00
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 5,305.00	\$ 300.00	\$ 5,605.00

* 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 Seneca County (45) Seneca Co.Division of Human Services(Jan.1,'09-Dec. 31,'09)

Provider Agency Workforce Development-part of the Division of Human Services

Budget Categories

4. Contractual Costs:

5. Staff Travel Costs:

270 miles at .37 per mile

6. Equipment Costs:

7. Supplies:

\$46.00 Postage; \$45 Supplies for particiapnts (folders, pens, and paper)

8. Other Direct Expenses:

12. Work-Related Supports:

13. Participant Transportation:

14. Other Participant Related Costs:

Intensive Case Services for Not Fully Engaged 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, 2009Local Department of Social Services Seneca County (45)-Seneca County Division of Human Services-
Provider Agency Industrial Medical Associates

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 *	\$ 300.00	\$ -	\$ 300.00
5. Staff Travel Costs		\$ -	\$ -
6. Equipment Costs		\$ -	\$ -
7. Supplies		\$ -	\$ -
8. Other Direct Expenses		\$ -	\$ -
9. Total Non-Salary Expenses		\$ -	\$ 300.00
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	\$ -	\$ -	\$ 300.00

* 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 4A to provide a brief narrative for categories 4, 5, 6, 7, 8, 12, 13 and 14.

Intensive Case Services for Not Fully Engaged Families Baseline Budget Narrative Form

ICS 3

Local Department of Social Services Seneca County (45) Seneca Co.Division of Human Services(Jan.1,'09-Dec. 31,'09)

Provider Agency _____

IMA _____

Budget Categories

4. Contractual Costs:

Industrial Medical Associates: \$300.00 amount paid on the individual basis.

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 (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 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 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.