



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 9, 2009

Ms. Janet DeMarzo  
Commissioner  
Suffolk County Department of Social Services  
3085 Veterans Memorial Highway  
Ronkonkoma, New York 11779

Dear Commissioner DeMarzo:

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 \$104,947.

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: Kimberly Staab  
John Healey  
Libby McGinn

**Form 1**

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

**District Name: Suffolk County**

**Contact Name and Number: Thomas Grecco (631) 854-9922**

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

**\$ 104,947**

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

**130**

**I. Program goals and services**

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

Suffolk County plans to use the funds to continue providing intensive case services that will assist non-compliant TANF recipients to become fully engaged in appropriate work activities, thus improving the economic security of their families.

The Education & Assistance Corporation's Intensive Case Services program will:

- Help identify barriers to self-sufficiency;
- Provide clients with information about programs which will benefit them or their families;
- Identify individuals who are employment ready;
- Engage individuals in appropriate work activities.

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

Suffolk County Department of Social Services will identify TANF and SN-MOE individuals who are in sanction status due to non-compliance with Employment Program requirements. Presently, Suffolk DSS has approximately 120 individuals in sanction status for the above-mentioned infractions.

These individuals are identified monthly by the Suffolk County Department of Social Services and referred to EAC's Intensive Case Services program via COGNOS report.

**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 Department of Social Services identifies clients and distributes a COGNOS list to EAC. Referrals are sorted and distributed by the Program Director. Once new referrals are assigned to the case manager, appointments are scheduled immediately. Client cases are reviewed via WTCMS prior to the scheduling of appointments.

**Scheduling Appointments**

EAC will schedule an appointment with the sanctioned individual to complete the in-depth assessment and discuss eligibility requirements. Appointments are made through standard mail and "Do Not Forward" is stamped on the letter. Staff will allow a ten-day time frame between the mailing of the appointment letter and the scheduled appointment. EAC will contact the individual by telephone just prior to the scheduled appointment to confirm the interview. Appointment letters will include client's name, address, case number, appointment location, date and time of appointment and a contact name and phone number for questions regarding this appointment. In addition, the appointment letter will include the purpose and benefits of attending the interview, as well as of the consequences of failing to comply with public assistance eligibility requirements.

The individual is notified in the appointment letter that failure to keep the appointment will result in the discontinuance of their Temporary Assistance case. EAC notifies DSS when a client fails to comply with an appointment. DSS terminates the public assistance benefits for failure to comply with eligibility requirements.

**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.**

EAC's Sanctions Intensive Case Service Program activities will include:

- ICS staff explaining in detail the reasons why the individual was referred to the ICS program.
- Enhanced assessments which will provide a better understanding of family circumstances and will help identify any barriers that have prevented the individual from fully engaging in work activities. The assessment conducted by EAC consists of similar components found in the WTCMS assessment (e.g., educational level, employment history, medical needs/limitations, and childcare needs); however, the assessment also addresses eligibility requirements such as household composition and household income.
- Case Management which will help individuals navigate program requirements and address barriers which may impact their ability to participate in work activities.

- ICS staff will provide job coaching for individuals who are employment ready. ICS staff will seek out potential staffing agencies to provide employment for these individuals.

The ICS Case Manager will conduct the ICS interviews at the local DSS centers. Interviews may also be conducted at the individual's home visit, if warranted. During the interview the case manager will complete an in-depth assessment. The case manager will identify individuals who are employment ready and provide appropriate employment related case management services. The case manager will also provide targeted interventions designed to help individuals overcome the barriers to self-sufficiency identified through the assessment process. Barriers to self-sufficiency may include securing childcare needs, developing transportation plans, service referrals and/or referrals for community based services (mental health treatment, vocational therapy, substance abuse treatment, and domestic violence). Individuals found to be in need of community based services are case managed by EAC, linked with an appropriate resource, and monitored until the client has been successfully engaged in a work activity for 90 days.

Individuals who are determined to be employment ready will be referred to and/or placed with an employer and all employment activities will be monitored by case manager for a period of 90 days. Failure to accept a bona fide job offer without good cause will result in discontinuance of Public Assistance benefits for failure to comply with an available resource in accordance with 04 INF-19. If the sanctioned individual voluntarily quits the job after the fifth day, the job quit would be treated as an incident of employment noncompliance. However, since these individuals are under an existing employment sanction, they will be immediately re-referred to the ICS project for a new employment placement. The EAC case manager will make a collateral contact with the individual to ensure that barriers to employment have been addressed.

EAC staff will complete the Sanctions Intensive Case Services Project Transmittal form, which will report activity and/or actions necessary for each individual. This will include reporting and monitoring employment, closing of cases, reactivation of cases, and compliance with other program requirements.

**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
<b>Regional Director</b>	10%	The Regional Director will provide contract and personnel management and serve as liaison with DSS and EAC administration.
<b>Project Director</b>	30%	The Project Director will provide day-to-day program supervision. Duties for this position will also include responsibility for assembling and maintaining resources for families, gathering referral resources for staff, assisting staff with referrals to agencies and will maintain program statistics.
<b>Senior Case Manager</b>	100%	The Senior Case Manager will provide Intensive Case Services by completing an in-depth assessment for each client. This position will transport individuals to Temp agencies to secure full time employment. They will also provide coaching for clients who have been placed in employment, building on client strengths and linking clients to community resources. They will participate in case conferences and maintain case records at all times.

**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).**

Monthly and quarterly progress reports will be used to report program outcomes. Please see the attached ICS report for further details.

Intensive Case Services for Noncompliant Families Baseline Budget Form

## ICS 3

ICS 3 Program Cycle: January 1- December 31, 2009

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

Local Department of Social Services Suffolk CountyProvider Agency EAC, Inc.

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 57,145.00	\$ -	\$ 57,145.00
2. Fringe Benefits	\$ 15,715.00	\$ -	\$ 15,715.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 72,860.00</b>	<b>\$ -</b>	<b>\$ 72,860.00</b>
<b>NON-SALARY COSTS</b>			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 2,000.00	\$ -	\$ 2,000.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ 504.00	\$ -	\$ 504.00
8. Other Direct Expenses	\$ 14,394.00	\$ -	\$ 14,394.00
<b>9. Total Non-Salary Expenses</b>	<b>\$ 16,898.00</b>	<b>\$ -</b>	<b>\$ 16,898.00</b>
<b>10. Overhead Costs Allocated</b>		<b>\$ 13,689.00</b>	<b>\$ 13,689.00</b>
<b>11. A-87 Costs Allocated</b>		<b>\$ -</b>	<b>\$ -</b>
<b>PARTICIPANT RELATED COSTS</b>			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ 1,500.00		\$ 1,500.00
14. Other Participant Related Costs			\$ -
<b>15. Total Participant Related Costs</b>	<b>\$ 1,500.00</b>		<b>\$ 1,500.00</b>
<b>16. Total Project Costs</b>	<b>\$ 91,258.00</b>	<b>\$ 13,689.00</b>	<b>\$ 104,947.00</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 for Noncompliant Families Baseline Budget Narrative Form**  
**ICS 3**

Local Department of Social Services \_\_\_\_\_ Suffolk County

Provider Agency \_\_\_\_\_ EAC, Inc.

**Budget Categories**

4. Contractual Costs:

5. Staff Travel Costs:

**Budgeted at \$2,000.00 (4,167 miles reimbursed @ .48/mile).**

6. Equipment Costs:

7. Supplies:

**Budgeted at \$504 for consumable office supplies.**

8. Other Direct Expenses:

**Includes office space (606 sq. ft. @ 16.50 sq. ft=\$10,000); utilities @ \$1480 (approx. \$2.50 sq. ft.); telephone expenses @ \$100/month; liability insurance @ \$1,000; and equipment service/repair @ \$714.**

12. Work-Related Supports:

13. Participant Transportation:

**Includes vehicle expense (gas, insurance, repairs) to transport clients @ \$1500.**

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 programs 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 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.