



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

April 17, 2009

Mr. Christopher A. Cunningham
Commissioner
Sullivan County Department of Health and Family Services
Box 231
Liberty, New York 12754

Dear Commissioner Cunningham:

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 \$15,857.

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: Janet Scherf
Keri Stark
Libby McGinn

Program Narrative for Intensive Case Services (ICS3)**Services for TANF-Eligible Participants-*Noncompliant*****District Name:** Sullivan County**Contact Name and Number:** Janet Scherf 845-292-0100 Ext: 2336ICS funds budgeted for services to TANF-eligible **noncompliant participants**: \$ 15,857.00Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: 120

A program narrative will need to be submitted for each targeted population (Form 1 and Form 2). Each program narrative should not exceed five pages in 12-pitch font using standard one inch margins.

I. Program Goals and Services

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

Monies from the ICS grant will fund half of the Case Services Aide position. Other staff involved (CSWE, HSWE, and PFSI) will not be funded thru ICS.

The specific goals of the Sullivan County Department of Family Services (SCDFS) – Intensive Case Services for TANF-eligible noncompliant participants are:

- Lift or prevent sanctions;
- Identify any obstacles;
- Focus on the needs and welfare of children; and
- Support clients while providing the tools to become self-sufficient

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

The process that will be used by SCDFS to identify and refer TANF-eligible noncompliant participants for ICS services will consist of identification of the participant / client when the sanction is imposed, which is initiated with when the participant is on their 3rd sanction.

The CSA (case services aide) will receive a request for a recipient to be placed on the ICS program from either the SWE (social welfare examiner) or a SSWE (senior social welfare examiner). She will then contact the participants.

The method that will be used to contact participants will be by United States Postal Service. Eligible participants / clients will receive a certified letter from SCDFS. This certified letter/packet will explain the program to the participant, and provide the eligible participant / client with the date and time of their appointment with SCDFS staff. This will also include a contact number for them to notify the depts. if the date or time will be a problem. At their interview, the participant / client will have all the case management services available to them explained in detail. The services that will be explained to them are those listed in the aforementioned section.

- 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.

Our contracted agency CWD meets with the applicant/recipient and discusses all work requirements and the impact of non-compliance.

A letter is sent to the client and also to a HSWE with a request that the client contact him at SCDFS. The department's HSWE will make a final determination if a sanction should go into effect and a request is sent to either a SWE or a SSWE to put the sanction into effect.

The department's HSWE will make a final determination if sanction should go into effect and if referral is appropriate for the intensive case services program.

- 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 management services and other activities that will be provided, by Sullivan County Department of Family Services, to assist TANF-eligible, noncompliant participants is to meet face to face with the ICS team to identify and assess any barriers to employment. If barriers are identified a client will be referred to the appropriate dept. or activities. Also, CSA is available to transport for (not limited too) job interviews.

- Drug and alcohol referral(s) (Sull. Co. Community Services)
- Child care referral(s) (Sull. Co. Child Care Council)
- Transportation and related costs (Contracted transportation, or CSA will transport)
- Employment training referral(s) ; and (local BOCES)
- Employment referral(s) (CSA will search thru newspapers and employers that work with us)
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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
One (1) Case Services Aide (PT/CSA) / Temporary Assistance	50%	<ul style="list-style-type: none"> • Prepares correspondence to clients and other agencies; • Responds to client's correspondence; • Assist client's with employment searches and interviews; • Schedules and re-schedules appointments; • Follow-up client's appointments and compliance; • Contact clients in advance to remind them of the ICS appointment; • Pull case – prepares case notes and reviews case information for ICS meeting; • Attends ICS meetings and take notes of clients conversations; • Verifies information supplied by client and make copies of same; and • Drives clients to employment interviews and IMA (<i>for second medical opinion</i>).

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 Case Services Aide will keep a time study of the time spent on the ICS program. The data collected on the time study will be reported on the TANF Reporting and Control System (TRACS 2).

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 County of Sullivan
 Provider Agency Dept. Family Services

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 9,146.48		\$ 9,146.48
2. Fringe Benefits	\$ 4,331.97		\$ 4,331.97
3. Total Salary & Fringe Benefits	\$ 13,478.45	\$ -	\$ 13,478.45
NON-SALARY COSTS			
4. Contractual Costs *			
5. Staff Travel Costs			
6. Equipment Costs			
7. Supplies	\$ 126.55		\$ 126.55
8. Other Direct Expenses			
9. Total Non-Salary Expenses	\$ 126.55		\$ 126.55
10. Overhead Costs Allocated		\$ 992.00	\$ 992.00
11. A-87 Costs Allocated		\$ 1,260.00	\$ 1,260.00
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 13,605.00	\$ 2,252.00	\$ 15,857.00

* 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 _____ Sullivan County _____

Provider Agency _____ Dept. of Family Services _____

Budget Categories

4. Contractual Costs:

5. Staff Travel Costs:

6. Equipment Costs:

7. Supplies:

Paper, envelopes and copying for program delivered services

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	4/30/09
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.