



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 8, 2009

Ms. Patricia A. Carey  
Commissioner  
Tompkins County Department of Social Services  
320 West State Street  
Ithaca, New York 14850

Dear Commissioner Carey:

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 \$13,480.

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: Deana Bodnar  
Bart Sebastian  
Libby McGinn

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

**District Name: Tompkins County**

**Contact Name and Number: Deana Bodnar, Program Development Specialist, 607-274-5678**

ICS funds budgeted for services to TANF-eligible <b>noncompliant participants:</b>	\$13,480 *
Anticipated number of TANF-eligible <b>noncompliant participants</b> to be served during program period:	60

**I. Program goals and services**

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

This proposed program builds on the continued implementation of Employment Intensive Case Management (ICM) Services Tompkins County has developed under funding ICS(1) and ICS(2). The specific goals and program approach are essentially the same as originally stated in our first proposal.

***Specific Program Goals***

- 1) Provide individualized strength-based assessment to noncompliant families to identify:
  - a) strengths and resources that can be utilized to enhance success employment
  - b) challenges and barriers that have impeded success in employment
  - c) solutions for overcoming challenges and barriers
- 2) Develop a strengths-based work re-engagement plan with noncompliant families to help them move towards engagement in work activities and/or self-sufficiency.
- 3) Provide service referrals and linkages noncompliant for families to services that will assist in removing barriers to employment as well as referrals to employment programs that will to provide training and services that utilize their strengths, resources and skills.
- 4) Enhance accessibility for families to support services such as transportation and child care and enhance social networks employment

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

To identify noncompliant participant ICS services, the Employment Intensive Case Manager routinely review the list of clients who are currently on sanction. In addition, the Employment Unit refers clients who are being notified of conciliation due to noncompliance.

- 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 following is an outline of the standards steps and protocol the Employment ICM has developed in contacting clients.

1. Letter to Client (Initial Contact)
    - Introduce self/position and inform client that Employment Intensive Case Manager will be calling with in a few days to set up a meeting with them either at the clients home or at DSS
  2. Phone call to client to set up appointment.
  3. Unsuccessful phone contact.
    - Letter is sent to client with time, date and location of visit.
  4. Home Visit
    - Complete assessment if appropriate.
    - Find out from the client's point of view why their sanction occurred
    - Initially Assess where the client is regarding change/ job readiness
    - Discuss reapplying for PA and adding self back onto the case
    - Make appropriate referrals/ plans to begin to address barriers to employment
    - Set up next contact
  5. Continued Employment ICM
    - Contact clients by phone at least 2x/month
    - In-person visits 1-2x/month when possible and appropriate.
    - Continue assessment process
    - Monitor contact with program participation including DOL, job club, GED classes etc.
- 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.

### ***Program Activities***

Strength-based assessment: A comprehensive strengths-based assessment tool has been developed for gathering information on the strengths and challenges faced by noncompliant families. This assessment tool combines strengths-based questions derived from other assessments developed by Tompkins DSS with screening information derived from other publicly available employment assessments.

Individualized strength-based work re-engagement plans: At the end of the assessment, a work re-engagement plan is developed with the family for taking steps towards engaging in work activities. The plan identifies goals, barriers, desired outcomes and steps to be taken towards achieving goals that

move clients towards stability and employment. Plan goals and steps are developed with the client, focusing on ways they can utilize strengths and resources that they have identified.

Connection with Services, Employment and Job Training Programs: In work with clients, the Employment ICM has worked with clients to connect them with services that enhance their opportunities for employment including GED services, VESID, medical services, and job search and training programs through Department of Labor, Challenge Industries (STEPS Program), Women's Opportunity Center and Workforce Development. In addition the Employment ICM has developed ongoing connections with staff in these different employment programs.

Connection with Support Services and Social Support Networks: During the initial assessment the Employment ICM identifies specific support services that the client needs to access to overcome barriers to employment. The Employment ICM then makes referrals and provides support to the client in making and attending appointments. During the initial assessment the case manager also reviews with the client strengths, resources and social supports and discusses how to utilize these in their plans towards employment and self-sufficiency.

**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 Intensive Case Manager/ Social Welfare Examiner	100% of Allocated Funds will be utilized for these services.  Additional funding will also be used to support this position and ICS services.	Outreach, Assessment, Work Re-engagement Planning, Case Management, Employment Service Referrals and Support Service Referrals and Connection

**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).

An ACCESS database has been developed to support tracking data on ICM program activities including client contacts, completion of assessments, development of plans engagement in work activities and OTDA outcomes such as work engagement and case closings. This database is used for generating reports on outcomes for the state as well as case notes related to work with individual families. The Intensive Case Manager enters client data in an ongoing basis as progress is made. The TCDSS Program Development Specialists pulls data quarterly on OTDA defined outcomes enters them in TRACS2. The Program Development Specialist, Employment Division Coordinator and Intensive Case Manager also meet quarterly to review the outcomes and discuss

**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 Tompkins County  
Provider Agency Tompkins DSS

<b>Budget Categories</b>			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 8,479.00	\$ -	\$ 8,479.00
2. Fringe Benefits	\$ 2,979.00	\$ -	\$ 2,979.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 11,458.00</b>	<b>\$ -</b>	<b>\$ 11,458.00</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>
10. Overhead Costs Allocated		\$ 1,688.00	\$ 1,688.00
11. A-87 Costs Allocated		\$ 334.00	\$ 334.00
<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>
16. Total Project Costs	\$ 11,458.00	\$ 2,022.00	\$ 13,480.00

\* 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 (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	4/30/09
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.