



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

March 23, 2009

Mr. Roberto Rodriguez
Commissioner
Ulster County Department of Social Services
1061 Development Court
Kingston, New York 12401-1959

Dear Commissioner Rodriguez:

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 \$18,046.

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: Marijane Knudsen
Michele Wilk
Libby McGinn

"providing temporary assistance for permanent change"

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

District Name: Ulster County Department of Social Services

Contact Name and Number: Marijane Knudsen 845-334-5358

ICS funds budgeted for services to TANF-eligible **noncompliant participants:** **\$ 18,046.00**

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: **15**

I. Program goals and services

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

Our goal is to continue our existing intensive case service to educate and advocate the impact of non compliance on a family's ability to become self sufficient. This funding will enable UCDSO to continue our existing intensive case management services of the current Outreach Worker and Aide. It is our intention to continue to the facilitation of engagement of non-compliant participants in appropriate work and work preparation using home visits, in-depth assessments and to identify barriers toward self sufficiency.

The Outreach Worker's goal is to educate and assist this population by conducting home visits to complete an employability plan while discussing barriers toward employment. The family's situation and impact of non compliance will be addressed. Recipients will gain an understanding of work requirements, the reason for the sanction and the methods for the elimination of the sanction. A plan will be developed to bring the family into compliance. Most importantly, the family completes their employability plan and referrals to community agencies and partners will be made.

Upon completion of the initial assessment, the Outreach Worker meets with DSS staff for a review of the home visit. This review will identify self sufficiency barriers toward compliance. Barriers reviewed will include medical issues, day care, domestic violence and substance abuse. The report will include the necessary steps to bring the client into compliance. A second home visit will be conducted. This home visit will be used as an opportunity to review their plan toward compliance and self sufficiency. Services that support the ability of someone to participate in work or work preparation will be discussed. Community referrals will be made.

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

The population to be served remains the same as those eligible in ICS 2. Participants under this 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). On a monthly basis the Chief SWE downloads the most recent COGNOS report for sanctioned families for comparison with the report from the prior month. All new names are contacted with a revisit for the older cases. All employment related conciliation notices are copied to the Outreach Worker in an attempt to prevent a future sanction. The Welfare Management System (WMS), the Welfare to Work Case Management System (WTWCMS) and COGNOS will be utilized to identify cases, reason codes, individual sanction history, time limits, household composition and current budgets. Cases will be reviewed by UCDS staff prior to assignment to the Outreach Worker.

C. Explain the method of outreach that will be used to initiate contact with TANF-eligible, non-compliant 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.

Prior to cases assigned to the Outreach Worker, UCDS staff will review all action by DSS to confirm non compliance and the need for Intensive Case Management. The first contact by the Outreach Worker will be via a telephone conversation. The Outreach Worker will identify engage the participant into a discussion and request an office/home visit. Once the participant is engaged, more in depth case management will occur. The Outreach Worker will conduct regular home visits and in-depth interviews with families. The Outreach Worker will introduce the participant to the Outreach Aide who will facilitate and coordinate appointments for the participant.

Monthly, the Outreach worker and Aide will conduct workshops at DSS bringing partners and outside agencies into the office. These participants will be included in the Landlord/Tenant certificate program and all other programs available to DSS clients. The Outreach worker also attends all monthly Employment Orientations and is available to meet with sanctioned individuals.

All potential negative actions to the temporary assistance grant will be discussed with the Outreach Worker prior to implementation. The Outreach worker will work with the DSS worker and the participant to obtain compliance.

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.

United Way will be the provider of all direct services in this initiative. Referrals to community agencies will be made, when appropriate. The Outreach Worker and Outreach Aide will coordinate case management services and other activities provided to this population.

The case management services and other activities that will be provided will include, but not limited to:

- Outreach to identify target population with much face to face contact
- Conducting home visits and office visits and telephone communications
- Conducting in depth interviews with families having a sanctioned individual

Enhanced employment assessments and investigate barriers toward employment
 Identification of potential barriers toward self sufficiency
 Educate the impact of non compliance and the family's ability to financial security
 Acting as an Advocate for each family and making referrals to community resources
 Meeting with Agency staff for supervision
 Preparing necessary reports
 Offering mentoring

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
Director of TA	5%	Oversight of Projects Meet monthly with Chief Social Welfare Examiner
Chief Social Welfare Examiner	7%	Weekly meetings and Monthly review
Outreach Worker	100%	Face to face contact with target population Home visits, office visits, telephone communication Advocacy, Conducting assessments, Meetings w/Staff, Engagement - Assisting with compliance Conducting Monthly meetings.
Outreach Aide	100%	Assist Outreach Worker with all clerical related duties. Complete reports, comments sheets, scheduling of appointments, etc.
FOOTNOTE***		Other funds may be used to supplement ICS

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 Outreach Worker with the assistance of the Outreach Aide maintains a spread sheet of contacts, actions, and outcomes. Monthly tallies are completed. Outreach Worker does a monthly copulation and the Aide maintains all supporting data for statistics.

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 Ulster County DSS
 Provider Agency United Way

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 *	\$ 18,046.00		\$ 18,046.00
5. Staff Travel Costs			
6. Equipment Costs			
7. Supplies			
8. Other Direct Expenses			
9. Total Non-Salary Expenses			
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	\$ 18,046.00		\$ 18,046.00

* 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 _____ Ulster _____

Provider Agency _____ United Way _____

Budget Categories

4. Contractual Costs:

Contract with United Way to provide Intensive Case Services

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 for Noncompliant Families Baseline Budget Form
ICS 3

ICS3 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 Ulster County DSS
Provider Agency United Way of Ulster County

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
	\$12,098.73		\$12,098.73
	\$ 4,032.90		\$ 4,032.90
	\$ 16,131.63		\$ 16,131.63
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 200.00		\$200.00
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses		\$ -	\$ 200.00
10. Overhead Costs Allocated		\$ 1,714.37	\$ 1,714.37
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	\$ 16,331.63	\$ 1,714.37	\$ 18,046.00

* 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 _____ Ulster County Department of Social Services _____

Provider Agency _____ United Way of Ulster County _____

Budget Categories

4. Contractual Costs:

5. Staff Travel Costs:

Mileage at the County reimbursement rate not to exceed \$200.00

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.