



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 3, 2009

Mr. M. Josh McCrossen
Commissioner
Wayne County Department of Social Services
P.O. Box 10
Lyons, New York 14489-0010

Dear Commissioner McCrossen:

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 \$11,649.

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 'RS', written over a horizontal line.

Russell Sykes
Deputy Commissioner
Center for Employment and Economic Supports

Enclosure

cc: Mary Lippert
Krista Ethers
Libby McGinn

"providing temporary assistance for permanent change"

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

District Name: Wayne County

Contact Name and Number: Mary L. Lippert-

ICS funds budgeted for services to TANF-eligible noncompliant participants: \$ 11,649

Anticipated number of TANF-eligible noncompliant participants to be Served during program period: 35

I. Program goals and services:

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

Eligible individuals will be referred to Wayne ARC at which time a Case Manager will review the information provided and then schedule an in-home meeting with the referral to gather information. The Case Manager will work with each referral to assess interests, abilities, goals and limitations. Barriers that are preventing individuals from being in compliance will be identified and a plan will be developed that will provide a framework for becoming compliant, as outlined by LDSS regulations. Once a plan is designed, the Case Manager will take an active role in each step of the process by maintaining regular contact with the individual.

Wayne ARC's Case Manager will utilize services within the agency to assist each individual, as well as resources within the community. Services will include:

- Assessments of ability, interests and aptitudes, as well as full Vocational Assessments, as needed
- Work Experience placement and monitoring
- Assistance with filing for VESID, when appropriate
- Classroom instruction on career counseling, including resume writing, conducting employment searches and interviewing
- Career Counseling, focusing on individuals' strengths and increasing self-esteem
- Mentoring Services

The goal of this program will be to get referrals into compliance and ultimately obtain and maintain self-sufficiency.

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

Wayne County DSS staff will identify and refer appropriate, eligible individuals to the program.

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.

Primary initiation of contact will be by mail followed by telephone contact. In situations where both methods fail, in home contact will be made.

- D. Describe the case management services and other activities that will be provided to assist TANF-eligible, non compliant participants to identify and address barriers and increase participation in work or work-related preparation activities.

Eligible individuals will be referred to Wayne ARC at which time a Case Manager will review the information provided and then schedule an in-home meeting with the referral to gather information. The Case Manager will work with each referral to assess interests, abilities, goals and limitations. Barriers that are preventing individuals from being in compliance will be identified and a plan will be developed that will provide a framework for becoming compliant, as outlined by LDSS regulations. Once a plan is designed, the Case Manager will take an active role in each step of the process by maintaining regular contact with the individual.

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- Career Counseling, focusing on individuals' strengths and increasing self-esteem
- Mentoring Services

As a result of previous work programs that Wayne ARC had operated in conjunction with Wayne County DSS, we have several employees that were hired and have become valuable members of the WARC staff. We feel that using their insight when working with new referrals would be a wonderful asset to the program. WARC will utilize these employees as mentors for new referrals so that they have an opportunity to be mentored by someone that has actually "been in their shoes" and has cultivated varying levels of independence. These staff will also participate in classroom instruction to share their experiences and tell their stories of how and why they broke the cycle of dependence.

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
Case Manager	100%	Provide direct care services for entire caseload on a daily basis. Services include: completion of assessments; work experience placement, provide job preparation and referrals; complete referrals to appropriate services within the community (VESID, Social Security, etc.) and advocate for each individual when appropriate.
Program Coordinator	50%	Provide supervision for the program and provide direct support for Case Manager, to include case management services when necessary.
Production Supervisor	12.5 %	Provide supervision for Work Experience participants in Key Industries.

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).

Wayne ARC staff will provide monthly reports to DSS staff to include updates on each case and progress towards work and work-related goals, as are outlined in each individual's plan of service. Additionally, Wayne ARC staff will maintain regular contact with DSS staff to ensure individuals are maintaining compliance, as prescribed by LDSS regulations.

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

Wayne County

Provider Agency

Wayne ARC

Budget Categories

	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 8,700.00	\$ 819.00	\$ 9,519.00
2. Fringe Benefits	\$ 1,949.00	\$ 181.00	\$ 2,130.00
3. Total Salary & Fringe Benefits	\$ 10,649.00	\$ 1,000.00	\$ 11,649.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs			\$ -
6. Equipment Costs			\$ -
7. Supplies			\$ -
8. Other Direct Expenses			\$ -
9. Total Non-Salary Expenses			\$ -
			0
10. Overhead Costs Allocated		\$ -	\$ -
			0
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	\$ 10,649.00	\$ 1,000.00	\$ 11,649.00

* 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:

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 TCS3 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 WTCMS 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.