



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 24, 2009

Ms. Nancy L. Gates
Commissioner
Yates County Department of Social Services
417 Liberty Street, Suite 2122
Penn Yan, New York 14527

Dear Commissioner Gates:

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 \$5,821.

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: Suzanne Yonts
Krista Etters
Libby McGinn

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

District Name: Yates County Department of Social Services

Contact Name and Number: Suzanne Yonts 315-536-5183

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

\$ 5,821.00

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

7

I. Program goals and services

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

The goal of this project is to provide enhanced outreach and case management services to assist public assistance recipients to achieve self sufficiency and to ensure that the program guidelines are being appropriately applied to client circumstances. Though outreach we will identify the most appropriate set of activities and services for clients. These services will specifically include a letter to a client with a request to make an appointment, followed up by a phone call, and if necessary a case worker will go into the clients home to complete a comprehensive assessment and to identify and address barriers that are currently in place that are keeping the client from complying with program requirements.

The estimated number of TANF-eligible cases served by this project will be 7, this is the current number of FA cases where clients noncompliant at this time.

The case manager will use and adjust each individual's current employment plan according to the barriers that have been identified during the outreach visits. The case manager will also assist individuals to understand and complete programs requirements and come into full compliance with work activities, moving the client toward self-sufficiency.

These visits will allow the case manager to refer participants to services such as VESID, veteran's services, or other community based agencies to assist in the pursuit of self-sufficiency.

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

The case manager working with these individuals will be the employment coordinator. All public assistance recipients are required to meet with the coordinator and develop

employment plans. Individuals who are noncompliant will be identified through the regular follow up process including monthly and weekly reports on countable activities.

C. Explain the methods 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.

All individuals will initially be contacted through both mail to schedule an appointment, if that is not successful, attempts will be made to telephone the client. If these attempts fail, to bring a client in for an appointment, the case manager will schedule a visit in the clients' home.

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.

When individuals are identified as noncompliant, the case manager will begin services. Initial correspondence will be sent to the individual reminding them of the program requirements and giving information regarding an appointment with the case manager.

If the mailed correspondence does not serve to engage the client, a phone call will be made to the client. This one on one conversation will serve to answer any questions that the individual may have about completing the requirements of their public assistance case. Through this telephone appointment the case manager will attempt to schedule an appointment for an in person appointment.

Finally, if the initial correspondence and subsequent phone interview does not engage the client, the case worker will make an appointment for a visit to the client's home. This visit will allow the caseworker to observe and assess conditions of the home and address any family situations or barriers may be keeping the client from being fully engaged in 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
Employment Coordinator	20%	<ul style="list-style-type: none">• Initial letter of contact and follow up appointments• Follow up phone calls for individuals not responding to letter• Schedule home visits with clients• Assess clients for concerns and barriers to success• Meet with clients to schedule work activities

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 manager will report all client contacts and activities to the Director of Income Maintenance who has access to and will report the data through the TRACS 2 system. This will include all mandated information. Additionally, client contacts and outcomes are reported on a monthly basis to the Department of Social Services.

Intensive Case Services for Noncompliant Families Baseline Budget Form
ICS 3

ICS 3 Program Cycle: 1/1/09-12/31/09

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

Local Department of Social Services Yates County
 Provider Agency Department of Social Services

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 3,500.00		\$ 3,500.00
2. Fringe Benefits	\$ 1,328.00	\$ -	\$ 1,328.00
3. Total Salary & Fringe Benefits	\$ 4,828.00	\$ -	\$ 4,828.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 400.00		\$ 400.00
6. Equipment Costs			\$ -
7. Supplies	\$ 293.00	\$ -	\$ 293.00
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 693.00	\$ -	\$ 693.00
10. Overhead Costs Allocated		\$ 150.00	\$ 150.00
11. A-87 Costs Allocated		\$ 150.00	\$ 150.00
PARTICIPANT RELATED COSTS			
12. Work-Related Supports	\$ -		\$ -
13. Participant Transportation	\$ -		\$ -
14. Other Participant Related Costs	\$ -		\$ -
15. Total Participant Related Costs	\$ -		\$ -
16. Total Project Costs	\$ 5,521.00	\$ 300.00	\$ 5,821.00

* 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 _____ Yates County _____

Provider Agency _____ Department of Social Services _____

Budget Categories

4. Contractual Costs:

5. Staff Travel Costs:

Using the federal mileage reimbursement rate, this allows the staff member to travel an average of 25 miles per week.

6. Equipment Costs:

7. Supplies:

Supplies for this program will include the price of mailing, copies and materials to be handed out to clients.

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.