



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

April 8, 2009

Ms. Lucille Soldato
Commissioner
Oneida County Department of Social Services
800 Park Ave
Utica, New York 13501

Dear Commissioner Soldato:

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 \$37,278.

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: Mary Ellen Evans
Kim Groom
Libby McGinn

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

District Name: Oneida County

Contact Name and Number: MaryEllen Evans, (315)798-5659

ICS funds budgeted for services to TANF-eligible **noncompliant participants:** **\$ 37,278**

Anticipated number of TANF-eligible **noncompliant participants** to be served during program period: 45

I. Program goals and services

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

- Decrease Sanctions on SN-MOE adults
- Educate SN-MOE adults in transitional services of employment (EITC, MA, CC, HEAP)
- Motivate long – term employable adults to participate in community services - take advantage of training opportunities and work subsidies
- Motivate Long-term employable adults to seek / accept full – time employment
- Increase County Work Participation rate for SN-MOE

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

Oneida County's ICS will target the SN-MOE employable adults in non-compliance with work requirements. One Casework Supervisor currently monitors all sanctioned SN-MOE individuals; therefore a comprehensive list by case type, employability code, sanction type and other demographics is available daily on CMS and COGNOS. All SN – MOE with a WE1, WE2, and WE3 sanction will be referred to the Intensive Outreach Manager (IOM). The IOM will take over Employment Casemanagement for this population. The IOM will be co-located in the Oneida County DSS Employment Center in Utica where 80 % of the TA population is located, and will work with all adults in this population.

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.

Initial referral will include the reassignment of Casemanagement duties to the IOM
IOM will be responsible for all employment case activity at that point
IOM calls the sanctioned adult to schedule an in-home re-assessment
If unable to reach by phone will send appts by mail to adult
If unable to pre-schedule home visit, will stop by address and leave contact information.
Every effort will be made to engage the SN-MOE adult in non-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.

A seasoned community worker contracted through Oneida County Workforce Development will become the IOM casemanager for the noncompliant SN-MOE employable adult population – the IOM will continue to work with the individual for 90 days after re-engagement to address barriers and to ensure the individual makes a successful transition into employment activities. At that point case management will be taken over by an Employment unit casemanager.

Initial contact and continued involvement by the IOM casemanager will stress home visit and continued communication with the noncompliant SN-MOE employable adult population.

Re-assessment will consist of home assessment, family needs, and identifying current strengths to build on. Regular client contacts will be established – a high level of face to face interaction is expected, to build a rapport and to allow individual service strategies to develop. As the casemanager, the IOM will be able to adapt the Employability plan and short and long range goals to the needs of the client. Explanation of work requirements and the consequences of non compliance will be a major component, not as a threat of sanction but to help with compliance, for instance the family impact of non compliance resulting in less money available to the household will be demonstrated. Explanation of the local DSS process for sanctioning, and ending of a sanction, as well as the provision of supportive services for job search, training and employment will be included.

Home visits and ongoing phone conversations with participants will continue as outreach; however it is expected that the DSS Employment Center will continue as the hub of activity for job seekers. The OCDSS Employment Center is also the site of 3 JOBS Program Specialists, the Oneida Co. Daycare Unit, MidYork ChildCare Coordinating Council legally exempt program and Childcare Referral Specialist, and the CST Transportation Specialist; in addition to Employment case managers.

While no direct monetary incentives can or will be offered through this ICS program, there are many free community services that are available and may be discussed with participants. Local services include; Mohawk Valley Community Action Family day, JCTOD family outings, Cosmopolitan Center Computer training, Eat Smart NY sessions / recipe/ shopping help, MidYork ChildCare Coordinating Council car seats and home supplies, Lead testing of homes through OC Health Dept, Women's Employment and Resource Center Career Exploration, & budgeting sessions, One Stop PC classes, One Stop resume preparation, free tax preparation and EITC filing, Family Nurturing Center Healthy Families Program, GED/ABE/ ESOL classes at BOCES, Learning Disability testing and classes through LDA, Workforce Development Institute training opportunities, Municipal Housing Authority Self – Sufficiency program, WIC, local waivers for low-income residents to take Oneida County civil service tests, Legal Aid referrals for SSI hearings , subsidized housing including Section 8, Hope 6 home buyer program, and the Family Unification Program.

Employment supports such as Wage Subsidy, Grant Diversion, VESID, Certificate of Relief, Department of Labor Bonding program, Wheels for Work, CST funded bus passes/ gas cards/ transportation coordination and car repairs can be discussed.

It is anticipated that the re-sanctioning of SN-MOE employables will decrease with understanding of the DSS system and the ability and willingness to attain self sufficiency increases with intensive case management. Employment and participation will increase, helping local DSS and the client and their family

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
IOM – Contracted thru Oneida County Workforce Development	100 %	Case manage long term SN-MOE employable parents in sanction status for failure to comply and or subject to penalty – provide outreach services, re-engage clients, maintain empl case record, including CMS entries.

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 Employment Grade A Supervisor will serve as direct mentor and supervisor for the IOM. He will meet regularly and collect monthly statistics as needed for TRACS entry. The TRACS 2 entry will be done by Tammy Stoetzner, Principal Acct. Supervisor.

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 Oneida County
Provider Agency Workforce Development

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 *	\$ 37,278.00	\$ -	\$ 37,278.00
5. Staff Travel Costs	\$ -	\$ -	\$ -
6. Equipment Costs	\$ -	\$ -	\$ -
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 37,278.00	\$ -	\$ 37,278.00
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	\$ 37,278.00	\$ -	\$ 37,278.00

* 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 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 Oneida CountyProvider Agency Workforce Development Contract budget

Budget Categories			
	NON- ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
SALARY COSTS			
1. Salary Costs	\$ 28,951.00	\$ -	\$ 28,951.00
2. Fringe Benefits	\$ 7,079.00	\$ -	\$ 7,079.00
3. Total Salary & Fringe Benefits	\$ 36,030.00	\$ -	\$ 36,030.00
NON-SALARY COSTS			
4. Contractual Costs *	\$ -	\$ -	\$ -
5. Staff Travel Costs	\$ 1,040.00	\$ -	\$ 1,040.00
6. Equipment Costs	\$ 208.00	\$ -	\$ 208.00
7. Supplies	\$ -	\$ -	\$ -
8. Other Direct Expenses	\$ -	\$ -	\$ -
9. Total Non-Salary Expenses	\$ 1,248.00	\$ -	\$ 1,248.00
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	\$ 37,278.00	\$ -	\$ 37,278.00

* 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 _____ Oneida County _____

Provider Agency _____ Oneida County Workforce Development _____

Budget Categories
4. Contractual Costs:
One full time Intensive Outreach Manager - 35 hrs per week - through Oneida County Workforce Development - annual salary of \$28,951 -and standard fringe of \$7,079- no administrative costs are included in this budget
5. Staff Travel Costs:
Travel within Oneida County for home visits will be reimbursed -at the current IRS reimbursement rate
6. Equipment Costs:
cell phone costs
7. Supplies:
none
8. Other Direct Expenses:
none
12. Work-Related Supports:
none
13. Participant Transportation:
none
14. Other Participant Related Costs:
none

**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.