



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 14, 2009

Ms. Frances V. Lanigan  
Commissioner  
Oswego County Department of Social Services  
100 Spring Street  
P.O. Box 1320  
Mexico, New York 13114

Dear Commissioner Lanigan:

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 \$16,489.

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: Christine Weaver  
Kimberly Groom  
Libby McGinn

*"providing temporary assistance for permanent change"*

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

**District Name:** Oswego County

**Contact Name and Number:** John Babeock: (315) 963-5050

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

\$ 16,489.00

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

20

**I. Program goals and services**

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

The specific goals of this project are to continue assisting eligible participants subject to penalty for noncompliance with work activities with services to get them into compliance and progress to the point they are able to seek and obtain paid employment, thereby reducing or eliminating dependence on public assistance programs and improving the economic well being of families. As a result of these efforts, we expect to see an increase in the number of families successfully engaged in work or work activities, and a reduction in the number of families involved in the conciliation/sanction process.

Oswego County began this project in January of 2007 with over fifty families that were subject to penalty for noncompliance with work requirements, with numbers changing each month as families moved in and out of sanction. In a 1 ½ year period, we have had thirteen individuals become employed, fifty-two who were able to identify and address issues and agreed to comply with work requirements, and eighty-eight that closed their cases. Currently there are over twenty subject to penalty for noncompliance with work requirements. This allocation will allow us continue to target these families in order to identify and address the factors that may contribute to noncompliance, and to engage these individuals in appropriate work and work preparation activities leading to employment and self-sufficiency.

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

In Oswego County when a client fails to show for an appointment and they have not called to reschedule the appointment, the Employment Specialist completes the referral for sanction paperwork and the case is transferred to the Intensive Case Management (ICS) Employment Specialist. A conciliation notice is mailed to the client informing them of this action. When the customer contacts the agency, the ICS Employment Specialist sets up a face-to-face appointment to meet with the client in an attempt to resolve the issue and to explain what happens if a sanction is imposed.

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.

If a sanction is imposed, the ICS Employment Specialist schedules the client for a case management meeting as part of the determination of continuing eligibility for temporary assistance. The client is given written notice that failure to attend this meeting can result in their case being closed per department regulation 351.2. During this meeting, the ICS Employment Specialists discuss the clients' financial situation, explores any financial resources available to the client and works with the client to develop a plan to move the client to self-sufficiency. The ICS Employment Specialist also documents how the client is paying their bills, including rent, as the family has had a reduction in their temporary assistance grant. The ICS Employment Specialist explore with them other options, including child support and employment. The ICS Employment Specialist schedules monthly case management meetings to continue exploring clients' financial situation.

If the client does not show for this appointment, the ICS case manager will attempt to contact the client by telephone. If the ICS case manager is unable to contact the client, a case-closing request is processed and the client is mailed a case-closing notice. Many times the case-closing notice serves as a wake up call to get the clients attention and gets the client to respond. If the client contacts the agency prior to the case closing, the ICS Employment Specialist schedules a face-to-face meeting with the client and the case closing is not done. The ICS Employment Specialist continues to work with the client to address needs and develop a plan to move the client to self-sufficiency. Additionally, the ICS case manager will schedule a minimum of one home visit during the first three months that a client is sanction and will schedule additional home visits every three months.

- 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.

ICS Employment Specialist conducts case management meetings a minimum of once per month. The ICS Employment Specialist reviews financial resources available to the client, including HUD and child support; explores possible barriers to employment such as lack of a high school diploma or GED, literacy issues, legal issues, housing problems, physical/medical health issues, availability of transportation and/or childcare, family involvement with child protective/preventive services, domestic violence; or any other issue that arises, discusses with the client what options are available to curing their sanction; and provides linkages to area services, including the local JOBS program staff. In addition to monthly case management meetings, the ICS will contact clients by telephone, conduct home visits, and correspond with clients via regular mail and e-mail.

**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
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Employment Specialist	33%	<p>Contacting families involved in the conciliation/sanction process to schedule a meeting to discuss the reasons for non-compliance and encourage participation. Scheduling home visits as appropriate.</p> <p>--Providing intensive case management services to the individuals/families involved in the conciliation/sanction process.</p> <p>--Conducting an intensive assessment of the non-compliant individual to identify the root cause of non-compliance and a plan to overcome.</p> <p>--Facilitating a strength-based, family approach to assessment that will include the family members and the community organizations working with the family.</p> <p>--Development of a plan to bring the individual/family into compliance, including removing impediments within the family that prevent employment.</p> <p>--Promoting community linkages and insuring that individuals/families are provided information, access and referral to services specific to the family needs.</p> <p>--Reporting outcomes for the targeted population on a quarterly basis</p>

**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 Specialist currently working with this population under the original ICS project will continue to provide services to families subject to penalty for non-compliance with work activities. In addition the Employment Specialist will continue to be responsible for reporting outcomes for the targeted population on a quarterly basis including:

- number of participants targeted during the reporting quarter and number of targeted participants successfully contacted (served)
- number of participants successfully contacted during the reporting quarter and by what method
- engagement outcomes for the reporting quarter
- cases closed during the reporting quarter and the reason why

**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 Oswego County  
Provider Agency \_\_\_\_\_

<b>Budget Categories</b>			
	NON-ADMINISTRATION COSTS	ADMINISTRATION COSTS	TOTAL
<b>SALARY COSTS</b>			
1. Salary Costs	\$ 12,255.00	\$ -	\$ 12,255.00
2. Fringe Benefits	\$ 936.00	\$ -	\$ 936.00
<b>3. Total Salary &amp; Fringe Benefits</b>	<b>\$ 13,191.00</b>	<b>\$ -</b>	<b>\$ 13,191.00</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		\$ 2,473.00	\$ 2,473.00
11. A-87 Costs Allocated		\$ 825.00	\$ 825.00
<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>
<b>16. Total Project Costs</b>	<b>\$ 13,191.00</b>	<b>\$ 3,298.00</b>	<b>\$ 16,489.00</b>

\* 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.