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| LOCAL COMMISSIONERS MEMORANDUM |  
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DSS-4037EL (Rev. 9/89)

Transmittal No: 98 LCM-28

Date: May 29, 1998

Division: Temporary Assistance

TO: Local District Commissioners

SUBJECT: Case Management Pilot Project

ATTACHMENTS: Case Management Funding Application - available on-line

Purpose: This memorandum provides information regarding the availability of funding for Family Assistance Case Management (CM) pilots and outlines the requirements for local social services districts (SSDs) opting to apply for such funding. Included in this memorandum are several suggested scenarios for piloting a new level of CM services that promote client self-sufficiency. A great deal of local flexibility will be entertained in the examination of applications for CM funding. Thus, SSDs should not feel limited to the components contained in the outlined areas and are free to exercise a high degree of creativity in developing their CM applications.

Background: The Welfare Reform Act of 1997-98 Executive Budget provides \$1.8m in TANF funding to reimburse districts for case management pilots for clients who are currently or have been in receipt of Family Assistance (FA) benefits. Also eligible are Safety Net Assistance (SNA) recipients being funded under TANF. Included in the target population are:

- Clients who are otherwise eligible for FA, but who have been recently terminated from assistance by reason of increased earnings and/or child support collections;
- Clients currently in receipt of FA benefits, especially those nearing the 24 month work requirement and those with a history of long-term assistance;
- New Family Assistance recipients with a past history of PA receipt;
- Safety Net Assistance recipients whose cases are reimbursed through TANF funding.

Funding Methodology: Up to fifteen (15) districts will be selected for pilot project funding. Funding will be awarded based upon State review of a CM proposal submission. The proposal must include the following minimum standards:

- Description of the type(s) of recipients, or former recipients, targeted;
- Type(s) of services to be rendered;
- Numbers of clients to be served;
- Average cost per client;
- Goals, anticipated outcomes and methods by which performance will be measured;
- The proposed start and completion dates; and
- Whether, if selected, the project would require funding in future years.

Funding uses may include, but are not limited to:

- Staffing;
- Training;
- Contract services; and
- Software development.

Explanations/proposed components: FA case management is a systematic problem-solving process which relies on the case manager to ensure that a client with multiple, interrelated problems receives all necessary and appropriate services in a timely fashion. CM affirms the FA philosophy of providing the temporary financial assistance and supportive programs which will enable FA participants to achieve economic self-sufficiency.

Potential elements of a CM proposal could include:

- a) Creation of a case management system to monitor a client's self-sufficiency progress. Such system would ensure that all individuals and associated agencies working with the client are kept informed of the client's needs and progress. Special consideration will be given to case management systems that seek to improve the district's ability to:
  - monitor and expedite a recipient's or otherwise eligible former recipient's progress toward self sufficiency;

- . improve the communication and collaboration between FA case managers and other organizations/offices providing case management services to the FA population, e.g. FA and Child Welfare Services, FA and Substance Abuse treatment providers, FA and training and education providers, FA and employment services;
- b) Staff training for all or a specialized group of workers who will deal with the target population;
- c) Establishment of an in-house case management team that crosses organizational lines, including Adult and Children Services, Income Maintenance (IM), Child Support, Employment and Medical Assistance (MA) workers to devise and oversee the implementation of a comprehensive CM plan that will facilitate a recipient's self-sufficiency progress;
- d) Securing contract staff/services to coordinate, develop and report on the results of the CM process. This includes subcontracting services to appropriate community agencies;
- e) Establishment and oversight of community "mentoring" programs to support and encourage positive development and growth in both the clients and their households. This may include volunteer mentors from local organizations, including schools, social organizations and religious groups, who will foster the values required for the client to adhere to plans of self-improvement;
- f) Development of a post-FA CM system to provide transitional benefits and support to reduce incidences of FA recidivism;
- g) Identification and development of separate facilities or operating areas for CM clients and staff.

Filing Deadline: All districts wishing to submit a proposal for a CM pilot must do so in writing within 45 days of the release date of this memorandum. Applications should be mailed to:

Michael Warner  
Regional Team Leader  
Office of Temporary and Disability Assistance  
Division of Temporary Assistance  
40 North Pearl Street  
Albany, New York 12243

Funding requests may be approved in full, in part, or denied, depending upon the review team's evaluation of a district's proposal. Proposals will be evaluated according to the following selection criteria;

- . its originality, judged by the degree it demonstrates genuine creativity,

- its significance, particularly the degree to which it successfully addresses an important case management issue,
- its potential for demonstrating improved efficiencies in administering the FA program,
- its transferability, or the degree to which it shows promise of inspiring successful replication by other social services districts,

NOTE: Proposals attempting to secure reimbursement solely for existing organizational structure and processes will not be given consideration in the selection process.

SSD's will be notified of their plan approval, in whole or in part, within 30 days of the proposal submission deadline date. During the review period, districts may be contacted by the Review Committee and asked to adjust or modify certain aspects of their proposal. If any or all of a plan is not approved the Office will specify the reason(s) for the disapproval. Assuming the availability of funding, the district will have 15 days from the date the plan was disapproved to amend and resubmit the proposal.

Claiming Instructions:

The administrative costs associated with case management services for federally eligible FA clients should be reported as F17 function code expenditures. They should be claimed on the Schedule D-17 "Distribution of Allocated Costs to Other Reimbursable Programs" (DSS-3274). The costs from the Schedule D-17 are to be brought forward to a DSS-3922 form entitled, "Financial Summary For Special Projects" labeled "Case Management Pilot" and reported on the appropriate lines.

For individuals who are otherwise eligible for or recently terminated from TANF, funding the costs will be reported in the Total Column and claimed at 100% Federal Share. Reimbursement is available up to the limit of the approved project budget with these costs being outside the local districts federal and state administrative cost cap.

Suggested Distribution

Income Maintenance Directors  
Food Stamp Directors  
CAP Coordinators  
CSEU Coordinators  
Staff Development Coordinators

Contact Person

Regional County Team Representative at 1-800-343-8859, Region I ext. 3-0332; Region II ext. 4-9344; Region III ext. 4-9307; Region IV ext. 4-9300; Region V ext. 3-1469; Region VI (212) 383-1658 Fiscal: Bureau of Financial Services (Regions I-IV), Roland Levie at 1-800-343-8859, extension 4-7549 (user ID FMS 001) and Region V - Marvin Gold at (212) 383-1733 (user ID OFM270)

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Effective Date:

The provisions of this memorandum are effective June 1, 1998.

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Patricia A. Stevens  
Deputy Commissioner  
Division of Temporary Assistance

CASE MANAGEMENT FUNDING APPLICATION

District Name:

Contact Person:

Contact Phone:

Date of Application:

Description of Case Management Initiative:

Description of Target Population:

Size of Target Population:

Projected Cost per Client:

Anticipated Goals and Measurements:

Service Items, by Type:

Other Components:

Reporting Formats and Timetables:

Budgeted Items:

Staffing

Physical Plant:

Transportation:

Purchases:

Contracted Expenditures:

Other (Specify):

Total: