

NEW YORK STATE DEPARTMENT OF SOCIAL SERVICES
BLOCK GRANT REPORT TO THE DEPARTMENT OF
HEALTH AND HUMAN SERVICES
FEDERAL FISCAL YEAR 1994

I. Introduction

This report is submitted by New York State pursuant to the requirements set forth in Section 2352 (a) of the Omnibus Budget Reconciliation Act of 1981. P.L. 97-35), which enacts a new Section 2004 of Title XX of the Social Security Act, and implementing regulations (45 CFR 96.10 and related sections). This law requires that, prior to the expenditure by a State of payments made to it under Section 2002 of the Social Security Act, the State shall report on the intended use of Title XX payments, including information on the types of activities to be supported and the categories and characteristics of individuals to be served.

This report provides the following information concerning the Social Services Block Grant:

- o Anticipated funding levels
- o State funds required
- o Allocation formula to counties and/or providers
- o Administrative costs
- o Allocation of discretionary funds
- o Allocation among services
- o Transfers between block grants
- o Any eligibility requirements
- o Estimated number of persons to be served
- o Data concerning the prior year's administration of the grant

II. Funding Levels

Title XX of the federal Social Security Act remains a major source of funds for services to low-income persons who are the responsibility of the New York State Department of Social Services (State Department of Social Services). However, it should be noted that the Social Services Block Grant is only one of several sources of funding for these services. Consequently, this report provides an important, but incomplete account of New York State's delivery of social services.

A. Federal Allocations

For federal fiscal year 1992-1993, New York State's allotment of federal Title XX Social Services Block Grant funds was \$201.4 million.

B. State Appropriations

Chapters 50 and 53 of the Laws of 1993 provide appropriation authority permitting the State Department of Social services to spend the federal grant award on local district services and State training initiatives. Pursuant to this authority, \$197.4 million of the Social services Block Grant funds are

being used to reimburse social services districts for services and related administration and training, and \$4.0 million is allocated for use by the State Department of Social Services for training purposes during State fiscal year 1993. As federal law does not require that matching funds be provided, Chapter 53 of the Laws of 1993 did not include an allocation of State funds for Title XX services in State fiscal year 1993. No State match was provided for federal funds used for training either.

For State fiscal year 1992, Chapter 53 of the Laws of 1991 appropriated no State funds to reimburse social services districts for services, administration and training conducted under Title XX. No State match was provided for federal funds used for training.

Appropriation authority will be sought to expend federal grant award funds for Title XX services in State fiscal year 1994.

C. Transfer of Funds

Federal law permits the transfer of up to ten percent (10%) of a State's allotment under a block grant to support activities under another block grant. No funds were transferred from the Social Services Block Grant to fund programs under any other block grant during federal fiscal year 1993, nor will any such funds be transferred for such purposes in federal fiscal year 1994.

III. Allocation to Social Services Districts

A. Amount to be Allocated

For federal fiscal year 1994, it is anticipated that New York State's allocation will be \$199.4 million, a reduction of over \$ 2 million from 1992-93. In past years, 98 percent of the federal funds has been allocated to social services districts, with 2 percent retained by the State Department of Social Services for training purposes. Assuming that this practice continues, \$195.4 million will be available for district allocations in federal fiscal year 1994 from the State's allocation of Social Services Block Grant Funds.

B. Method of Allocation

Allocations to local districts from Social Services Block Grant funds for federal fiscal year 1993 were based on the existing Title XX allocations formula. This formula was originally devised using factors reflecting district population and expenditures. Subsequent modifications were incorporated reflecting movement toward a uniform per capita floor, and a separate formula was developed for additional funds which first became available in 1982 from the Low-Income Home Energy Assistance Block Grant. This methodology is described more fully in Appendix A. The formula is subject to annual re-examination and revision.

C. District Allocations

Allocations to social services districts during federal fiscal year 1992 from the basic allocation of Social Services Block Grant funds totaled \$197.3 million. These funds were allocated among the social services districts as shown in Appendix B. Allocation of Social Services Block Grant funds for federal fiscal year 1994 to social services districts will be based on the existing formula, subject to such modifications and revisions as may be deemed appropriate in the circumstances.

IV. Anticipated Uses of Funds

A. Overview

Funding provided by the Social Services Block Grant will be used for two broad purposes:

1. to provide specific services by the 58 social services districts, including related training and administrative costs, either directly or through purchase-of-service contracts; and
2. to provide training or other services by the State Department of Social Services, or by other agencies through purchase-of-service agreements.

B. Services Provided by Local Districts

The following 21 types of services provided by local districts are supported by the Social Services Block Grant. These services are defined in Appendix C.

Adoption Services
Child Care Services
Educational Services
Employment Services
Family Planning Services
Foster Care Services for Children
Health-Related Services
Homemaker Services
Home Management Services
Housekeeper/Chore Services
Housing Improvement Services
Information and Referral Services
Preventive Services for Adults
Preventive Services for Children
Protective Services for Adults
Protective Services for Children
Residential Placement Services for Adults
Services to Victims of Domestic Violence
Social Group Services for Senior Citizens
Transportation Services
Unmarried Parent Services

Related training and administrative activities of local districts are also funded by the Social Services Block Grant.

C. State Agency Services and Training Activities

In past years, two percent of the State's Social Services Block Grant allocation has been dedicated to support training activities of the State Department of Social Services. Pursuant to Chapter 50 of the Laws of 1993, \$4.0 million was provided for such activities in State fiscal year 1993. This training is provided directly by the State Department of Social Services or by other agencies under contract with the Department. Training is furnished

primarily to staff of social services districts and also to staff of organizations from whom such districts purchase social services, and relates to high priority service areas and needs. Approximately \$450,000 of these funds are being used to finance State Department of Social Services administration of training activities and contracts in federal fiscal year 1993. Funds for administration of training activities and contracts in federal fiscal year 1994 are projected at \$450,000.

V. Estimated Levels of Service

Certain of the 21 services noted previously are required by State law to be provided to all persons in need of the service, without regard to income. Other services are mandated only to certain income or other categorical groups or under certain conditions. Delivery of services which are not mandated is a matter for determination by the local social services district. The following is a general outline of mandated and non-mandated services:

Services Mandated Without Regard to Client Income

- o Adoption
- o Information and Referral
- o Preventive Services for Children
- o Protective Services for Children
- o Protective Services for Adults
- o Services to Victims of Domestic Violence (as of 1/1/92)
- o Foster Care for Children

Services Mandated to all Clients Whose Income Falls Within State-Specified Limits

- o Residential Placement Services for Adults
- o Unmarried Parent Services

Other Services Mandated Under Certain Conditions

- o Child Care Services
- o Family Planning Services
- o Home Management Services
- o Homemaker Services
- o Housekeeper/Chore Services
- o Housing Improvement Services
- o Health Related Services

Other Services Not Mandated

- o Educational Service
- o Employment Service
- o Preventive Services for Adults
- o Social Group for Senior Citizens
- o Transportation Services

As noted above, certain services are required to be provided without regard to income. Eligibility categories are described more fully in the service definitions set out in Appendix C. Statewide maximum income eligibility standards apply to certain other services, but social services

districts may set lower income eligibility standards for any such services. Income eligibility standards for the various mandated and optional services and Statewide fee structure for Child Care Services are summarized in Appendixes D and E respectively.

B. Estimated Expenditures and Persons to be Served, by Service Category

To estimate how Social Services Block Grant funds for federal fiscal year 1994 will be spent, we must rely partially on the planned pattern of expenditures and number of clients to be served during the services plan year 1993. Available data, derived primarily from the 1993 Annual Implementation Report (the update to the 1991-1993 Consolidated Services Plan) submitted by the social services districts, indicate the following levels of service planned for calendar year 1993:

<u>Service Category</u>	Gross Title XX Funds (In Thousands)	Persons To Be Served
Adoption Services	\$ 905	13,287
Child Care Services	141,548.8	222,433
Educational Services	795.3	4,835
Employment Services	116.2	35,471
Family Planning Services	277.5	60,971
Foster Care Services for Children	8,348.6	84,615
Health-Related Services	739.9	12,499
Home Management Services	1,036.2	7,080
Housekeeper/Chore Services	846.8	9,944
Housing Improvement Services	1,541.1	28,040
Homemaker Services	7,333.8	18,999
Information and Referral Services	8,625.2	377,189
Preventive Services for Adults	5,028	6,762
Preventive Services for Children	142,619.6	172,210
Protective Services for Adults	1,902.9	35,440
Protective Services for Children	7,953.5	519,637
Residential Placement Services for Adults	6,282	8,808
Services to Victims of Domestic Violence	596.7	38,484
Social Group Services for Senior Citizens	146.7	1,960
Transportation Services	529.3	83,733
Unmarried Parent Services	931.6	11,372

The estimated persons to be served include children and adults in each service category. An unduplicated count of all persons served across all service areas is not available. The total gross Title XX funds represents federal and local contributions. Final expenditures will reflect adjustments in light of allocation ceilings.

VI. Expenditures and Administration of Social Services Block Grant in Federal Fiscal Year 1992

A. Consolidated Services Planning Process

Chapter 231 of the Laws of 1987 provides the Department with permanent authority to require social services districts to develop and submit multi-year Consolidated Services Plans and Annual Implementation Reports. The

provisions for such consolidated planning were originally enacted by Chapter 681 of the Laws of 1981 and extended to September 30, 1987 by Chapter 539 of the laws of 1983.

The Guidelines promulgated for the 1993 Annual Implementation Report called for the submission of Reports by social services districts on October 31, 1992 to be effective January 1, 1993 through December 31, 1993. The State Department of Social Services reviewed all 58 Annual Implementation Reports submitted by the social services districts. While the three year plans submitted in October 1990 outline and describe the major directions and priorities for the period of 1991 through 1993, Annual Implementation Reports provide an update on implementation activities and detail any proposed amendments to the plan.

The Department is currently revising the structure and procedures for local planning. Therefore, rather than initiating a new three-year planning cycle, the existing planning cycle was extended for a fourth year. Annual Implementation Reports covering the period of January 1994 through December 1994 are currently in preparation in each of the districts.

During the 1992-93 program year, staff of the Division of Family and Children Services monitored local district implementation of the Plan through site visits, review of data and telephone contacts. At least one on-site visit was conducted with each of the fifty-eight local districts. The purposes of this monitoring effort were:

- o to maintain district accountability regarding the service intentions stated in the Plan;
- o to gather information on each district's successes and to identify obstacles encountered in the implementation of the Plan;
- o to provide on-site technical assistance to districts including direction for the development of Annual Implementation Reports; and
- o to promote the ability of the State Department of Social Services staff to assist local districts in the implementation of State policy, through a better understanding of local district programmatic strengths and problems.

B. Services Expenditures by Local Districts

The most recent year for which preliminary estimates of expenditures can be provided is federal fiscal year 1992. In that year, local district claims for services eligible for Title XX reimbursement totaled \$717.7 million. Because the amount of federal funds available for such purposes was limited, reimbursement from Title XX was provided for only a portion of such services. Other funding sources were used to reimburse remaining expenditures as appropriate. The following is a preliminary accounting of local district expenditures by service category for federal fiscal year 1992. The most current figures are for expenditures through October 1992, and are not a final accounting.

Expenditures for Title XX
Eligible Services
FFY 1992
(\$ in millions)

Adoption	6.3
Child Care Services	96.9
Educational Services	0
Employment Services	0
Family Planning Services	1.1
Foster Care Services for Children	32.7
Health-Related Services	.047
Home Management Services	.058
Housekeeper/Chore Services	2.2
Housing Improvement Services	.988
Homemaker Services	5.5
Information and Referral Services	1.4
Preventive Services for Adults	.301
Preventive Services for Children	208.1
Protective Services for Adults	44.0
Protective Services for Children	197.9
Residential Placement Services for Adults	0
Services to Victims of Domestic Violence	1.5
Social Group Services for Senior Citizens	13.4
Transportation Services	.150
Unmarried Parent Services	.146
Training	3.5
All Other Direct Services	101.5

C. Administrative Costs

Administrative costs are not reported separately from other programs costs, but they may be estimated by identifying those direct costs incurred by local districts in the provision of social services other than the salaries and other direct expenses incurred exclusively by services staff. In FFY year 1992, administrative costs were estimated to be 14 percent of the total expenditures for all services eligible for Title XX reimbursement. This ratio suggests that administrative costs accounted for an estimated \$27.6 million of the \$197.3 million in federal funds available to local districts in federal fiscal year 1993.

D. Services and Training

As noted previously, two percent of the Social Services Block Grant funds are used by the State Department of Social Services for training activities in Child Protective Services, Day Care, Protective Services for Adults (including the homeless), and other services-related areas. For federal fiscal year 1993, the amount allocated was \$4.0 million, of which approximately \$450,000 was used to support Department staff administering the training contracts funded by the remaining \$3.65 million. In federal fiscal year 1994, approximately \$450,000 of the approximately 4.0 million anticipated for training funds will be used to administer training and the training contracts.

VII. Coordination with Other Funding Streams

The Title XX funds available to New York State are insufficient to support the level of service delivery required across the State. Therefore, for each of the twenty one services other Federal, State and local resources are applied. The use of a particular funding source for a specific service is determined by applicable Federal and State laws and regulations. In addition, local practice or preference may effect the funding profiles across districts. Listed below are the primary additional federal funding sources contributing to the support of one or more of the twenty one Title XX services:

Child Care Development Block Grant
Emergency Aid to Families (EAF)
Low Income Day Care Program
SSI and Congregate Care Supplement
Title IV-A
Title IV-B
Title IV-E
Title XIX

METHODOLOGY USED
FOR THE ALLOCATION OF
FEDERAL TITLE XX FUNDS
TO SOCIAL SERVICES DISTRICTS

INTRODUCTION

A methodology for allocating federal services funds among social services districts was established for the first time in 1972. Since that time, a number of modifications have been made to the allocation methodology. The purpose of this paper is to explain the original methodology and each change to it.

ORIGINAL METHODOLOGY

According to the original 1972 Title XX methodology, a district's allocation for Title XX services and administration was based on the sum of two amounts: one half was determined by the district's proportion of the State's population, and the other half was determined by the district's expenditure of federal Title XX funds for services. A district's allocation could be no more than twice its federal expenditure amount, which in effect became a ceiling. Any remaining federal funds were reallocated among those districts whose allocations were less than their ceilings. The data used for this Title XX allocation methodology were 1970 Census population statistics and federal fiscal year 1972 expenditures for services.

In this manner, \$217 million of federal Title XX funds were allocated to local districts in federal fiscal year 1973. For the next five years, all changes in federal Title XX funding levels were passed on to local districts proportionately. That is, if a district received 5% of all federal funds allocated to districts in 1972-73, that proportion was maintained in each subsequent year, until 1978-79.

CHANGE IN 1978-79

In federal fiscal year 1979, the Department reviewed the existing methodology at that time, and believed that at a minimum, the allocation formula should permit a floor of \$6 per person in each county. Therefore, the additional dollars made available to local districts in 1978-79 were used to take the first step to achieve this goal. Forty-six local districts had their allocations increased by 40% of the difference between their existing per capita allocation and the \$6 per capita floor; however, none of these districts received less than \$20,000. In addition, New York City received \$4 million dollars. All other counties which were already at or above the \$6 per capita figure received no additional funds.

For the next three years, each local district's Title XX allocation was their proportion of total federal Title XX funds according to the 1978-79 modification.

CHANGE IN 1981-82

As a result of the Omnibus Budget Reconciliation Act of 1981, Title XX, Title XX Day Care, and Title XX training funds were combined into a Social Services Block Grant with authorized funding of \$2.4 billion in federal fiscal year 1982, of which New York State's allocation was \$184.9 million. The New York State legislature enacted legislation requiring that all federal Title XX funds appropriated by the Congress were to be allocated solely to social services districts, with up to and no more than 2% of such funds able to be used by the Department for training purposes.

Based upon these federal and State legislative actions, \$181.2 million of federal Title XX funds were allocated among local districts according to the existing Title XX allocation formula. These funds constituted 98% of the total federal allocation. Because of the severe reduction in federal Title XX funds available and the need to undertake such reductions in a staged manner, \$10.0 million of federal Low-Income energy Assistance Program Block Grant funds were allocated to finance Title XX services, administration, and training as permitted by federal and State law. Therefore, a total of \$191.2 million of federal funds were made available to local districts in that year.

The allocation of \$191.2 million of federal funds among local districts was based upon the following approach:

1. \$181.2 million or 95% of all such funds were allocated according to the existing Title XX formula.
2. The \$10 million in federal Low-Income Energy Assistance Program Block Grant funds, or the remaining 5% of the \$191.2 million was allocated among local districts to create a floor so that:
 - a) No district would receive a reduction in their total allocation of federal funds resulting in gross funds for mandated services being less than the amount reimbursed through Title XX for such services in federal fiscal year 1980 in that district.
 - b) No district would have its total allocation reduced to a level resulting in a per capita allocation less than the mean for all counties (\$5.69), or per capita expenditures for optional services less than the mean for all counties (\$2.05).
3. It was assumed that funds for mandated services through 50/50 reimbursement and that existing alternative sources for shifting claims would remain available.

APPLICATION TO FUNDS AVAILABLE IN 1982-83 THROUGH 1993-94

The allocation methodology described above was used in federal fiscal year 1982. For federal fiscal year 1983, an additional \$3.9 million became available to the State for Title XX purposes. Ninety-eight percent of such funds were allocated to local districts in direct proportion to their allocation according to the revised methodology implemented in 1981-82.

The basic allocation of Social Services Block Grant funds for 1983-84 permitted an allocation of funds to social services districts of an amount equal to the total amount of such funds which had been allocated to local districts for Title XX purposes in the previous year. In this same year, however, an additional \$5 million of such funds became available for distribution to social services districts. This additional amount was allocated among the social services districts in the same proportion as the total allocation of funds for federal fiscal year 1983.

For federal year 1984-85, the basic allocation of Social Services Block Grant funds again permitted an allocation of funds to social services districts of an amount equal to the total amount of such funds which had been allocated to local districts for Title XX purposes in the previous year. The distribution of these funds was based on the relationship between each district's 1983-84 allocation and the total of FFY 83-84 allocation to arrive at each district's proportion of the 1984-85 total. The same methodology has been applied in each subsequent federal fiscal year to derive the proportion of funds allocated to each local district.

Appendix B

DISTRICT REIMBURSEMENT CEILINGS FOR SOCIAL SERVICES

OCTOBER 1, 1992 -SEPTEMBER 30, 1993

<u>District</u>	<u>Allocation of Federal Funds</u>	<u>District</u>	<u>Allocation of Federal Funds</u>
Albany	2,411,603	Oneida	1,396,012
Allegany	243,602	Onondaga	2,813,515
Broome	1,288,470	Ontario	395,390
Cattaraugus	476,622	Orange	1,582,305
Cayuga	525,099	Orleans	185,641
Chautauqua	905,961	Oswego	524,479
Chemung	530,052	Otsego	379,522
Chenango	284,415	Putnam	348,758
Clinton	536,105	Rensselaer	1,103,330
Columbia	280,350	Rockland	1,537,416
Cortland	216,819	St. Lawrence	696,639
Delaware	265,760	Saratoga	651,295
Dutchess	1,116,399	Schenectady	810,249
Erie	6,239,052	Schoharie	153,467
Essex	193,345	Schuyler	120,529
Franklin	306,174	Seneca	190,414
Fulton	357,339	Steuben	546,130
Genesee	300,926	Suffolk	8,121,218
Greene	246,233	Sullivan	360,078
Hamilton	28,770	Tioga	202,632
Herkimer	284,162	Tompkins	476,947
Jefferson	491,022	Ulster	622,362
Lewis	160,409	Warren	310,637
Livingston	267,143	Washington	260,413
Madison	323,248	Wayne	446,576
Monroe	5,777,878	Westchester	8,843,689
Montgomery	322,344	Wyoming	210,118
Nassau	7,953,162	Yates	104,977
Niagara	1,429,125	NYC	<u>130,217,570</u>
		TOTAL	<u>197,373,897</u>

SERVICES DEFINITIONS

This appendix presents current definitions for the social services to be provided in New York State in federal fiscal year 1992.

ADOPTION SERVICES

DEFINITION: Assisting a child to secure an adoptive home (through counseling with biological parent(s) unwilling or unable to care for a child to surrender such child for adoption or instituting legal procedures to separate the child from his/ her parent(s) under appropriate circumstances and arranging for and providing legal services to accomplish this purpose; the recruitment, study and evaluation of interested prospective adoptive parents; training for prospective and approved adoptive parents, evaluation of placement need, pre-placement planning, selection and placement of available children; counseling for families after placement; supervision of child in adoptive homes until legal adoption is completed; post- adoption services including counseling of the child, adoptive parents, and biological parents for up to three years following legal adoption.

NATIONAL GOAL RELATIONSHIP: II, III, IV

METHOD OF PROVISION: Direct provision, purchase private

CATEGORIES OF ELIGIBLE INDIVIDUALS:

All individuals without regard to income.

CHILD CARE SERVICES

DEFINITION: Assessing the need for, arranging for, providing, supervising, monitoring and evaluating the provision of care of a child for less than 24 hours per day when such care is provided by a caregiver operating in compliance with State laws and regulations for child care; and developing, and recruiting out-of-home child care. Child care services may only be provided to children under 13 years of age except in the following circumstances:

Children with special needs may receive care until age 18.
 Children under court supervision may receive care until age 18.
 Children who attain the maximum age allowed during the school year may continue to receive child care services, if otherwise eligible, through the end of the school year.

Child Care services for children are allowable, if the local district so elects, only in the following instances:

- (a) As a necessary part of a plan of self-support for the parent(s) or caretaker(s) who meet the following requirements:
- 1) are employed, or
 - 2) are participating in an approved program of vocational training or rehabilitation which, for purposes of this section, includes enrollment in a two- year undergraduate program with a specific vocational objective. Under this requirement day care services, except for JOBS shall be authorized only for the following training programs:
 - (i) those which have a specific occupational goal and are conducted by an institution licensed or approved by the State Department of Education other than a college or university. Enrollment in more than two consecutive such training programs is not allowable;
 - (ii) those undergraduate or community college programs with a specific vocational sequence leading to an associate degree or certificate of completion within a determined time frame which shall not exceed 30 consecutive calendar months;
 - (iii) those pre-vocational skill training programs such as basic education and literacy training;
 - (iv) those demonstration projects designed for vocational training or others as approved by the State Department of Social Services;
 - (v) those programs leading to a high school diploma or high school equivalency diploma;
 - (vi) notwithstanding the potential of some vocational training programs as detailed above, to allow for the eventual attainment of a bachelor's degree or like certificate of completion for a

four-year college program, this regulation does not permit the renewal of such vocational training program enrollment for any additional period; or

- 3) are actively seeking employment. Under this requirement day care may be authorized for up to six months to only those who can document that they are currently registered with the New York State Employment Service.
- (b) As part of a plan to achieve or maintain self-sufficiency, including the reduction or prevention of dependency and maintenance of the family unit, when the parent(s) or caretaker(s) is unable to provide care or supervision of the child due to:
 - 1) illness;
 - 2) incapacity; or
 - 3) necessary absence from the home for a substantial part of the day.
- (c) As a service in two parent families. Under this requirement both parents shall meet the program eligibility requirements specified in (a) and (b) above.
- (d) As a necessary and integral part of an approved child services plan of services to:
 - 1) provide preventive services;
 - 2) provide protective services for children who have been reported neglected, abused or maltreated.
- (e) As a required part of an approved service plan to prevent or reduce institutional care by providing for community-based care.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV

METHOD OF PROVISION: direct provision, purchase private, purchase public

Title XX funds will be used for the provision of care in settings operating in accordance with applicable State law and regulations.

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

EDUCATIONAL SERVICES

DEFINITION: Assessing the need for and arranging educational counseling and training for a person; providing an educational service which is not generally made available by a local public school district to any individual without cost and without regard to income (such programs should be discussed with local school officials prior to proposing their funding).

NATIONAL GOAL RELATIONSHIP: I, II, III

METHOD OF PROVISION: Direct Provision

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

EMPLOYMENT SERVICES

DEFINITION:

- (a) Exploring interests and potential for self-support, individual counseling necessary to deal with family and/or individual barrier(s) which prevent or limit individuals in their use of training and employment opportunities and providing for referral to and use of public and voluntary agencies in the field of health, education and employment; arranging for vocational services including but not restricted to vocational diagnosis, vocational education and vocational training for individuals who appear to possess the necessary talents, aptitudes and skills. For the blind and handicapped, consideration should be given to utilization of the services available through the Office of Vocational Rehabilitation of the State Department of Education or the Commission for the Blind and Visually Handicapped at the State Department of Social Services.
- (b) Providing diagnostic assessment, when necessary, to determine the employability of an applicant for or recipient of AFDC or Home Relief financial assistance.
- (c) Arranging for other necessary services to support, gain or retain the employment including counseling and legal services.

NATIONAL GOAL RELATIONSHIP: I, II

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

FAMILY PLANNING SERVICES

DEFINITION: Services to enable individuals (including minors who may be sexually active) to plan their families in accordance with their wishes, to limit family size, space their children, to correct infertility, or prevent or reduce incidence of unwanted pregnancies by arranging for and providing the following component services:

Component A: Social and educational services which include the distribution of printed material, group discussions and individual sessions to discuss family planning, educational and medical resources available in the community.

Component B: Medical services which include diagnosis, treatment, drugs, supplies and related counseling furnished or prescribed by or under the supervision of a physician.

Districts are mandated to provide Component A to AFDC, HR, and SSI recipients. Component A may be provided through Title XX or through the State's Title XIX (Medical Assistance) Program. Districts may opt to provide Component B to income eligibles who are not eligible for Medical Assistance. A district which selects Component B for optional groups may choose, by so indicating in its local plan component, not to pay for drugs and supplies prescribed thereunder. In that instance, recipients of family planning services who are not eligible for medical assistance would fill such prescriptions at their own expense.

In addition, districts may provide family planning services without regard to income to persons under 21. Districts may also opt to provide family planning services without regard to income to individuals under the age of 18 as a necessary and integral part of an approved child services plan to provide preventive services for children in accordance with the definition for these services.

NATIONAL GOAL RELATIONSHIP:

Component A: I, II, III, IV, V

Component B: I, II, III, IV, V

METHOD OF PROVISION:

Component A: Direct provision, purchase private, purchase public

Component B: Purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles, and Without Regard to Income for Individuals under age 21.

FOSTER CARE SERVICES FOR CHILDREN

DEFINITION: Assessing the need for, arranging for and providing for placement of and services to individuals under the age of 18 (under 21 in cases of children in foster care prior to age 18) in a foster home or appropriate group care facility as a result of either a judicial determination to the effect that continuation of care in a child's own home would be contrary to the safety or welfare of such child, or at the request of the parent or legal guardian. A foster care home or facility used for care of children shall be certified, approved, or licensed by the State in which it is situated or have been approved by the agency of such State responsible for licensing or certifying homes or facilities of this type as meeting required standards.

Foster care services include:

- (a) Recruitment and study of foster care homes and facilities to determine their acceptability in providing foster care; certification, approval or licensing of such homes and facilities; arranging for and providing medical examinations for the child; investigation, study and evaluation of the child and his/ her family; exploration of alternatives to placement; determination of the need for placement and selection of a suitable home facility; arranging for appropriate services available under the annual services plan needed by such child while awaiting and during placement; placement of such child in the least restrictive setting available and consistent with the child's best interest; supervision of the care of such child in foster care and of the foster care home or facility to assure appropriate care; counseling with the parent or other responsible relative to improve home conditions and enable such child to return to his/her own home or the home of a relative as soon as is feasible; the periodic review of the placement to determine its continuing appropriateness and planning for the child's discharge from care according to the permanency plan for the child.
- (b) Casework, therapeutic and other appropriate services as contained in the Consolidated Services Plan for the child during the placement process, in foster care and after foster care. Such services may be provided by staff of a provider agency through a purchase of service contract.
- (c) Special services provided by the foster family home because of the child's health condition, emotional or behavioral problem.
- (d) Termination of parental rights when legally indicated and in the best interest of the child and the development of alternate plans of care in an adoptive home when feasible.
- (e) Services to assist youth in preparing for independent living may include classroom and practical experience in life skills, money management and vocational preparation.
- (e) Discharge services may include after-care services and shall include supervision services.

- (i) After-care services include provision of, referral to or coordination with other appropriate services, when the child has been returned to the home of his/her parents, other relatives, significant others or to his/her own responsibility.
 - (ii) Supervision may include referral to or coordination with other appropriate available services for a child, until such child becomes 21 years of age, when the child has been discharged to his/her own responsibility.
- (f) Arranging for other supportive services including legal, educational, and health related services.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV, V

METHOD OF PROVISION: Direct provision, purchase private

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC and SSI (Title IV-E related), All individuals without regard to income for State-funded care

HEALTH RELATED SERVICES

DEFINITION: Assisting individuals and families to attain and maintain a favorable condition of health by helping them to identify and understand their immediate and comprehensive health needs; helping them locate appropriate resources and obtain the necessary therapeutic and preventive medical care and treatment, counseling and health maintenance services and provide follow-up services as needed to achieve the objective. Included are the following:

- (a) General health care for all eligible clients, including such activities as finding a doctor who will accept Medicaid and/or Medicare, locating an appropriate clinic or hospital, and helping clients secure transportation necessary to obtain services.
- (b) Services to assist chronic drug or alcohol abusers to identify the existence and status of their drug or alcohol problems; to seek and use needed medical services; and to seek and participate in appropriate treatment programs.
- (c) Services to help identify need for vocational rehabilitation services (other than those performed as part of the Work Incentive Program); to seek and use the services available through the Office of Vocational Rehabilitation Services of the State Education Department of the Commission for the Blind and Visually Handicapped or the State Department of Social Services; to help provide the medical and other services necessary for such clients; to be maintained in the rehabilitation program. This does not include those medical services provided by OVR and CBVH in accordance with their respective agreements with the State Department of Social Services (DSS Bulletin 184 and Bulletin 184A).
- (d) Child Health Assurance Program (CHAP) Services (not otherwise provided under Medical Assistance) to implement this program in accordance with Department Bulletin 190.
- (e) Services to help eligible clients find and gain admission to necessary institutional placement such as nursing homes, adult homes, State hospitals, health-related facilities.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV, V

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

HOMEMAKER SERVICES

DEFINITION: Assessing the need for, arranging for, providing and evaluating the provision of personal care, home management and incidental household tasks through the services of a trained homemaker, who meets departmental standards, for the following:

Component A: For children because of illness, incapacity or absence of caretaker relative.

Component B: For individuals, families, caretaker relatives and/or children to achieve adequate household and family management.

Component C: For individuals because of illness or incapacity.

Component C is mandated for those eligible for SSI but optional for others. Component A and Component B are optional.

NATIONAL GOAL RELATIONSHIP:

Component A: I, II, III, IV

Component B: I, II, III, IV

Component C: I, II, III, IV

METHOD OF PROVISION:

Component A: Direct provision, purchase private, purchase public

Component B: Direct provision, purchase private, purchase public

Component C: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

HOME MANAGEMENT SERVICES

DEFINITION: Assessing the need for, arranging for, providing and evaluating the provision of formal or informal instruction and training in management of household budgets, maintenance and care of the home, preparation of food, nutrition, consumer education, child rearing and health maintenance. The formal or informal instruction and training may be provided by a caseworker, home economist or a trained homemaker who meets department standards, or be referred to appropriate community resources. These services include the evaluation, in appropriate cases, of the need for protective and vendor payments and related services.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

HOUSEKEEPER/CHORE SERVICES

DEFINITION: Assessing the need for, arranging for, providing in accordance with standards of the department and evaluating the provision of light work or household tasks (including such activities as help in shopping, lawn care, simple household repairs and running errands) which families and individuals in their own homes are unable to perform because of illness, incapacity or absence of a caretaker relative, and which do not require the services of a trained homemaker. Cash reimbursement may be provided to the recipient for irregular or intermittent services which are specifically identified in the service plan, approved by the agency prior to the purchase and secured by the individual within an authorized period at an authorized cost and upon presentation of a receipt.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

HOUSING IMPROVEMENT SERVICES

DEFINITION: Assessing the need for and arranging for individuals and families to improve their housing conditions. Includes:

Component A: Helping individuals and families to obtain necessary repairs, be protected from abuse or exploitation by landlords or other tenants, identify and correct substandard rental housing conditions or code violations, find suitable and adequate alternative housing, and obtain needed assistance or relief from public agencies that regulate housing, including arrangement for legal services, if necessary.

Component B: Helping functionally impaired or frail older adults to maintain community residency by identifying such adults who would otherwise require care in a domiciliary care facility or similar institution, arranging for placement in an appropriate small group living arrangement, and/or locating, contracting for, and preparing suitable housing sites, including providing minor installations such as appropriate furniture and furnishings, grab bars, and hand rails, ramps, skid-proof floor covering and other safety measures as required.

Component A is mandated for SSI recipients. Component B is optional and provided on the basis of group eligibility to selected older adults who meet the program definitions.

NATIONAL GOAL RELATIONSHIP:

Component A: I, II, III, IV

Component B: II, III, IV

METHOD OF PROVISION:

Component A: Direct provision, purchase private, purchase public

Component B: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS

AFDC, SSI, Income Eligibles

Group Eligibility (Component B) to persons 65 years of age or older who are residing in community-based small group living arrangements with comprehensive supportive services approved by the State Department of Social Services and who in the absence of such living arrangements, would be unable to live independently.

NOTE: (Component B services are being offered pursuant to the State purchase-of-service contracts with public and private agencies.)

INFORMATION AND REFERRAL SERVICES

DEFINITION: Providing information about services provided under the Comprehensive Annual Social Services Program Plan and other human service programs including legal, educational and consumer services; brief assessment (but not diagnosis and evaluation) to facilitate appropriate referral to and follow-up with community resources which provide such services.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV V

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

All individuals without regard to income.

PREVENTIVE SERVICES FOR ADULTS

DEFINITION: Supportive and rehabilitative services provided to persons age 18 or older who are single adults or families without minor children, including:

- (i) Assessing the need for, providing and evaluating the provision of individual, group and/or family counseling in order to identify those problems, including but not limited to abuse and neglect, personal or family dysfunction, marital conflict, and problems of aged, blind and handicapped individuals, which prevent or interfere with effective individual or family functioning and to assist in the resolution of those problems;
- (ii) arranging for the receipt of other services, including legal services;
- (iii) assessing the need for, arranging for, and evaluating the provision of services that foster optimum functioning of the individual in family and community life, and prevent or delay unnecessary long-term institutional placement.

Optional Components are:

Component A:

Providing homemaker, housekeeper/chore, housing improvement, health related or home management services when offered as an integral part of preventive services for the purposes of preventing or delaying institutional placement, preventing abuse and neglect, or providing infrequent and temporary substitute care or supervision of frail or disabled adults on behalf of and in the absence of the primary caregiver for the purpose of providing respite from constant caregiving.

Component B:

Arranging for and providing day services. Day services shall mean an organized program of services for less than twenty-four hours a day, which shall not include the provision of overnight care, for the purpose of restoring or maintaining the capacity of aged and disabled individuals to remain in or return to the community and to reduce stress and potential abuse or neglect by caregivers. Such services may include any or all of the following services: activities, supervision, nutrition, information and referral, personal care, individual and family counseling, and transportation.

Component C:

Arranging for and providing payment for the preparation and delivery of one or two meals a day to the home of an individual who is unable to obtain or prepare nourishing meals.

Component D:

Arranging for and providing infrequent and temporary residential care or supervision of frail or disabled adults on behalf of or in the absence of the primary caregiver, for the purpose of providing respite from constant caregiving, when offered as an integral part of preventive services for the purpose of preventing or delaying institutional placement or preventing abuse and neglect. Temporary residential care shall mean the provision of overnight or more than twenty-four-hour care of frail or disabled adults outside of their own home.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV

Component A: I, II, III, IV

Component B: I, II, III, IV

Component C: I, II, III, IV

Component D: I, II, III, IV

METHOD OF PROVISION: Direct provision, purchase private, purchase public

Component A: Direct provision, purchase private, purchase public

Component B: Direct provision, purchase private, purchase public

Component C: Direct provision, purchase private, purchase public

Component D: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

PREVENTIVE SERVICES FOR CHILDREN

DEFINITION: Supportive and rehabilitative services provided to children and their families in accordance with the provision of Part 423 of the Department's regulations and Section 409-a of Social Service Law for the purpose of: averting an impairment or disruption of a family which will or could result in placement of a child in foster care; enabling a child who has been placed in foster care to return to his/her family at an earlier time than would otherwise be possible; or reducing the likelihood that a child who has been discharged from foster care would return to such care. The following services, when provided for the above-stated purpose and in conformity with Social Service Law and Department regulations, are considered preventive services:

- 1) Case management as defined as the responsibility of the social services districts to authorize the provision of preventive services, to approve the client eligibility determination according to the criteria in Part 423 of the Department's regulations and, to approve in writing the child and family service plan as defined in Part 428 of Department regulations.
- 2) Case planning as defined as assessing the need for, providing or arranging for, coordinating and evaluating the provision of those preventive services needed by a child and his/her family to prevent disruption of the family or to help a child in foster care return home sooner. Case planning shall include referring such child and his/her family to other services as needed, including but not limited to educational counseling and training, vocational diagnosis and training, employment counseling, therapeutic and preventive medical care and treatment, health counseling and health maintenance services, vocational rehabilitation, housing services, speech therapy and legal services. Case planning responsibility shall also include documenting client progress and adherence to the plan by recording in the Uniform Case Record as defined in Part 428 of the Department's regulations and Part 430 of the Department's regulations that such services are provided and providing casework contacts as defined in Part 423 of the Department's regulations.
- 3) Casework contacts as defined as:
 - (i) Individual or group face-to-face counseling sessions between the case planner or a person providing specialized rehabilitation services, supportive services, or probation services as defined in Part 423 of the Department's regulations and the child and/or the child's parents or guardians in receipt of preventive services for the purpose of guiding the child and/or the child's parents or guardians toward a course of action agreed to by the child and/or the child's parents or guardians as the best method of attaining personal objectives or resolving problems or needs of a social, emotional, developmental or economic nature;
 - (ii) Individual or group activities with the child and/or the child's parents that are planned for the purpose of achieving such course of action as specified in the child and family's service plan.

- (4) Day Care services as defined in this Plan.
- (5) Homemaker services as defined in this Plan.
- (6) Housekeeper/chore services as defined in this Plan.
- (7) Family planning services as defined in this Plan.
- (8) Home management services as defined in this Plan.
- (9) Clinical services as defined as assessment, diagnosis, testing, psychotherapy, and specialized therapies provided by a person who has received a Master's degree in social work, a licensed psychologist, a licensed psychiatrist or other recognized therapist in human services. Such services shall be separate and distinct from casework contacts as defined in Part 423 of the Department's regulations, except when provided as specialized rehabilitation services as defined in Section 423.3(f) of the Department's regulations.
- (10) Parent aide services as defined as those services provided in the home and community that focus on the need of the parent for instruction and guidance and are designed to maintain and enhance parental functioning and family/parent role performance. Techniques may include but are not limited to role modeling, listening skills, home management assistance, and education in parenting skills and personal coping behavior.
- (11) Day services to children as defined in Section 425.1 of the Department regulations shall mean a program offering a combination of services including, as appropriate, recreational and transportation services, for at least three but less than 24 hours a day and at least four days per week, excluding holidays. If it can be demonstrated that one or more of these services are not needed by the population served, that service may be waived.
- (12) Parent training as defined as group instruction in parent skills development and the developmental needs of the child and adolescent for the purpose of strengthening parental functioning and parent/child relationships in order to avert a disruption in a family or help a child in foster care return home sooner than otherwise possible. Parent training may include child-parent interaction groups formed to enhance relationship and communication skills.
- (13) Transportation services as defined as providing or arranging for transportation of the child and/or his/her family to and/or from services arranged as part of the child's service plan except that transportation may not be provided as a preventive service for visitation of children in foster care with their parents and may only be provided if such transportation can not be arranged or provided by the child's family.
- (14) Emergency cash or goods as defined as money or the equivalent thereto, food, clothing or other essential items that are provided to a child and his/her family in an emergency or acute problem situation in order to avert foster care placement.

- (15) Emergency shelter as defined as providing or arranging for shelter where a child and his/her family who are in an emergency or acute problem situation reside in a site other than their own home in order to avert foster care placement.
- (16) Preventive housing services as defined as rent subsidies, including payment of rent arrears or other assistance necessary to obtain adequate housing for families of children in foster care whose permanency planning goal is discharge to parent or relative and for whom the primary factor preventing their discharge from foster care is the family's lack of adequate housing or for children in foster care whose primary goal is independent living, who are prepared for independent living, who are to be discharged from foster care prior to their eighteenth birthday or who are to be placed in trial discharge status after their eighteenth birthday, and who can be discharged only if housing services are provided. Preventive housing services must be provided in accordance with the criteria of Part 423 of the Department's regulations.
- (17) Intensive, home-based, family preservation services as defined as casework services and direct therapeutic services provided to families in order to reduce or avoid the need for foster care placements of children who are in imminent danger of such placement, at least one-half of which are provided in the family's residence or temporary home and which services are available to the families 24 hours a day. Intensive home-based, family preservation services may include arranging on behalf of families, housing assistance, child care, job training, education services, emergency cash grants, and basic support needs. Intensive, home-based family preservation services must be provided in accordance with Section 423.2(b)(17) of the Department regulations.
- (18) Outreach activities as defined as those activities designed to publicize the existence and availability of preventive services for parents, caretakers, and children who meet the criteria for provision of preventive services and to advise such parents, caretakers and children of the availability of such services to meet their needs, alleviate the cause or condition that creates the risk of foster care placement and to assist the family to stay together. Outreach activities may be undertaken to publicize the existence and availability of preventive services for parents, caretakers, and children who have been diagnosed as having acquired immune deficiency syndrome (AIDS), or human immunodeficiency virus (HIV)-related illness or HIV infection, as defined by the AIDS Institute of the State Department of Health and are contained in directives issued by the Department from time to time. These outreach activities are for the purpose of identifying parent service needs and child services needs as described in Sections 430.9(c)(4) and 430.9(c)(5) of Department regulations.
- (19) Crisis respite care and services for families as defined in Part 435 of the Department regulations as the provision of brief and temporary care and supervision of children of 24 hours or more for the purpose of relieving parents of the care of the child at a time of need for

support or when there has been a loss of capacity to maintain an adequate level of care and supervision due to an unexpected demand upon the family or deterioration of family relationships such that the family needs immediate assistance in order to be able to maintain or restore family functioning and to prevent placement of a child into foster care. Parents include biological, adoptive, and step parents, legal guardian(s), or other caretaker(s) with authority and responsibility to care for a child. A family is eligible for crisis respite care and services when the family is otherwise eligible for mandated preventive services pursuant to Section 430.9 of the Department regulations and one of the following conditions exists:

(1) a child has special needs due to a high level of disturbed behavior, emotional disturbance, or physical or health needs, including, but not limited to, AIDS, HIV infection or HIV-related illness, which has placed excessive or unusual stress on the parent(s) or family; or

(2) a parent has an acute relapse of occurrence of AIDS, HIV infection, HIV-related illness or any other physical, mental, emotional or behavioral condition, which is either causing stress in family relationships, impairs the parent's ability to manage the family or has caused or will cause the parent(s) to be absent from the home in order to treat or otherwise resolve such condition and there is no other parent or caretaker available to care for the child(ren).

Crisis respite care and services for families must be provided in accordance with the criteria and requirements included in Part 435 of the Department regulations.

Mandated preventive services shall mean preventive services provided to a child and his/her family whom the district is required to serve pursuant to Part 430 of the Department's regulations.

Non-mandated preventive services shall mean preventive services provided to a child and his/her family whom the district may serve pursuant to Section 409-a.2 of the Social Services Law. Non-mandated preventive services do not include preventive housing services, intensive home-based family preservation services, or crisis respite care and services for families.

NATIONAL GOAL RELATIONSHIP: III

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS: All individuals without regard to income.

PROTECTIVE SERVICES FOR ADULTS

DEFINITION: Services to individuals 18 years of age or older who are unable to protect their own interests, harmed or threatened with harm through action or inaction by another individual or through their own action due to lack of awareness, incompetence or poor health which results in a physical or mental injury, neglect or maltreatment, failure to receive adequate food, shelter or clothing, deprivation of entitlements due them, or wasting of their resources.

Such services are limited to:

- (a) Identifying such adults who need assistance or who have no one willing and able to assist them responsibly;
- (b) Providing prompt response and investigation upon request of adults at risk or other persons acting on their behalf;
- (c) Assessing the individual's situation and service needs;
- (d) Providing counseling to such adults, their families, other responsible persons or to fiduciaries, such as representative payees, on handling the affairs of such adults;
- (e) Arranging for appropriate alternate living arrangements in the community or in an institution; providing room and board as an integral but subordinate part of the provision of PSA for a period not to exceed 30 days;
- (f) Assisting in location of social services, medical care and other resources in the community, including arrangement for day care in a protective setting;
- (g) Arranging for guardianship, commitment or other protective placements as needed;
- (h) Providing advocacy and assistance in arranging for legal services to assure receipt of rights and entitlements due to adults high at risk;
- (i) Functioning as a guardian, representative payee or protective payee, where it is determined such services are needed and there is no one else available or capable of acting in this capacity;
- (j) Providing homemaker and housekeeper/chore services when provided as an integral but subordinate part in the provision of PSA to meet the goal of protection for adults who demonstrate specified functional deficits. The provision of such services to be limited to six months when provided without regard to financial criteria. When such services are available through other public or private community resources, these should be utilized. The provision of these services beyond six (6) months may be authorized on a case-by-case basis under the following conditions:

- (1) Guardianship or other financial management proceedings have been started within the first 60 days of the provision of PSA services; and
- (2) The local district must accept the responsibility to function as a guardian, representative payee or protective payee on behalf of a PSA client if no other resources are available within 45 days of a determination by either:
 - (i) A court that a guardian is required;
 - (ii) An office of the Federal Social Security Administration or the Railroad Retirement System that a representative payee is required; or
 - (iii) The social services district that a protective payee is required.

Under these conditions the provision of homemaker and housekeeper/chore services without regard to financial criteria may be continued beyond six months until the conservatorship or other financial management proceedings are completed, except in no case shall such services be authorized to continue for a period of more than three months subject to one reauthorization not to exceed an additional three months.

NATIONAL GOAL RELATIONSHIP: III

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

All individuals without regard to income, except as provided in item (j).

PROTECTIVE SERVICES FOR CHILDREN

DEFINITION: Activities on behalf of children under the age of 18, who are named in a report of abuse and/or maltreatment. The following activities may be considered protective services for children:

- (1) Receipt of child abuse and/or maltreatment reports and investigation thereof, including the obtaining of information from collateral contacts such as hospitals, school and police;
- (2) Identification and diagnosis of current or past abuse and/or maltreatment;
- (3) Assessing whether the child is safe from immediate danger and determining the risk of future abuse and maltreatment through an examination of the risk elements, the family's perspective and family strengths;
- (4) Making determinations as to whether there is credible evidence of child abuse and/or maltreatment;
- (5) Counseling, therapy and training courses for parents or guardian of the child, including parent aide services;
- (6) Counseling and therapy for children at risk of physical or emotional harm;
- (7) Arranging for emergency shelter for children who are suspected of being abused and/or maltreated;
- (8) Arranging for financial assistance, where appropriate;
- (9) Assisting the family court or the criminal court during all stages of a court proceeding;
- (10) Arranging for the provision of appropriate rehabilitative services including, but not limited to, preventive services and foster care for children;
- (11) Providing directly or arranging for, either through purchase or referral, the provision of day care or homemaker services without regard to financial criteria. Programmatic need for such service must have been established as a result of the investigation of a report of child abuse and/or maltreatment received by the New York State Child Abuse and Maltreatment Register and such services must terminate as a protective service for children when the case is closed with the register;
- (12) Monitoring the rehabilitative or safety controlling services being provided by someone other than the child protective service worker.
- (13) Case management services.
- (14) Case planning services.

- (15) Casework contacts. The purpose of casework contacts shall also be to continually reassess the parents ability to provide a minimum standard of care to the child(ren) as well as to track the progress the family is making toward reducing the risk of future abuse or maltreatment through the achievement of proposed outcomes set forth in the family and children's services plan.

NATIONAL GOAL RELATIONSHIP: III

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS: All individuals without regard to income.

RESIDENTIAL PLACEMENT SERVICES FOR ADULTS

DEFINITION: Services include arranging for or providing assessment, placement, supervision or support of persons 18 years of age or older who are physically or mentally impaired, in appropriate residential care programs which are licensed or certified by a State agency; and activities to recruit, develop and supervise family-type homes for adults in accordance with the requirements listed below.

Component A:

Family-type Home for Adults Program Development and Supervision: This includes the recruitment, supervision and training of family-type home operators, the inspection of family-type homes for adults, and cooperation with the State Department of Social Services in certification and renewal actions, and in enforcement actions against Family-type Home operators or homes which are required to be certified as Family-type Homes for Adults.

Component B:

Assessment and Placement Services: This includes providing or arranging for the assessment and, where appropriate, the placement of adults eligible for, or receiving services provided by the local district into residential care programs certified by the Department or other State agencies. The districts shall assure that the persons are placed in facilities which provide the level of care which corresponds to the person's identified needs. Such services shall also include assisting persons requiring family-type home care to recognize their need for placement and to choose a home which is most suitable to their needs.

Component C:

Supervision of and Services to Residents in Family-type Homes: This includes the provision of services to and monitoring residents of family-type homes to assure that each resident adjusts to their new living arrangements; receives proper care; is provided with reasonable opportunities for enjoyment of normal family and community life; receives assistance with personal problems; receives other necessary supportive services which are available from the district or other community agencies; and determining through periodic reviews the continued appropriateness of and need for placement.

Component D:

Supportive Services to Residents in other Facilities: This includes the provision of follow-up visits and contacts to State-charge clients in residential care facilities as set forth in section 313.2 of Department regulations and the provision of other ongoing services, as determined necessary by the local social services district, to persons in facilities certified by the Department, the Department of Health, the Office of Mental Health and the Office of Mental Retardation and Developmental Disabilities.

Component A is a mandated local district responsibility without regard to whether the family-type home is caring for SSI, HR or private pay residents. Components B, C, and D are required to the extent that State reimbursement is available for persons in receipt of SSI or HR, or for persons whose income does not exceed 150% of the poverty level as reported by the United States Office of Management and Budget.

NATIONAL GOAL RELATIONSHIP: IV, V

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS: HR, SSI, Income Eligibles

SERVICES TO VICTIMS OF DOMESTIC VIOLENCE

DEFINITION: Emergency shelter and supportive services provided to: persons who are 16 years of age or older; married persons; or, parents of a minor child who are the victim of an act or they are the parent of a minor child who is a victim of an act which constitutes a violation of the Penal Law and such act has been committed by a family or household member which includes: persons related by blood or marriage; persons legally married to one another; persons formerly married; persons who have a child in common; unrelated persons who are continually or at regular intervals living in the same household or who have in the past continually lived in the same household; or unrelated persons who have had intimate or continuous social contact with one another and who have access to one another's household.

The following services, when provided directly by a licensed residential program for victims of domestic violence pursuant to Department regulations Part 452 and Part 453, 454, or 455, or an approved non-residential program for victims of domestic violence pursuant to Department regulations Part 462, are considered domestic violence services:

Arranging and providing emergency shelter at a licensed residential program for victims of domestic violence;

Telephone Hotline assistance which means the provision of immediate crisis intervention counseling and information and referral services through a telephone hotline.

Information and referral services which means providing information about and referral to community services and programs including referral to domestic violence residential services.

Advocacy services which means providing liaison services or intervening on behalf of a victim in order to assist victims in accessing legal remedies and protections and law enforcement personnel, obtain public assistance applications, medical care, social services, employment, and housing.

Counseling which means providing individual and/or group counseling which stresses self-sufficiency and addresses the needs identified by victims, assists victims to seek services on their own behalf, informs victims of the options available to ensure their safety, informs victims of the nature of family violence and its effects on children, informs victims of the legal, financial and housing options available to them, and assists victims to improve their problem solving skills.

Community education/outreach activities which means providing educational activities to the community regarding the need for and the benefits of domestic violence services, the dynamics of domestic violence, and the prevention of domestic violence by making presentations, distributing written materials and using the media.

Children's services which means: (1) making appropriate arrangements to provide for the education of school-aged children; (2) assisting victims in arranging child care to enable the victim to seek needed services; and (3) offering and providing appropriate counseling to the children of domestic violence victims.

Support groups which means the provision of peer support to interested victims by conducting meetings during which groups of victims discuss their experiences with family violence.

Follow up services which means ensuring that prior to a victim exiting a domestic violence residential program, efforts are made by the residential program to involve the victim in discussions on available community resources which may assist the victim in carrying out their intended future plans upon departure from the residential program.

Medical services which means the residential program has an established linkage with a fully accredited medical institution or clinic or with qualified medical personnel for the referral of victims who are residents of a domestic violence residential program for preliminary health examinations and follow-up visits.

Transportation which means arranging for transportation to the residential program in an emergency and providing transportation or assisting victims to obtain available public or private transportation or assisting in order for victims to secure legal, medical, housing, employment or public assistance services.

Translation services which means interpreting any oral or written information for non-English speaking victims of domestic violence.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS: All individuals who meet the definition of a victim of domestic violence pursuant to 452.(g) without regard to income.

METHOD OF PROVISION: Direct provision, purchase private, purchase public

SOCIAL GROUP SERVICES FOR SENIOR CITIZENS

DEFINITION: Those services provided to older adults, through specialized community facilities which serve as focal points for their concerns, needs and interests for such multiple purposes as combating isolation, preventing or delaying physical and mental deterioration, diminishing the effects of loss of role and status, providing centralized accessibility to services and enabling the aged to remain in their homes or community for as long as possible. Services available in these centers may include any or all of the following:

- (a) Information and Referral
- (b) Nutrition (congregate meals)
- (c) Counseling
- (d) Employment Counseling
- (e) Recreation and Educational Programs
- (f) Transportation to and from User's Home and Facilities
- (g) Health Maintenance Services
- (h) Community Service Volunteer Opportunities
- (i) Leadership Development
- (j) Facilitation of other Agencies' Services
- (k) Advocacy
- (l) Outreach

NATIONAL GOAL RELATIONSHIP: II

METHOD OF PROVISION: Direct provision, purchase private, purchase public

ELIGIBILITY: Group eligibility

TRANSPORTATION SERVICES

DEFINITION: Arranging for and/or providing necessary transportation to and from facilities or resources in order to receive appropriate services as contained in the Consolidated Services Plan. Reimbursement may be made to the recipient for the cost of such transportation when transportation has the prior approval of the agency and upon presentation of a receipt thereof.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV, V

METHOD OF PROVISION: Direct provision, purchase private, purchase public

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

UNMARRIED PARENTS SERVICES

DEFINITION: Providing or arranging for supportive health and social services for an unmarried parent and a child born or to be born out-of-wedlock; if possible, involving the putative father and the grandparents in planning for the future care of the child; and providing or arranging for the counseling of the parents and their families. Such services shall include discussion of alternative plans for the child's future; arranging for the care of the unmarried parent before and after delivery and the child after delivery in an approved foster family home, group home, institution or independent living arrangement; arranging for legal and other services if required; and arranging for establishment of paternity and support.

In addition to the above, services for unmarried parents under the age of 21 may include providing or arranging for one or more of the following types of service delivery:

- (a) Individual, couple and group counseling for pregnant adolescents, adolescent parents and their families, including pregnancy counseling, preparation for childbirth, 24-hour emergency supportive aid, and use of parent aides, supportive friends or peer counselors to provide outreach and referral to professional services in the community.
- (b) Social and educational group services for pregnant adolescents and/or adolescent parents which provide education and information on parenting, child development, family planning, health and nutrition, household management, and use of community resources in addition to opportunities for peer support. Respite child care services and transportation may be included in adolescent parent group services.
- (c) Parenting training for pregnant and parenting adolescents which includes individual and group counseling or workshops on parent/child relationships in family life, formal and informal instruction in child care and child development, and trained parent aides or other home visitation services (not to include homemaker/housekeeper services).
- (d) Education or employment services for pregnant and parenting adolescents which are designed to promote self-sufficiency by assisting them to complete their high school educations, improve work-related skills and job readiness, and find and maintain employment.

NATIONAL GOAL RELATIONSHIP: I, II, III, IV, V

METHOD OF PROVISION: Direct provision, purchase private

CATEGORIES OF ELIGIBLE INDIVIDUALS:

AFDC, SSI, Income Eligibles

STATEWIDE FEE STRUCTURE

This appendix presents New York State's methodology to determine the fee structure for Child Care services provided Federal Fiscal Year 1994.

Income eligible families are assessed a fee in accordance with excess income available above the State income standard for the family size. The State income standard means the most recent federal income poverty line (as defined and annually revised by the federal Office of Management and Budget) updated by the State Department of Social Services for a family size of four and adjusted by the State Department for family size.

Fees are required for all families whose eligibility for child care services is based on income and are not receiving ADC, HR or VA. Fees will not be affected by service type, quantity of service or number of individuals receiving service. A single family fee is to be charged for all child care services. In those cases where more than one child is in care, the entire fee may be attributed to the cost of care of the youngest child assuming his/her care is the most expensive and is likely to last the longest. Any portion of the fee in excess of the cost of care of the youngest child is to be utilized to meet the cost of care of the other children.

A minimum fee of \$1.00 per week must be assessed for all income eligible child care. Rounding will occur to the nearest \$.50. Fees must be calculated using the following formula:

$$\begin{array}{r} \text{Annual Gross} \\ \text{Income} \end{array} - \begin{array}{r} 100\% \text{ Income Standard} \\ \text{(by family size)} \end{array} \begin{array}{r} \text{(District Option)} \\ \text{X} \end{array} \begin{array}{r} \% \\ \text{52} \end{array} = \begin{array}{r} \text{Weekly} \\ \text{Fee} \end{array}$$

Districts must select a fee level to be applied to the difference between family gross income and the State income standard. The fee level may range from 10% to 35%. Districts may establish only one percentage to be applied to all family sizes and all child care programs. The flexibility of this fee schedule allows each social services district the ability to establish fees at a level which would best support local needs and differences related to the continuance and or expansion of programs in that particular community.

Example 1: Family size of 4, Gross income \$16,000,
100% Income standard \$13,950, district %=25%

$$\begin{array}{r} \$16,000 - \$13,950 \\ \$2050 \end{array} = \$2050. \\ \begin{array}{r} \$2050 \\ \$512.50 \end{array} \begin{array}{r} \text{X } .25 \\ \text{divided by 52} \end{array} = \$512.50 \\ \text{Rounded to } \$10.00 \text{ WEEKLY FEE}$$

Example 2: Family size of 2, Gross income \$18,972,
100% Income standard \$9,486, district %=35%

$$\begin{array}{r} \$18,972 - \$9,486 \\ \$9,486 \end{array} = \$9,486 \\ \begin{array}{r} \$9,486 \\ \$3320 \end{array} \begin{array}{r} \text{X } .35 \\ \text{divided by 52} \end{array} = \$3320. \\ \text{Rounded to } \$64.00 \text{ WEEKLY FEE}$$