NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES
SOCIAL SERVICES BLOCK GRANT REPORT
TO THE DEPARTMENT OF HEALTH AND HUMAN SERVICES
FEDERAL FISCAL YEAR 2018

I. Mission Statement

The New York State Office of Children and Family Services (OCFS) serves New York's public by promoting the safety, permanency and well-being of our children, families and communities. We will achieve results by setting and enforcing policies, building partnerships, and funding and providing quality services.

II. Agency Overview

OCFS serves as the Title XX agency for New York State. OCFS is dedicated to improving the integration of services for New York's children, youth, families and vulnerable populations; to promoting their development; and to protecting them from violence, neglect, abuse and abandonment. The agency provides a system of family support, juvenile justice, child care and child welfare services that promotes the safety and well-being of children and adults.

III. 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 enacted a new section 2004 of Title XX of the Social Security Act (SSA), and implementing regulations (45 CFR 96.10 and related sections). Section 2004 of the SSA requires that, prior to the expenditure by a state of payments made to it under section 2002 of the SSA, the state must report to the Department of Health and Human Services (DHHS) 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 is also submitted pursuant to Chapter 884 of the Laws of 1982, which requires the governor to submit to the legislature a detailed report for each federal block grant. This report is submitted for the federal Social Services Block Grant (SSBG).

This report provides the following information concerning the SSBG:

- Anticipated funding levels
- State funds required
- Allocation formula to counties and/or providers
- Administrative costs

- Allocation of discretionary funds
- Allocation among services
- Transfers between block grants
- Any eligibility requirements
- Estimated number of persons to be served
- Data concerning the prior year's administration of the grant

IV. Funding Levels

Title XX of the SSA remains a major source of funds for services provided to low-income persons by OCFS. However, it should be noted that the SSBG is only one of several sources of funding for these services. Consequently, this report provides an important account of New York State's use of federal funding for delivery of social services, but does not describe the totality of the delivery of such services.

A. Federal Allocations

For federal fiscal year (FFY) 2017, New York State's allotment of federal Title XX Social Services Block Grant funds is $96,931,926 or a net decrease of $638,817 from the prior year of $97,570,743.

B. State Appropriations

Chapter 53 of the Laws of 2017 provides appropriation authority permitting OCFS to spend the FFY 2017 SSBG grant award on local district social services, state training initiatives and other eligible activities. Pursuant to this authority, $92,085,330 (95 percent of the SSBG funds) are being used to reimburse social services districts for services and related administration and training, and $4,846,596 (5 percent), is allocated for use by OCFS for training purposes.

Appropriation authority will be sought to expend FFY 2018 SSBG award funds for Title XX services and training in the state fiscal year (SFY) 2018 budget.

C. Transfer of Funds

Federal law permits the transfer of up to 10 percent 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 FFY 2017, nor is it anticipated that any such funds will be transferred for such purposes in FFY 2018.

Funds from the Temporary Assistance for Needy Families (TANF) Block Grant are anticipated to be transferred to the Social Services Block Grant in federal fiscal year 2017 and FFY 2018, up to the maximum allowable under the law. The TANF-funded Flexible Fund for Family Services (FFFS) has been enacted by New York State in the SFY 2017-2018 Budget, which continues to appropriate funds at a level of $964,000,000 to provide districts with flexibility in meeting the non-assistance needs of TANF-eligible temporary assistance and low-income families. Local social services districts may again

choose to transfer a portion of their FFFS allocation to the Social Services Block Grant. Since first enacted in SFY 2005-2006, FFFS transfer funds have replaced the separate state appropriation for the TANF transfer to the Social Services Block Grant that existed in prior years. The amount that districts will choose to transfer in SFY 2017-2018 will be known on March 31, 2018 when SFY 2017-2018 local district FFFS plans become final. The amounts social services districts have chosen to transfer from the FFFS to the SSBG totaled $180.5 million in FFY 2016 and $181.0 million in FFY 2015. These TANF allocations provide districts with the flexibility to determine local funding priorities. Social services districts will continue to use funds they transfer to the Social Services Block Grant from the FFFS to provide eligible Title XX services, including child welfare services such as preventive services, child protective services, aftercare services or adoption services (including post-adoption services) as well as adult protective, domestic violence and/or other services to children and/or their families with incomes less than 200 percent of the official federal poverty level.

V. Allocation to Social Services Districts

A. Amount to be Allocated

For purposes of this report, the estimated federal appropriation level for the FFY 2018 Social Services Block Grant is $1.7 billion; therefore, New York State is estimating that its FFY 2018 allocation will be the same as FFY 2017, $96,931,926. It is anticipated that, as in past years, a majority of the funds will be allocated to social services districts.

B. Method of Allocation to Local Social Services Districts

The existing Title XX social services district allocation 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 that first became available in 1982 from the Low-Income Home Energy Assistance Block Grant. The same methodology has been applied for each subsequent FFY through and including federal fiscal year 2000. A change to the allocation methodology was implemented for federal fiscal year 2001 and continues for FFY 2017. The allocation methodology for FFY 2018 will be determined once the FFY 2018 federal budget and the SFY 2018-19 state budget are enacted. The current allocation methodology is described more fully in Appendix A-1.

Allocations to social services districts during FFY 2017 from the basic allocation of Social Services Block Grant funds are $92,085,330. These funds have been allocated among the social services districts as shown in Appendices B-1 and B-2.

Allocations to social services districts during FFY 2016 from the basic allocation of Social Services Block Grant funds totaled over $92.7 million. FFY 2016 is the most recent year for which preliminary estimates of expenditures can be provided. These Title XX expenditure estimates are included in the gross FFY 2016 local district expenditure estimates under Section VIII.B of this report.

VI. 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 and by the St. Regis Mohawk Tribe, including related training and administrative costs, either directly or through purchase-of-service contracts; and

2. To provide training or other services by OCFS, or by other agencies through purchase-of-service agreements. Other services include services consistent with the goals of Title XX and consistent with the "Uniform Definition of Services" under 45 CFR Appendix A to Part 96.

In addition, OCFS, within the context of welfare reform as established in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, and in compliance with Section 2002(f) of the Social Security Act (42 U.S.C. 1937a), may use Social Services Block Grant funds to provide vouchers. Such vouchers would be utilized as authorized by Section 2002(f) of the SSA for families ineligible for, or denied cash assistance under Title IV-A because of a family cap or a durational limit on benefits for services directed at the goals set forth in Section 2001 of the SSA.

B. Services Provided by Local Districts

In an effort to maximize its flexibility, New York State reserves the right to authorize the use of SSBG funds for any allowable SSBG service as defined by the federal Administration for Children and Families, in addition to the following 22 types of services provided by social services districts and supported by the SSBG. These specific services are defined in Appendix C-1 through C-22.

- Adoption support
- Aftercare
- Child care
- Educational services
- Employment services
- Family planning
- Foster care services for children
- Health-related services
- Homemaker services
- Home management services
- Housekeeper/Chore services
- Housing improvement
- Information and referral services
- Preventive services for adults

- Preventive services for children
- Protective services for adults
- Protective services for children
- Residential placement for adults
- Services for victims of domestic violence
- Social group services for senior citizens
- Transportation
- Services for unmarried parents

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

C. State Agency Services, Including Training Activities

For FFY 2017**,** as in prior years, after allocating most New York State's allotment of federal Title XX SSBG funds to social services districts, OCFS plans to maintain the remainder for other activities eligible by federal definition, including but not limited to training or other administrative activities.

VII. Estimated Levels of Service

Some of the 22 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 that are not mandated is a matter for determination by the social services district. The following is a general outline of mandated and non-mandated services:

Services Mandated Without Regard to Client Income

- Adoption support, component A
- Information and referral
- Preventive services for children, component A
- Protective services for children
- Protective services for adults
- Services for victims of domestic violence
- Foster care for children

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

- Residential placement for adults
- Services for unmarried parents

Other Services Mandated Under Certain Conditions

- Aftercare
- Adoption support, component B

- Child care
- Family planning
- Home management services
- Homemaker services
- Housekeeper/Chore services
- Housing improvement
- Health-related Services
- Transportation

Other Services Not Mandated

- Educational services
- Employment services
- Preventive services for adults
- Preventive services for children, component B
- Social group services for senior citizens

As noted above, certain services are required to be provided without regard to income. Eligibility categories are described more fully in the services definitions set out in Appendix C-1 through C-22. Statewide maximum income eligibility standards apply to certain other services, but social services districts may set lower income eligibility standards for any such services, with one exception. TANF funds transferred to the SSBG may only be used to provide eligible Title XX services to children or their families whose income is less than 200 percent of the official federal poverty level. Income eligibility standards for the various mandated and optional services and the statewide fee structure for child care services are summarized in Appendices D and E respectively.

Estimated Expenditures of Title XX Allocation and Persons to be Served by Service Category

To estimate how social services districts will expend their anticipated $92,085,330 of SSBG funds for FFY 2018, OCFS must rely on the prior patterns of local district expenditures, the proposed SFY 2016-2017/FFY 2016 settlement of child welfare and adult protective/domestic violence funds and the number of clients served during the services plan year 2016, the most recent full year for which preliminary actual expenditures and client data can be provided. If the FFY 2018 award is higher or lower than anticipated, estimated expenditures by service category will increase or decrease accordingly.

VIII. Expenditures and Administration of Social Services Block Grant in Federal Fiscal Year 2016

A. Child and Family Services Planning Process

Section 34-a of the Social Services Law provides OCFS with statutory authority to require social services districts to develop and submit multi-year Child and Family Services Plans (CFSP) and Annual Implementation Reports.

In January 2007, all counties were required to submit a single comprehensive county plan; the CFSP. These local multi-year plans require updates through the annual implementation reporting process. Planning guidelines promote broad-based community participation in the needs assessment and planning process and the articulation of local outcomes and strategies. Regional staff in OCFS's Division of Child Care Services (DCCS), Division of Child Welfare and Community Services (CWCS), the Office of Youth Development (OYD), and the Office of Strategic Planning and Policy Development (SPPD) provides technical assistance to all counties. The current guidelines for the CFSP are found in 16-OCFS-LCM-20 *Guidelines and Instructions for Preparing the Child and Family Services Plan Update*.

B. Service Expenditures by Social Services Districts

The most recent full year for which preliminary actual expenditures can be provided is FFY 2016**.** Social services district claims for services for the period October 1, 2015 through September 30, 2016 that are eligible for Title XX reimbursement, including reimbursement from funds transferred to Title XX from TANF, total approximately $1,087 million compared to $1,064 million for the previous year, an increase of approximately $23 million. Because the amount of federal funds available for such purposes is limited, reimbursement from Title XX is provided for only a portion of such services. Other funding sources, noted on page eight of this document, are used to reimburse remaining expenditures as appropriate. A preliminary accounting of social services district expenditures by service category for FFY 2016 may be found on the enclosed pre-expenditure reporting form. The expenditures include services provided by purchase-of-service agreements and services provided directly. The most current figures are for expenditures reported through June 2017, and may not be a final accounting.

C. OCFS Training Expenditures

For FFY 2016, the last full year for which actual expenditure data is available, $4,846,596 (5 percent of the SSBG funds) was used by OCFS for training activities provided directly and training activities provided through purchase-of-service agreements in Child Protective Services, Child Care Services, Protective Services for Adults (including the homeless), and other services-related areas. Training is furnished primarily to staff of social services districts. Training is also furnished to state staff and to staff of organizations from which such districts purchase social services, and relates to high priority service areas and needs. This $4,846,596 of federal SSBG revenue represents approximately 56 percent of OCFS's SSBG-eligible training costs.

IX. 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 22 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 affect the funding profiles across districts. Listed below are the primary additional federal funding sources contributing to the support of one or more of the 22 Title XX services:

- Child Care and Development Fund
- TANF Block Grant
- Supplemental Security Income (SSI) and Congregate Care Supplement
- Family Violence Prevention and Services
- Title IV-B
- Title IV-E
- Title XIX

Appendix A-1

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

The New York State Legislature passed a SFY 2001-2002 State Budget requiring a change in the allocation of funds beginning in FFY 2000-2001. The revised allocation methodology is based on historical social services district claims for the 12-month period ending June 30 of the prior FFY, and includes a set-aside for reimbursement of expenditures for the provision and administration of adult protective services as well as residential and non-residential services for certain victims of domestic violence. This allocation methodology has continued for FFY 2016 and FFY 2017. The allocation methodology for FFY 2018 will be determined once the FFY 2018 Federal Budget and the SFY 2018-19 State Budget are enacted.

Appendix B-1

Title XX
FFY 2017
Adult Protective and Domestic Violence Services

District	Allocation	District	Allocation
Albany	1,589,971	Ontario	168,838
Allegany	84,971	Orange	857,505
Broome	394,712	Orleans	61,379
Cattaraugus	145,790	Oswego	278,054
Cayuga	175,396	Otsego	145,037
Chautauqua	241,931	Putnam	95,391
Chemung	217,237	Rensselaer	279,210
Chenango	109,336	Rockland	656,902
Clinton	200,065	Saratoga	199,865
Columbia	165,699	Schenectady	450,366
Cortland	143,904	Schoharie	87,368
Delaware	185,356	Schuyler	44,651
Dutchess	1,016,006	Seneca	72,912
Erie	1,868,549	Steuben	203,188
Essex	115,395	Saint Lawrence	226,097
Franklin	109,605	Suffolk	2,324,633
Fulton	101,873	Sullivan	200,736
Genesee	90,213	Tioga	97,984
Greene	114,194	Tompkins	188,123
Hamilton	5,593	Ulster	355,992
Herkimer	102,973	Warren	95,313
Jefferson	254,385	Washington	90,604
Lewis	62,557	Wayne	121,146
Livingston	152,134	Westchester	3,137,430
Madison	190,849	Wyoming	34,309
Monroe	1,015,429	Yates	42,916
Montgomery	59,035		
Nassau	1,448,904	Upstate	22,294,169
Niagara	319,832		
Oneida	328,039	New York City	43,705,831
Onondaga	768,287		
		Statewide Totals	66,000,000

Appendix B-2

Title XX
FFY 2017
All Other Eligible Title XX Services

District	Allocation	District	Allocation
Albany	145,710	Ontario	68,062
Allegany	32,709	Orange	435,071
Broome	150,179	Orleans	20,272
Cattaraugus	39,790	Oswego	113,265
Cayuga	40,816	Otsego	33,554
Chautauqua	62,325	Putnam	55,237
Chemung	128,013	Rensselaer	96,110
Chenango	22,456	Rockland	159,471
Clinton	82,732	Saratoga	64,020
Columbia	80,836	Schenectady	239,032
Cortland	35,974	Schoharie	62,978
Delaware	40,662	Schuyler	19,707
Dutchess	212,067	Seneca	41,610
Erie	652,739	Steuben	89,487
Essex	25,932	Saint Lawrence	50,991
Franklin	44,263	Suffolk	668,681
Fulton	26,055	Sullivan	66,725
Genesee	24,370	Tioga	27,522
Greene	32,102	Tompkins	61,084
Hamilton	2,162	Ulster	122,401
Herkimer	30,122	Warren	21,011
Jefferson	85,176	Washington	36,208
Lewis	17,239	Wayne	71,687
Livingston	44,450	Westchester	1,356,250
Madison	41,774	Wyoming	10,290
Monroe	253,969	Yates	13,554
Montgomery	23,076		
Nassau	675,887	Upstate	7,654,921
Niagara	142,983		
Oneida	121,039	New York City	18,430,409
Onondaga	333,034		
		Statewide Totals	26,085,330

Appendix C-1

SERVICES DEFINITIONS

This appendix presents current definitions for the social services to be provided in New York State in FFY 2017.

ADOPTION SUPPORT SERVICES

DEFINITION:

Component A. PRIOR TO LEGAL ADOPTION: Assisting a child to secure an adoptive home through surrender of a child for adoption where the parent(s) or a legal guardian(s) is unwilling or unable to care for a child or instituting legal procedures to terminate the parental rights of the child's parent(s) or legal guardian(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 a child's placement needs, pre-placement planning, placement and supervision of placement.

Component B. FOLLOWING LEGAL ADOPTION: Providing services which may include, but are not necessarily limited to: counseling services for children and adoptive parents, information and referral services, respite care, crisis response services and other ancillary services as needed for the purpose of supporting the permanence of placement. The services are focused on the special needs of the adoptive family members and the need to prevent adoption disruption and adoption dissolution.

Component A is mandated.

Component B is optional for the provision of post-adoption services that exceed the level of service currently required by OCFS regulation.

NATIONAL GOAL RELATIONSHIP: II, III, IV

METHOD OF PROVISION: Direct provision, purchase private

CATEGORIES OF ELIGIBLE INDIVIDUALS:

Component A: All individuals without regard to income.

Component B: For post-adoption services that exceed the level of service currently required by OCFS regulation, social services districts may opt for any of the following categories of eligible individuals - TANF, Safety Net Assistance (SNA), and Income Eligibles.

Appendix C-2

AFTERCARE SERVICES

DEFINITION: Assisting children, youth and families to reduce the likelihood of those children or youth returning to either child welfare or juvenile justice placement. Aftercare consists of an array of services, provided and/or arranged for during placement and after placement, designed to reduce lengths of stay in out-of-home settings, reduce the need for replacement of youth following their return home from out-of-home placement, and increase the long-term positive outcomes for children and families who have experienced out-of-home care.

Services may include, but are not necessarily limited to, the following:

1. Provide and arrange services that help maintain the child/youth safely in returning to the community
2. Provide and arrange support services that assist the child/youth and family in the return and reintegration of the child/youth with family, home, school and community life
3. Provide, arrange and evaluate post-residential counseling for the child/youth who has been returned to the community
4. Provide a range of levels of supervision for the child/youth such as agency placement programs, and contracted day placement programs that provide home-based supervision services

This is a mandated service to the extent required by statute or regulation. Services that exceed the required level of service are optional.

NATIONAL GOAL RELATIONSHIP: II, III, IV

METHOD OF PROVISION: Direct provision, purchase private

CATEGORIES OF ELIGIBLE INDIVIDUALS:

Mandated Aftercare Services: Title IV-E eligible (determined by the AFDC standards of July 16, 1996)
SSI (Title IV-E related)
All individuals without regard to income for state-funded care

Optional Aftercare Services: For aftercare services that exceed the level of service currently required by statute or OCFS regulation, social services districts may opt for any of the following eligibility categories - TANF, Safety Net Assistance, and Income Eligibles.

Appendix C-3

CHILD CARE SERVICES

DEFINITIONS: *Child care services* means care for an eligible child provided on a regular basis either in or away from the child's residence for less than 24 hours per day which is provided by an eligible provider. Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other cases where the caretaker's approved activity necessitates care for 24 hours or more on a limited basis, if the district has indicated in its CFSP that it will provide for such care.

Eligible child means a child who resides with a caretaker which meets the program and financial eligibility requirements for the particular type of child care services and who:

(1) is under 13 years of age. For child care services provided under title XX of the federal Social Security Act or provided as child protective services or preventive services under other than under the New York State Child Care Block Grant Program, a child who turns 13 years of age during a school year may continue to receive child care services through the end of that school year; or
(2) is under 18 years of age; and
(i) is a child with special needs as defined below; or
(ii) is under court supervision; or
(3) is under 19 years of age, is a full-time student in a secondary school, or in an equivalent level of vocational or technical training, and:
(i) is a child with special needs as defined below; or
(ii) is under court supervision.

Child with special needs means a child who is incapable of caring for himself or herself and who has been diagnosed as having one or more of the following conditions to such a degree that it adversely affects the child's ability to function normally:

- Visual impairment
- Deafness or other hearing impairment
- Orthopedic impairment
- Emotional disturbance
- Mental retardation
- Learning disability
- Speech impairment
- Health impairment
- Autism
- Multiple handicaps

ELIGIBLE FAMILIES

CATEGORIES OF ELIGIBLE FAMILIES UNDER THE NEW YORK STATE CHILD CARE BLOCK GRANT (NYSCCBG)

The NYSCCBG provides funding for child care subsidies to recipients of Temporary Assistance (TA), to low-income families transitioning off TA, to families that are eligible for TA who have opted to receive child care in lieu of TA after applying for TA, and to non-TA low income families.

Some families are guaranteed child care assistance, regardless of whether the district has any state or federal funds available under the NYSCCBG to pay for any or all of such costs, if they meet specific eligibility requirements described in this section. A second group of families may be considered to be eligible only when there are funds available within the district and they meet programmatic and financial criteria. A third group of families is considered to be eligible when the district has funds available to serve them, and the district has included them as eligible families in its Child and Family Services Plan (CFSP) and they meet the programmatic and financial criteria.

The three categories of families listed below are eligible for child care services under the NYSCCBG provided that child care is not otherwise available from a legally responsible relative or caretaker of the child in need of services, and the care is a necessary part of a plan of self-support or protection for the child developed by the district.

FAMILIES THAT ARE GUARANTEED CHILD CARE

A district must guarantee child care services (regardless of whether the social services district has any state or federal funds available under the NYSCCBG to pay for such costs) to the families listed below. The guarantee applies to all the eligible children under 13 years of age of the parent or caretaker relative regardless of the child's status as part of the TA filing unit.

(1) Families that have applied for or are in receipt of TA when child care is needed for a child under 13 years of age in order to enable the child's parent or caretaker relative to participate in activities required by the district including orientation, assessment or work activities as defined in 18 NYCRR Part 385.
(2) Families that are receiving TA when child care is needed for a child under 13 years of age in order to enable the child's parent or caretaker relative to engage in work as defined by the district.
(3) Families that have applied for and would otherwise be eligible for TA benefits and choose to receive child care in lieu of TA, or were receiving

TA and voluntarily closed their TA case while still eligible for TA and when child care is needed for a child under 13 years of age in order to enable the child's parent or caretaker relative to work for the required number of hours. A family will be eligible for child care in lieu of TA as long as its gross earnings are equal to or greater than the required number of work hours multiplied by the state minimum wage. This guarantee continues as long as the family meets these requirements.

(4) Families transitioning from TA whose TA cases have been closed or who voluntarily close their TA cases; and who are no longer financially eligible for TA due to an increase in income from employment or child support. The family must have received TA in three of the six months prior to case closing, or, for a family that chose child care in lieu of TA, was eligible for assistance in at least three of the six months immediately preceding their ineligibility for TA. The family must include an eligible child under the age of 13 who needs child care in order for the parent(s) to be engaged in work, and the family's gross income must be at or below 200 percent of the state income standard. For transitional child care, the eligibility period begins with the first month in which a family becomes ineligible for TA or child care in lieu of TA, and is limited to 12 months in duration.

FAMILIES THAT ARE ELIGIBLE WHEN FUNDS ARE AVAILABLE

Families in this category may receive subsidized child care to the extent that the social services district continues to have funds available under either its allocation from the NYSCCBG or any local funds appropriated for this program, subject to any service priorities and set-asides established by the district. Districts may establish priorities, in addition to the federal priorities of very low-income families and special needs children, by identification of such categories in the CFSP, subject to approval from OCFS. Funds may be set aside for such priority families when described in the CFSP and approved by OCFS.

A district must provide child care assistance to the following families when funds are available:

(1) Families that have applied for or are receiving TA, when child care is needed for an eligible child 13 years of age or older who has special needs or is under court supervision, to enable the child's parent or caretaker relative to participate in activities required by the district including orientation, assessment or work activities defined in 18 NYCRR Part 385.

(2) Families that are receiving TA, when child care is needed for an eligible child 13 years of age or older who has special needs or is under court supervision, to enable the child's parent or caretaker relative to engage in work as defined by the district.

(3) Families that are receiving TA when child care is needed to enable a teenage parent to attend high school or an equivalency program; or for the child to be protected because the child's parent or caretaker relative is

unable to care for their children due to a physical or mental incapacity or has family duties away from home necessitating his or her absence.

(4) Families with income at or below 200 percent of the state income standard when the family is at risk of becoming dependent on TA and child care services are needed to permit the child's parent/caretaker to be engaged in work; or to enable a teenage parent to attend high school or an equivalency program.

(5) A family experiencing homelessness with income up to 200 percent of the state income standard when child care services are needed for the child's caretaker(s) to seek housing and to:

- seek employment as defined in 18 NYCRR §415.1(p);
- be engaged in work as defined in 18 NYCRR §415.1(o);
- attend educational or vocational activities as defined in 18 NYCRR §415.2(a)(3)(vii)(b) or 18 NYCRR §415.2(a)(3)(iv). Notwithstanding the potential for some of these educational or vocational training programs 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 educational or vocational training program enrollment for any additional period in excess of 30 consecutive calendar months except as authorized under 18 NYCRR §415.2(a)(3)(iv), nor does it permit enrollment in more than one such program;

  or

- access or participate in counseling services programs.

FAMILIES THAT ARE ELIGIBLE WHEN FUNDS ARE AVAILABLE AND THE CATEGORY OF FAMILY IS IDENTIFIED IN THE DISTRICT'S CFSP

Families in this category may receive subsidized child care to the extent that the district continues to have funds available under either its allocation from the NYSCCBG or any local funds appropriated for this program, and the category of family is designated as an eligible family by the district in its CFSP. Availability of funds is subject to the service priorities and set-asides established by each district in its CFSP and approved by OCFS.

The district may select categories from the following list or the district may opt to refine any of the optional categories, by specifying any limitations to the programmatic eligibility criteria, so that a more specific population is selected. The families identified below must be listed as eligible in the district's CFSP and approved by OCFS.

(1) Families receiving TA when child care services are necessary for the parent or caretaker relative to participate in an approved activity in addition to being engaged in work as required by the district or in a required work activity (e.g., a parent or caretaker relative with a minimum wage position

requesting additional child care during the hours he or she is not at work to enable him or her to seek a better job).

(2) Families receiving TA when child care services are necessary for a sanctioned parent or caretaker relative to participate in unsubsidized employment when the parent or caretaker relative receives earned wages greater than or equal to the minimum amount required under federal and state labor law.

(3) Families receiving TA or families with incomes up to 200 percent of the state income standard when child care services are needed for the child to be protected because the parent/caretaker is:

(a) participating in an approved substance abuse treatment program, screening or assessment (If the applicant is classified as exempt from work activities because of his or her substance abuse, child care can be offered under this category. However, if the district requires that the applicant receive substance abuse treatment and he or she is working or participating in a required work activity, child care is guaranteed.);

(b) homeless, or receiving services for victims of domestic violence, and is in need of child care to participate in an approved activity, screening or assessment for domestic violence services; or,

(c) in an emergency situation of short duration including, but not limited to, cases where the parent/caretaker must be away from the home for a substantial period of the day due to extenuating circumstances such as a fire, being dispossessed from the home, seeking living quarters or providing chore/housekeeping services for an elderly or disabled relative.

(4) Families receiving TA or with incomes up to 200 percent of the state income standard when child care services are needed for the child's parent/caretaker to attend a two-year program other than one with a specific vocational sequence leading to an associate's degree or a certificate of completion, or at a four-year college or university program leading to a bachelor's degree provided:

(a) that it is reasonably expected to improve the earning capacity of the parent/caretaker;

(b) the parent/caretaker is participating in and continues to participate in non-subsidized employment whereby the parent/caretaker works at least 17 ½ hours per week and earns wages at a level equal or greater than the minimum amount required under federal and state labor law while pursuing the course of study; and

(c) the parent/caretaker is and remains engaged in work while pursuing the course of study and can demonstrate his or her ability to successfully complete the course of study.

(5) Families with an open child protective case, irrespective of income, only when it is determined that such child care is needed to protect the child.

(6) Families with income up to 200 percent of the state income standard when child care services are needed for the child to be protected because the parent/caretaker is physically or mentally incapacitated or has family duties away from the home necessitating the parent/caretaker's absence.

(7) Families with incomes up to 200 percent of the state income standard when child care services are needed for the child's parent/caretaker to participate in one of the following approved activities provided the activity is identified in the district's CFSP/ICP as an allowable activity, the district determines it is a necessary part of a plan for the family's self-support, and provided that the parent/caretaker can demonstrate that he or she is participating in the approved activity:

(a) Actively seeking employment for a period no greater than six months, and if the parent/caretaker is registered with the NYS Department of Labor, Division of Employment Services; or

(b) Educational or vocational activities, including attendance in one of the following secondary or post-secondary programs:

(i) A public or private educational facility providing standard high school curriculum offered by, or approved by, the local school district

(ii) An education program that prepares the parent/caretaker to obtain a NYS high school equivalency diploma

(iii) A program providing basic remedial education in the areas of reading, writing, mathematics and oral communications for individuals functioning below the ninth month of the eighth grade level in those areas

(iv) A program providing literacy training designed to help individuals improve their ability to read and write

(v) An English as second language instructional program designed to develop skills in listening, speaking, reading and writing the English language for individuals whose native or primary language is other than English

(vi) A two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate degree or

certificate of completion within a determined time frame which must not exceed 30 consecutive months

(vii) A training program which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university

(viii) A pre-vocational skills training program such as a basic education and literacy training program

(ix) A demonstration project designed for vocational training or other project approved by the New York State Department of Labor

Some educational or vocational training programs allow for the eventual attainment of a bachelor's degree or like certificate of completion for a four–year college program. OCFS regulations do not permit the renewal of such educational or vocational training program enrollment for any additional period in excess of 30 consecutive calendar months, except for families authorized under paragraph (4) in this section (to attend a two-year program other than one with a specific vocational sequence leading to an associate's degree or a certificate of completion, or at a four-year college or university program leading to a bachelor's degree*)*, nor does it permit enrollment in more than one such program.

(8) Families where the caretaker(s) is a dislocated worker and is participating in a training program. Social services districts may choose to serve these families to provide safe and affordable child care to enable these caretakers to be trained in various skills, and rejoin the workforce in new employment as defined in 18 NYCRR section 415.2(a)(3)(vii)(c).

In addition, child care services are allowable in the following instances:

a) As a necessary and integral part of an approved child services plan of services to provide protective services for children who have been reported neglected, abused or maltreated

Title XX program. (1) To the extent that the social services district has made Title XX funds available for child care services, a family is eligible for child care services funded under Title XX of the federal Social Security Act if the family meets one or more of the criteria set forth above or the child is in need of child care as a preventive service provided the social services district has listed such families as eligible families in the district's CFSP subject to any applicable priorities and set asides as described above. A social services district may establish in its CFSP/ICP income levels above 200 percent of the state income standard for families receiving child care services under Title XX provided that the income levels do not

exceed 275 percent of the state income standard for a family of one or two, 255 percent if the state income standard for a family of three, or 225 percent of the state income standard for a family of four or more.

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 duly licensed or registered child day care programs that have a contract or purchase of service agreement with the social services district.

CATEGORIES OF ELIGIBLE INDIVIDUALS:
TANF, Safety Net, SSI, Income Eligibles

Appendix C-4

EDUCATIONAL SERVICES

DEFINITION: Services which support the assessment of the need for, and arrangement of, educational counseling and training for a person; for 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). Educational service areas may include, but are not limited to, health education, safety related education, literacy education programs, general equivalency diploma programs, and other referrals to community resources related to education and training.

NATIONAL GOAL RELATIONSHIP: I, II, III

METHOD OF PROVISION: Direct Provision

CATEGORIES OF ELIGIBLE INDIVIDUALS:

TANF, Safety Net, SSI, Income Eligibles

Appendix C-5

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 New York State Education Department, Adult Career and Continuing Education Services-Vocational Rehabilitation (ACCES-VR) or the New York State Commission for the Blind.

(b) Providing diagnostic assessment, when necessary, to determine the employability of an applicant for or recipient of TANF or Safety Net 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:

TANF, Safety Net, 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, 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 offer and provide Component A to TANF, Safety Net, 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 that 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 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:

TANF, Safety Net, SSI, Income Eligibles, and Without Regard to Income for Individuals under age 2l.

Appendix C-7

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 who remain in foster care after reaching age 18 or were in foster care prior to age 18 and reenter foster care after age 18 and before age 21) 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 must 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 services 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 or facility; arranging for appropriate services which are available under the CFSP and are 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 so the child receives 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 for the child as contained in the CFSP 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, or emotional or behavioral problems.

(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, which may include classroom and practical experience in life skills, money management and

vocational preparation.

(f) Discharge services, which may include after-care services and must include supervision services.

(i) After-care services, which 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.

(g) 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:

Title IV-E eligible (determined by the AFDC standards of July 16, 1996)
SSI (Title IV-E related)
All individuals without regard to income for state-funded care

Appendix C-8

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 assisting in enrollment in a medical managed care program or 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; to seek and use the services available through the Office of Vocational and Education Services for Individuals with Disabilities (VESID) of the state Education Department or the New York State Commission for the Blind; to help provide the medical and other services necessary for such clients; to be maintained in the rehabilitation program.

(d) Child/Teen Health Program (CTHP) Services (not otherwise provided under Medical Assistance) to implement this program in accordance with 18 NYCRR Part 508.

(e) Services to help eligible clients find and gain admission to necessary institutional placement such as nursing homes, adult homes, state hospitals, and health-related facilities.

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

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

CATEGORIES OF ELIGIBLE INDIVIDUALS:

TANF, Safety Net, Income Eligibles
Mandated for SSI

Appendix C-9

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 OCFS and applicable local civil service 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:

TANF, Safety Net, SSI, Income Eligibles

Appendix C-10

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 OCFS 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:

TANF, Safety Net, Income Eligibles
Mandated for SSI

Appendix C-11

HOUSEKEEPER/CHORE SERVICES

DEFINITION: Assessing the need for, arranging for, providing in accordance with standards of OCFS 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:

TANF, Safety Net, Income Eligibles
Mandated for SSI

Appendix C-12

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

TANF, Safety Net, 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 OCFS 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.)

Appendix C-13

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 that 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.

Appendix C-14

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 24 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 care giving, 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 24-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:

TANF, Safety Net, SSI, Income Eligibles

Appendix C-15

PREVENTIVE SERVICES FOR CHILDREN

DEFINITION:

Component A: Supportive and rehabilitative services provided to children and their families in accordance with the provisions of OCFS regulations 18 NYCRR Part 423 and section 409-a of the 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. Preventive services may include, but are not necessarily limited to, the following range of services, when provided for the purpose stated above and in conformity with Social Services Law and OCFS regulations:

- Case management*
- Case planning*
- Child day care services*
- Homemaker services*
- Housekeeper/chore services
- Family planning services
- Home management services
- Clinical services*
- Parent aide services*
- Day services to children
- Parent training*
- Transportation services*
- Emergency cash or goods*
- Emergency shelter *
- Preventive housing services
- Intensive, home-based, family preservation services
- Outreach activities
- Respite care*

*Core preventative services

Core preventive services must be provided to a child/youth and his/her family whom the district is required to serve pursuant to OCFS regulations 18 NYCRR Part 423, 18 NYCRR 430.9 and section 409-a(1) of the Social Services Law.

Component B: Optional preventive services provided to a child and his/her family whom the local district may serve pursuant to section 409-a(2) or (3) of the Social Services Law. Optional services may be targeted to specific communities or populations that exhibit characteristics that may result in family impairment or disruption and some future risk of foster care.

NATIONAL GOAL RELATIONSHIP: III

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

CATEGORIES OF ELIGIBLE INDIVIDUALS:

Component A: All individuals, without regard to income.
Component B: Social services districts may opt for any of the following categories of eligible individuals - All individuals, without regard to income; Group Eligibility

Appendix C-16

PROTECTIVE SERVICES FOR ADULTS

DEFINITION: Protective services for adults (PSA) are provided to individuals 18 years of age or older who, because of mental or physical impairments:

(1) are unable to meet their essential needs for food, shelter, clothing or medical care, secure entitlements due them, or protect themselves from physical, sexual or emotional abuse, active, passive or self-neglect, or financial exploitation; and

(2) are in need of protection from actual or threatened harm due to physical, sexual or emotional abuse, or active, passive or self-neglect, or financial exploitation or by hazardous conditions caused by the action or inaction of either themselves or other individuals; and

(3) have no one available who is willing and able to assist them responsibly.

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. At the time of referral, the local district shall make a determination as to whether a life-threatening situation exists. If a situation is designated as life-threatening, the district must commence an investigation as soon as possible but not later than 24 hours after receipt of the referral. For potential PSA cases not designated as life-threatening situations, the district must commence an investigation within 72 hours of receipt of the referral and must make a visit to the client within three working days of the referral. For these purposes, a “referral” is defined as any written or verbal information provided to a district in which a specific person is identified as apparently in need of PSA, or any verbal or written information provided to a district on behalf of an adult for whom the district determines that a PSA investigation and assessment is necessary;

(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 protect the rights and entitlements due to adults 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 is 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 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 guardianship 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).

Appendix C-17

PROTECTIVE SERVICES FOR CHILDREN

DEFINITION: Activities on behalf of children under the age of 18 who are named in a report of child 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 some credible evidence of child abuse and/or maltreatment;

(5) Counseling, therapy and training courses for parents or guardians 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 child 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 suspected child abuse and/or maltreatment received by the New York Statewide Central Register of Child Abuse and Maltreatment (SCR) and such services must terminate as a protective service for children when the case is closed with the SCR;

(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.

Appendix C-18

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, cooperation with OCFS in certification and renewal actions, and participation 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 social services district into residential care programs certified by OCFS or other state agencies. Local districts must confirm that the persons are placed in facilities that provide the level of care corresponding 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 in order that each resident adjusts to their new living arrangements; receives proper care and supervision; 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 OCFS regulation 18 NYCRR 313.2 and the provision of other ongoing services, as determined necessary by the local

social services district, to persons in facilities certified by OCFS, the Department of Health, the Office of Mental Health and the Office for People with Developmental Disabilities.

Component A is a mandated local district responsibility without regard to whether the family-type home is caring for SSI, Safety Net 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 Safety Net, or for persons whose income does not exceed 150 percent 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: Safety Net, SSI, Income Eligibles

Appendix C-19

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(ren) who themselves are the victim of an act or whose minor child(ren) is a victim of an act which would constitute a violation of the Penal Law and such act resulted in actual physical or emotional injury or created substantial risk of such injury and was or is alleged to have been committed by a family or household member. The definition of family or household member includes: persons related by blood or marriage; persons legally married to one another; persons formerly married to one another; 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 or at regular intervals 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 OCFS regulations 18 NYCRR Parts 452, 453, 454, or 455, or an approved non-residential program for victims of domestic violence pursuant to OCFS regulation 18 NYCRR Part 462, are considered domestic violence services:

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

(b) Telephone hotline assistance includes the provision of immediate crisis intervention counseling and information and referral services through a telephone hotline.

(c) Information and referral services include providing information about and referral to community services and programs including referral to domestic violence residential services.

(d) Advocacy services includes providing liaison services or intervening on behalf of a victim of domestic violence 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.

(e) Counseling includes 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 for 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.

(f) Community education/outreach activities includes 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.

(g) Children's services include: (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.

(h) Support groups include the provision of peer support to interested victims domestic violence by conducting meetings during which groups of victims discuss their experiences with family violence.

(i) Follow-up services include confirming 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.

(j) Medical services include 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.

(k) Transportation services include, to the extent possible, 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.

(l) Translation services include 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 OCFS regulation, 18 NYCRR 452.2(g) of Office regulations without regard to income.

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

Note: For this Service, Estimated Recipients (Persons to be served) are accounted

for in Protective Services – Adults.

Appendix C-20

SOCIAL GROUP SERVICES FOR SENIOR CITIZENS

DEFINITION: Those services provided to older adults, through specialized community facilities that 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 use 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 Child and Family Services Plan. Reimbursement may be made to the recipient for the cost of such transportation when transportation has the prior approval of the local district 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:

TANF, Safety Net, 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, agency boarding 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:

TANF, Safety Net, SSI, Income Eligibles**

INCOME ELIGIBILITY STANDARDS[1]

Appendix D-1

SERVICE	MANDATED CATEGORIES	OPTIONAL CATEGORIES	INCOME STANDARDS
Adoption **Component A**	Without Regard	None	Without Regard[2]
Component B	**Without Regard (limited)**	**TANF, SNA Up to 200%**	**Without Regard Local Option**
Aftercare Mandated	**Without Regard**	**TANF, SNA**	**Without Regard**
Optional	**None**	**Up to 200%**	**Local Option**
Child Care	TANF and Safety Net in an approved activity Employed families transitioning off of TANF and Safety Net or child care in lieu of temporary assistance up to 200%.	Up to: 275% family of 1 or 2 255% family of 3 225% family of 4 or more	Local Option
Educational	None	Up to 200%	Local Option
Employment	None	Up to 200%	Local Option
Family Planning			
Component A	TANF, SSI, Safety Net	a. Up to 200% b. Without Regard for Age 21 and under	Local Option
Component B	None	a. Up to 200% b. Without Regard for Age 21 and under	Local Option

1 Income eligibility standards are expressed as a percentage of federal poverty level for a family size of four. All these percentages represent state maximum eligibility standard. Local districts may elect lower eligibility levels for certain services listed "Local Option."

2 The state requires that these services must be provided without regard to income.

Family means "the basic family unit consisting of one or more adults and children, if any, related by blood, or law, and residing in the same household". Where related adults, other than spouses or unrelated adults reside together, each shall be considered a separate family by the state. Emancipated minors and children living together under the care of individuals not legally responsible for that care shall be considered one person families by the state.

SERVICE	MANDATED CATEGORIES	OPTIONAL CATEGORIES	INCOME STANDARDS
Foster Care Children	Without Regard	None	Without Regard[2]
Health Related	SSI	Up to 200%	Local Option
Home Management	SSI	Up to 200%	Local Option
Homemaker			
Component A & B	None	Up to 200%	Local Option
Component C	SSI	Up to 200%	Local Option
Housekeeper/Chore	SSI	Up to 200%	Local Option
Housing Improvement			
Component A	SSI	Up to 200%	Local Option
Component B	None	Group eligibility	Group eligibility
Information & Referral	Without Regard	None	Without Regard[2]
Preventive Adults	None	Up to 200%	Local Option
Preventive Children Mandated	Without Regard	None	Without Regard[2]
Optional		**TANF, SNA Up to 200% Group Eligibility**	Local Option

2 The state requires that these services must be provided without regard to income.

SERVICE	MANDATED CATEGORIES	OPTIONAL CATEGORIES	INCOME STANDARDS
Protective Adults	Without Regard	None	Without Regard[2]
Protective Children	Without Regard	None	Without Regard[2]
Residential Placement Services for Adults			
Component A	Without Regard	None	Without Regard[2]
Component B	SSI, MA, Safety Net & Income Eligibles to the extent State funds are available	None	Up to 150%
Services to Victims of Domestic Violence	Without Regard	None	Group Eligibility
Social Group for Senior Citizens	None	Group Eligibility	Group Eligibility
Transportation	None	Up to 200%	Local Option
Unmarried Parents	TANF, SSI, MA, Safety Net & Income Eligibles	None	150%

2 The state requires that these services must be provided without regard to income.

STATEWIDE FEE STRUCTURE **Appendix E-1**

This appendix presents New York State's methodology to determine the fee structure for child care services provided during FFY 2018.

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 New York State Office of Family and Children Services.

Fees are required for all families whose eligibility for child care services is based on income and who are not receiving TANF, Safety Net or VA or who are not experiencing homelessness. 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.

Districts must select a fee percentage to be applied to the difference between family gross income and the state income standard. The fee percentage may range from 10 percent to 35 percent.

Districts may establish only one percentage to be applied to all family sizes and all child care programs. The flexibility o f this fee schedule allows each social services district the ability to establish fees at a level which would b est support local needs and differences related to the continuance and or expansion of programs in that particular community.

A minimum fee of $1 per week must be assessed for all income eligible child care. Rounding will occur to the nearest $0.50. Fees must be calculated using the following formula:

$$\frac{\text{Annual Gross Income} - \text{100\% Income Standard (by family size)}}{52} \times \text{(District Option) \%} = \text{Weekly Fee}$$

Examples of fee calculation use the state income standard effective June 1, 2017. The examples selected are by family income level and the district's selected fee percentage.

Example 1: Family size of 4, Gross Annual Income of $25,000
100% income standard $24,600, district %=25%

$25,000- $24,600 = $400
$400 X .25 = $100.00
$100.00 divided by 52 = $1.92
Rounded to $2.00 WEEKLY FEE

Example 2: Family size of 2, Gross Annual Income of $25,000
100% income standard $16,240 district %=35%

$25,000 - $16,240 = $8,760
$8,760 X .35 = $3,066.00
$3,066.00 divided by 52 = $58.96
Rounded to $59.00 WEEKLY FEE

In addition, for other services, with the exception of the residential services component of Services to Victims of Domestic Violence, where social services districts opt to establish fees where allowed by federal and state statute and regulations, the same methodology will be used. For the residential services component of Services to Victims of Domestic Violence, the fee methodology will be the same methodology used under public assistance programs for the calculation of the victim's fee.