



David A. Paterson  
Governor

NEW YORK STATE  
OFFICE OF CHILDREN & FAMILY SERVICES  
52 WASHINGTON STREET  
RENSSELAER, NY 12144

Gladys Carrión, Esq.  
Commissioner

## Local Commissioners Memorandum

<b>Transmittal:</b>	09-OCFS-LCM-13
<b>To:</b>	Local District Commissioners
<b>Issuing Division/Office:</b>	Strategic Planning & Policy Development
<b>Date:</b>	October 19, 2009
<b>Subject:</b>	<b>Guidelines and Instructions for Preparing Child and Family Services Plan Annual Plan Update</b>
<b>Contact Person(s):</b>	See Technical Assistance Contacts, Page 4
<b>Attachments:</b>	Strategic Component – Child and Family Services Plan Administrative Component – Youth Bureau Administrative Component – Department of Social Services PINS Diversion Plan Child Care Technical Assistance - #1 Eligible Families Child Care Technical Assistance - #2 Limiting Eligibility for Other Eligible Families if Funds are Not Available
<b>Attachments Available On-Line:</b>	Yes. All Templates may be accessed individually at: <a href="http://www.ocfs.state.ny.us/main/policies/external/OCFS_2009/LCMs/09-OCFS-LCM-13_docs.asp">http://www.ocfs.state.ny.us/main/policies/external/OCFS_2009/LCMs/09-OCFS-LCM-13_docs.asp</a>

### I. Purpose

The purpose of this Local Commissioners Memorandum (LCM) is to provide the guidelines for the Annual Plan Update (APU) for the required county Child and Family Services Plan (CFSP). These guidelines are being provided separately and simultaneously to County Youth Bureaus and County Probation Departments. The APU is due December 15, 2009. Through this APU, counties will report on any changes being implemented in their current CFSP and make any necessary changes to their CFSP for the remaining period of their plan. As per the June 29, 2009 letter to LDSS Commissioners, Youth Bureau Directors, and Probation Directors referencing the 2010 CFSP, the current 2007-2009 CFSP is being extended through December 31, 2010 in order to implement CFSP improvements and efficiencies prior to the next required full submission. County Youth Bureaus and Local Departments of Social Services (LDSS) are required by statute to develop and submit to the State local multi-year plans for the provision of services and the allocation of resources. This CFSP also includes the required PINS Diversion Plan which is developed by LDSS, County Youth Bureaus and County Probation Departments.

## II. Background

OCFS is committed to assisting counties in having a local collaborative planning process.

The county planning process is designed to reflect the following principles and objectives:

- to support and acknowledge a local collaborative planning process inclusive of broad stakeholder involvement;
- to encourage a planning process that has meaning and utility locally, while preserving accountability to state and federal requirements;
- to clarify required planning expectations for counties;
- to support a process that focuses on outcomes for children, youth, families, adults and communities;
- to support the important respective administrative roles and responsibilities of County Youth Bureaus and Departments of Social Services;
- to streamline and improve the design of the plan.

## III. Program Implications

There have been some requirements added to the APU based on changes to regulation or statutes since the CFSP Three Year Guidelines were released on May 23, 2006. These new requirements are:

- Counties **must** report on their use of performance- or outcome-based provisions for preventive services. For contracted services language has been added to the Administrative Component LDSS under sections I. b and II. (For directly provided services, the Strategic Component incorporates those requirements)
- The change in regulation to 18 NYCRR section 415.2(a)(3)(vii)(c) became effective May 15, 2009 which expands the categories of families that are eligible if funds are available and if a LDSS has listed such families as eligible in its Child and Family Services Plan to address the needs of families where the caretaker(s) is a dislocated worker and is participating in a training program. LDSS may choose to serve these families to provide safe and affordable child care in order to enable these caretakers to be trained in various skills and rejoin the workforce in new employment. Any district that chooses to include this option in its plan must complete Appendix G- 2, number 11. Districts were notified of this change on May 18, 2009 in the 09-OCFS-LCM-07. Those districts that chose to amend their CFSP to include this option do not need to resubmit their request as their CFSP has already been updated and approved to include the option.

A district has the option, if it so chooses in the child care portion of its Child and Family Services Plan, to increase the enhanced market rate for eligible legally-exempt family child care and in-home child care categories up to 75 percent of the applicable registered family day care market rate. Districts that choose to increase the enhanced market rate must complete Appendix G-11. Districts were notified of this change on May 18, 2009 in the 09-OCFS-LCM-07. Those districts

that chose to amend their CFSP to include this option do not need to resubmit their request as their CFSP has already been updated and approved to include the option.

#### **IV. Guidelines**

The Annual Plan Update Guidelines are based on existing requirements and are intended to make the process more efficient.

Efforts have been made to streamline required information in the form of checklists and templates. Input from local districts, youth bureaus, and probation has been incorporated and will be considered for future improvements to the county planning process.

#### Annual Plan Update Guidelines (attached)

The Annual Plan Update guidelines included here are:

- Strategic Component
- Administrative Component – Youth Bureau
- Administrative Component – Department of Social Services
- PINS Diversion Services

#### Templates (REQUIRED)

Templates have been created for each part of the 2009 APU. These templates correspond to the narrative sections of the plan and each appendix. Districts must complete and submit the templates and/or appendix for each required section of the plan and for any section of its plan that the district is amending. The use of templates will facilitate in the electronic submission the 2009 APU and will expedite the approval process. The use of templates for the submission of this APU is *required*. These templates are available online at the OCFS internet site under External Policies, Local Commissioners Memorandum at <http://www.ocfs.state.ny.us/main/policies/external/>.

#### Submission Date

All components of the APU are due to OCFS by December 15, 2009. Each county is required to mail in one original copy of its completed APU **and** email one electronic copy. All electronic submissions are required to be submitted in **Word** format No other formats will be accepted. Please clearly number all pages.

#### **The original copy should be mailed to:**

Attn: Deborah Michela  
County Plans  
Division of Child Welfare and Community Services  
Regional Operations  
NYS Office of Children and Family Services  
52 Washington Street, Room 321N  
Rensselaer, New York 12144

The electronic copy should be mailed to: [Kristin.Gleeson@ocfs.state.ny.us](mailto:Kristin.Gleeson@ocfs.state.ny.us)

### Technical Assistance Contacts

The staff in the regional offices of the Division of Child Welfare and Community Services and the regional offices of the Office of Youth Development, listed below, continues to be available and involved on an ongoing basis.

#### Regional Office – Child Welfare and Community Services (CWCS)

BRO	Mary Miller	(716) 847-3145	<a href="mailto:Mary.Miller@ocfs.state.ny.us">Mary.Miller@ocfs.state.ny.us</a>
RRO	Linda Kurtz	(585) 238-8201	<a href="mailto:Linda.Kurtz@ocfs.state.ny.us">Linda.Kurtz@ocfs.state.ny.us</a>
SRO	Jack Klump	(315) 423-1200	<a href="mailto:Jack.Klump@ocfs.state.ny.us">Jack.Klump@ocfs.state.ny.us</a>
ARO	Kerri Barber	(518) 486-7078	<a href="mailto:Kerri.Barber@ocfs.state.ny.us">Kerri.Barber@ocfs.state.ny.us</a>
NYCRO	Patricia Beresford	(212) 383-1788	<a href="mailto:Patricia.Beresford@ocfs.state.ny.us">Patricia.Beresford@ocfs.state.ny.us</a>
SVO	Pat Sheehy	(845) 708-2498	<a href="mailto:Patricia.Sheehy@ocfs.state.ny.us">Patricia.Sheehy@ocfs.state.ny.us</a>

#### Regional Office – CWCS Youth Development

BRO	Christine Garmon-Salaam	(716) 847-3331	<a href="mailto:Christine.Garmon-Salaam@ocfs.state.ny.us">Christine.Garmon-Salaam@ocfs.state.ny.us</a>
	Joe Proietti	(716) 847-3860	<a href="mailto:Joseph.Proietti@ocfs.state.ny.us">Joseph.Proietti@ocfs.state.ny.us</a>
RRO	Lydia Dzus	(585) 238-821	<a href="mailto:Lydia.Dzus@ocfs.state.ny.us">Lydia.Dzus@ocfs.state.ny.us</a>
SRO	Denise Dyer	(315) 423-5432	<a href="mailto:Denise.Dyer@ocfs.state.ny.us">Denise.Dyer@ocfs.state.ny.us</a>
	Thomas Mitchell	(315) 423-5491	<a href="mailto:Thomas.Mitchell2@ocfs.state.ny.us">Thomas.Mitchell2@ocfs.state.ny.us</a>
ARO	Larry Hayes	(518) 473-8866	<a href="mailto:Larry.Hayes@ocfs.state.ny.us">Larry.Hayes@ocfs.state.ny.us</a>
	Matt Beck	(518) 473-2543	<a href="mailto:Matt.Beck@ocfs.state.ny.us">Matt.Beck@ocfs.state.ny.us</a>
	Lynda Fleurismond	(518) 402-3715	<a href="mailto:Lynda.Fleurismond@ocfs.state.ny.us">Lynda.Fleurismond@ocfs.state.ny.us</a>
NYCRO	Arlene Reece-Solomon	(212) 383-4704	<a href="mailto:Arlene.Reece@ocfs.state.ny.us">Arlene.Reece@ocfs.state.ny.us</a>
	Sonia Tate	(212) 383-4705	<a href="mailto:Sonia.Tate@ocfs.state.ny.us">Sonia.Tate@ocfs.state.ny.us</a>
SVO/LIRO	Princella Stover	(516) 564-4445	<a href="mailto:Princella.Stover@ocfs.state.ny.us">Princella.Stover@ocfs.state.ny.us</a>

In addition, questions on additional content areas may be directed to:

- Detention Services – Theresa Portelli, (518) 473-4630; [Theresa.Portelli@ocfs.state.ny.us](mailto:Theresa.Portelli@ocfs.state.ny.us)
- Child Care – Rhonda Duffney, (518) 474-9620; [Rhonda.Duffney@ocfs.state.ny.us](mailto:Rhonda.Duffney@ocfs.state.ny.us)
- Domestic Violence – Pamela Jobin, (518) 402-6766; [Pamela.Jobin@ocfs.state.ny.us](mailto:Pamela.Jobin@ocfs.state.ny.us)
- Adult Services – Paula Vielkind, (518) 474-9590; [Paula.Vielkind@ocfs.state.ny.us](mailto:Paula.Vielkind@ocfs.state.ny.us)
- Program Information – Robert Dick, (518) 474-3475; [Robert.Dick@ocfs.state.ny.us](mailto:Robert.Dick@ocfs.state.ny.us)

*/s/ Nancy W. Martinez*

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#### **Issued By:**

Name: Nancy W. Martinez

Title: Director

Division/Office: Strategic Planning & Policy Development

## 2009 Annual Plan Update – Components Cover Page

Required submissions of the 2009 Annual Plan Update (APU) are listed below by component. Please review the following list highlighting those parts of the APU that are required for submission.

### **APU Strategic Component:**

Appendix A – Plan Signature Page (**Required**)

Appendix B (1-6) – List of Required Interagency Consultation (**Required**)

Appendix D – County Outcomes and Related OCFS Title IV-B Federal Goals(**Required**)

Appendix E – County Summary Planning Process Activities (**Required**)

### **APU Strategic Component – PINS Diversion Services Plan: (Required)**

### **APU Administrative Component – LDSS:**

Appendix A – Legal Assurances – Department of Social Services (**Required**)

Appendix B – Summary of Memorandum of Understanding with District Attorney’s Office for Child Protective Services (**Required if amended or expired since last APU submission**)

Appendix C – Estimate of Persons Served (Required **only** if the social services district does not seek or maintain a waiver)

Appendix D – Non-Residential Services to Victims of Domestic Violence (Required **only** if there are changes to report)

Appendix E – Chafee Foster Care Independence Program Use of Allocations (Required **only** if the county is using part of its Federal Fiscal Year 2008-2009 Independent Living allocations for room and board up to 30 percent).

Appendix F – Department of Social Services – Program Information Matrix (**Required**)

Appendix G (1-12) – Child Care (Required **only** if a district has a need to amend)

Appendix H – Check List – LDSS (**Required**)

### **APU Administrative Component – YB:**

Appendix A – Check List – Youth Bureau (**Required**)

Appendix B – Youth Board List (Required **only** if there are changes to the Youth Board)

**ANNUAL PLAN UPDATE**  
to the  
**CHILD AND FAMILY SERVICES PLAN**

**STRATEGIC COMPONENT**  
for

County:

Due: December 15, 2009

**INSTRUCTIONS**

These are the directions for completing this required component of your Annual Plan Update (APU) to the Child and Family Services Plan (CFSP). Each county plan consists of four components: the Strategic Component, the Administrative Component-Youth Bureau, the Administrative Component-Department of Social Services and the PINS Diversion Services Plan-Strategic Component. The APU is an opportunity for counties to describe their activity over the period since their last submission and to report on any changes to be made to the plan for the remainder of the planning cycle. Where there have not been changes, counties will need only to report no changes or “None” in provided text boxes. However, those sections indicated as “Required” must be completed regardless of changes due to state, federal, or regulatory requirement.

The directions for the APU are shown in *italics* and follow the existing CFSP guidelines, unless otherwise indicated in these APU Guidelines. The Guidance Section that accompanied directions in the past has been omitted for this APU. Please refer to 06-OCFS-LCM-05 for this information.

COVER PAGE

*APU: This should include the effective dates of the APU (December 15, , 2009 to December 31, 2010), submission date, county, and the name of Youth Bureau and Department of Social Services submitting the plan and the name of a contact person(s) to be contacted if there are questions about the plan. A cover page is included for your use before the Appendices.*

*APU: For purposes of consistency, uniformity, and ease of review counties must utilize the guidelines format and provided appendices (Templates).*

I. OUTCOME FRAMEWORK/MISSION/VISION

CFSP: If the county has one, please describe the county’s outcome framework, mission, and/or vision.

***APU Instructions:*** County may report any changes here to their mission, framework or vision statement if they have one and changes have been made. If there are no changes indicate “None” in the text box below).

## II. PLANNING PROCESS

- A. CFSP: Briefly describe the county planning process that has taken place, including meetings, forums, hearings, coalitions, and task forces. This description must include the level of involvement or consultation with the following: the public hearing, Advisory Board for the Local Department of Social Services, County Youth Board, municipalities (city, town, village), youth, families, and broad based community participation (Appendix E must be completed in lieu of narrative). Where the county has a municipal youth bureau(s), describe the involvement of the municipal youth bureau(s) in the county’s planning process. Please include specific reference(s) on how the Youth Bureau and Local Department of Social Services have planned together.

***APU Instructions:*** Please provide a brief description of any changes to your process or of any salient planning activity (Use Appendix E). A public hearing is not required for the APU; however counties must provide public notice of any changes affecting client eligibility or access to services. If there are no changes, indicate “None” in text box below.

- B. CFSP: The List of Required Interagency Consultation (Appendix B, 1-6) must be completed for the planning for child protective, child welfare, adult protective, child care services and if the county receives Runaway and Homeless Youth Act (RHYA) funding, runaway and homeless services.

***APU Instructions:*** Please only submit changes to these lists as necessary. If there are no changes, indicate “None” in text box below.

## III. NEEDS ASSESSMENT

- A. Needs Assessment Strategies

CFSP: Please provide a summary of the accomplishments, important activities and learnings from the previous county plan cycle.

***APU Instructions:*** Please list needs assessment strategies in text box below or indicate “None” if there are no changes..

- B. Needs Assessment Activities

CFSP: Please provide a summary of the county's needs assessment activities. The needs assessment must include the specific resources, needs, services or opportunities for child protective services, foster care, youth development, adoption services, preventive services,

detention services, child care, domestic violence services, adult protective services, and runaway and homeless youth populations. It is expected that over the course of the plan cycle the needs assessment activities will take into account the areas of juvenile justice, health, mental health, education, alcohol and substance use and workforce development particularly as they relate to those required service areas. If county is currently receiving only Part I RHYA state aid and wants to request Part II RHYA state aid, a justification of need must be included.

***APU Instructions: Please briefly describe any new needs assessment activity conducted since your last plan submission. Counties may submit their CFSR Self-Assessment for the child welfare portion of the county needs assessment for this section.***

C. Needs Assessment Conclusions

CFSP: Please describe the conclusions drawn from your needs assessment activities for the above areas, or any other areas, identified by the county. Please identify county determined priorities, if any in the text box below or indicate “None” if there are no changes..

***APU Instructions: Please describe any new conclusions or new priorities developed from your needs assessment activities in the text box below. Indicate “None” if there are no changes.***

D. Data Sources

CFSP: Please complete the List of Data Sources Used in Needs Assessment (Appendix C) to identify the primary sources of information used for the assessment process.

***APU Instructions: Completion of the checklist contained in Appendix C is required.***

E. Ongoing Needs Assessment

CFSP: Describe new or ongoing assessment activities planned for this coming year. Please be specific as to what issue(s) or question(s) will be examined through this needs assessment activity. Identify which agency(ies) will be responsible for completing the needs assessment activity. Please utilize the text box below for this purpose.

***APU Instructions: Please describe any new needs assessment activities planned through the end of the current planning cycle (December 31, 2010 in the text box below).***

IV. OUTCOMES

- A. CFSP: The county’s Outcomes should include those that focus on supporting of child, youth, family, adult and community development and well being as well as the prevention of risk and vulnerability. Outcomes should be expressed as desired changes in community, family or individual behaviors or conditions and/or as maintenance of



existing conditions or behaviors. These outcomes must relate to needs assessment results, to the use of OCFS funding, and/or to the required areas of services for Local Departments of Social Services and Youth Bureaus, including youth development. The local outcomes must include detention and Adult Protective Services. Counties must address at least two of the following state determined Adult Services goals:

<b>Adult Services</b>
<ul style="list-style-type: none"> <li>▪ Impaired adults who are abused, neglected or exploited by others, will be identified, have their situation thoroughly investigated, and be protected.</li> </ul>
<ul style="list-style-type: none"> <li>▪ To pursue appropriate legal interventions to address situations where impaired adults are at risk of harm, are unable to make informed decisions and are refusing necessary services.</li> </ul>
<ul style="list-style-type: none"> <li>▪ To utilize multi-disciplinary community resources to improve assessments and to develop service plans which reduce risk and protect adults.</li> </ul>
<ul style="list-style-type: none"> <li>▪ To provide protective services in the least restrictive manner, respecting the adult's rights to self-determination and decision-making.</li> </ul>

For each Outcome:

1. Identify quantifiable and verifiable indicators of the desired change in conditions or behaviors OR for maintaining the existing conditions or behaviors to track the progress in meeting the outcome; and

Briefly describe strategies to be implemented to achieve the identified outcomes. Each strategy should include the timeframe for completion, and a designation of what agency (ies) or department(s) is responsible for implementation. This is an opportunity to explain how OCFS administered funding supports achievement of outcomes. Strategies must be related to the achievement of outcomes. If the county receives RHYA state aid, the strategies must include a provision for the coordination of all available county resources for those populations. CFSP: Please indicate the relationship between County Outcomes and Title IV-B Federal Goals chart by completing, Appendix D. Counties enter the appropriate Title IV-B Federal Goal number below each outcome developed in response to IV-A above that relates to that particular Federal goal.

2.

***APU Instructions: For each current outcomes, please provide a brief description of the progress made to date. Please make any necessary changes to the indicators or strategies for each outcome with a brief explanation for the change.***

***For each new outcome added, please follow directions above (A. 1 and 2).***

***APU Instructions: If new county outcomes were identified, please bold the identified outcome.***

V. PLAN MONITORING

CFSP: Describe the methods and the process by which the implementation of the Child and Family Services Plan and the achievement of outcomes will be verified and monitored by the county.

***APU Instructions: Please describe any changes, if any, the county has made to its methods or process to monitor the implementation of the CFSP in the text box below.***

VI. RESOURCE ALLOCATION/FINANCING PROCESS

- A. CFSP: Describe the relationship between the county's resource allocation process for Youth Bureau administered OCFS funding and other funding the Youth Bureau administers and the needs assessment process, the achievement of outcomes and the selection of strategies. All OCFS funding must support the direction set in the county plan.

***APU Instructions: Please describe changes, if any, the county has made to this relationship in the text box below.***

- B. CFSP: Describe the relationship between OCFS and other funding administered by the Local Department of Social Services and the needs assessment process, the achievement of outcomes and the selection of strategies. This would also include, for example, TANF, PINS allocations, purchase of services, and other grants obtained locally.

***APU Instructions: Please describe any changes, if any, the county has made to this relationship in the text box below.***

## VII. APPENDICES

*Appendix A Plan Signature Page – Child and Family Services Plan – Annual Plan Update*

**Appendix B List of Required Interagency Consultation**

- 1) Protective Services for Adults
- 2) Child Protective Services
- 3) Child Welfare Services
- 4) Child Care Services
- 5) Runaway and Homeless Youth
- 6) County Youth Bureau

**Appendix C List of Data Sources Used in Needs Assessment**

**Appendix C-1 List of Potential Data Sources** – This Appendix provides an illustrative list of some websites that have county, state or national data that might be useful to counties in their planning. In addition many state agencies now have data available on their state websites.

**Appendix D County Outcomes and Related OCFS Title IV-B Federal Goals**

**Appendix E County Summary Planning Process Activities**

**Appendix F Technical Assistance Needs** – Identify the assistance or training, if any, requested by the county to implement this plan. Please be specific.

**COVER PAGE**

**ANNUAL PLAN UPDATE  
to the  
CHILD AND FAMILY SERVICES PLAN**

**December 15, 2009 – December 31, 2010**

**County**

This Annual Plan Update (APU) to the Child and Family Services Plan including the Strategic Component, the Administrative Component-Local Department of Social Services, the Administrative Component-Youth Bureau, and the PINS Diversion Services Plan-Strategic Component covers the period of December 15, 2009 to December 31, 2010. The APU contains County Outcomes and Strategies to be undertaken that respond to community needs by the Youth Bureau for youth development and delinquency prevention services and by the District in the areas of Adoption, Foster Care Services for Children, Preventive Services for Children, Protective Services for Adults, Protective Services for Children, Other Adult Services, and Other Children and Family Services.

\_\_\_\_\_  
Contact Person

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Title

\_\_\_\_\_  
Email

**APPENDIX A  
 PLAN SIGNATURE PAGE  
 CHILD AND FAMILY SERVICES PLAN  
 ANNUAL PLAN UPDATE**

We hereby approve and submit the Annual Plan Update to the Child and Family Services Plan including the Strategic Component, the Administrative Component-Local Department of Social Services, the Administrative Component-Youth Bureau, and the PINS Diversion Services Plan-Strategic Component for the County Department of Social Services and Youth Bureau for the period of October 15, 2009, through December 31, 2010.

\_\_\_\_\_  
 Commissioner Date  
 County Department of Social Services

\_\_\_\_\_  
 Executive Director Date  
 County Youth Bureau

\_\_\_\_\_  
 Chair Date  
 County Youth Board

\*\*\*\*\*  
 I hereby approve and submit the PINS Diversion Services Plan-Strategic Component of the Child and Family Services Plan – Annual Plan Update for \_\_\_\_\_ County Probation Department for the period of October 15, 2009 through December 31, 2010.

\_\_\_\_\_  
 Director/Commissioner Date  
 County Probation Department

\*\*\*\*\*

**WAIVER**

(Complete and sign the following section if a waiver is being sought concerning the submission of Appendix C – Administrative Component Local Department of Social Services – Estimate of Clients to be Served.)

County requests a waiver to 18 NYCRR 407.5 (a) (3) which requests a numerical estimate of families, children and adults requiring each service listed in Section 407.4 of this same Part. Therefore, Appendix C, of the Administrative Component – Department of Social Services is not included in this Plan submission. I assert that the level of service need and utilization for the full array of services encompassed by the Child and Family Services Planning Process was taken into consideration as part of the County Child and Family Services Planning Process.

\_\_\_\_\_  
 Commissioner  
 County Department of Social Services

\_\_\_\_\_  
 Date

\*\*\*\*\*  
 Enclosed is the Child and Family Services Plan – Annual Plan Update for \_\_\_\_\_ County. My signature below constitutes approval of this report.

\_\_\_\_\_  
 Chief Elected Officer; or the Chairperson  
 of the legislative body in those districts  
 without a chief elected officer

\_\_\_\_\_  
 Date

## APPENDIX B 1-6

### Instructions for List of Required Interagency Consultation

#### **B-1. Protective Services for Adults - Agency Consultation**

Section 34-a.4 and Sections 473 (2)(a) and (b) of the State Social Services Law requires that in the development of the Protective Services for Adults component of the Annual Implementation Report, local districts must consult with other appropriate public, private and voluntary agencies in order to assure maximum local understanding, coordination, and cooperative action in the provision of appropriate services to protective services clients. These agencies include, but are not limited to, aging, health, mental health, legal and law enforcement agencies.

Some of these agencies and organizations from these mandated areas are listed below.

Aging: Representatives from the area agencies on aging, senior citizen centers and voluntary organizations which provide services to the elderly population.

Health: Representatives from the Public Health Department including public health nurses and the environmental staff of the Health Department, Title XIX funded home care providers and other medical and health service providers.

Mental Health: Representatives from the County Mental Health Department, psychiatric and developmental centers, community support systems core agencies, and other organizations and agencies involved in the provision of mental health services to mentally ill, mentally retarded, and developmentally disabled adults.

Legal: Representatives from legal aid organizations, the courts, the legal advocacy attorney from the area agency on aging, the County Attorney's office.

Law Enforcement: Representatives from the State Police, city, town or village police force, the Sheriff's department and the District Attorney's office.

This section must include specific agencies represented.

#### **B-2. Child Protective Services (CPS)**

Section 34-a(4) and Section 423(3)(a) of the State Social Services Law require that in the development of the Child Protective Services component of the Annual Implementation Report local districts must consult with local law enforcement agencies, the family court, and appropriate public and voluntary agencies including the societies for the prevention of cruelty to children. Regarding consultation with family court, the family court judge or a designated representative must be involved.

This section must include specific agencies represented.

### **B-3. Child Welfare Services**

Sections 34-a(4) and 409-d of the State Social Services Law require that in the development of the Preventive Services for Children, Foster Care Services for Children and Adoption Services components of the Annual Implementation Report, the districts must consult with other government agencies concerned with the welfare of children residing in the districts, authorized agencies and other concerned individuals and organizations. Examples of these agencies/organizations include: Youth Bureaus or Boards, Departments of Probation, Family Court judges, mental health agencies and legal and law enforcement agencies.

### **B-4. Child Care Services**

Counties that include amendments to their child care program in this document must share information regarding the proposed changes with local agencies who may be affected or who work with families who may be affected by such changes. These include but are not limited to: child care resource and referral programs, family day care associations or other child care associations, local agencies responsible for education and training for TANF recipients, employment and training centers, school districts, etc.

### **B-5. Runaway Homeless Youth**

### **B-6. Youth Bureau**

**APPENDIX B-1**

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**PROTECTIVE SERVICES FOR ADULTS**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* Either list dates of meetings or frequency, i.e. every third Wednesday of month.



**APPENDIX B-2**

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**CHILD PROTECTIVE SERVICES**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* Either list dates of meetings or frequency, i.e. every third Wednesday of month.

**APPENDIX B-3**

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**CHILD WELFARE SERVICES**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* Either list dates of meetings or frequency, i.e. every third Wednesday of month.

**APPENDIX B-4**

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**CHILD CARE SERVICES**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* Either list dates of meetings or frequency, i.e. every third Wednesday of month.

**APPENDIX B-5\***

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**RUNAWAY HOMELESS YOUTH**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* This appendix is only required if the county receives RHYA funding.

**APPENDIX B-6**

**CHILD FAMILY SERVICES PLAN**

**List of Required Consultation**

Please feel free to adjust this form or make multiple copies in order to capture all consultations.

**COUNTY YOUTH BUREAU**

<b>AGENCY TYPE OR PUBLIC ENTITY (ie: AGING, HEALTH, MH, LEGAL)</b>	<b>AGENCY NAME OR GROUP</b>	<b>DATE(S) OF MEETINGS*</b>	<b>TOPIC</b>	<b>BRIEF SUMMARY OF CONSULTATION</b>

\* This appendix is only required if the county receives RHYA funding.

**APPENDIX C**

**LIST OF DATA SOURCES USED IN NEEDS ASSESSMENT**

**INSTRUCTIONS:** The list below contains known common sources of data often used in county planning. Please check all that your county has used in the needs assessment performed for this plan. This list is not all inclusive, if you have other sources of data please indicated those as well.

<b><u>SOURCE</u></b>	<b><u>CHECK ALL USED</u></b>
1. NYS Touchstones Kids Count Data Book	<input type="checkbox"/>
2. Kids' Well-being Indictors Clearinghouse (KWIC)	<input type="checkbox"/>
3. Monitoring and Analysis Profiles	<input type="checkbox"/>
4. Child Care Review Service	<input type="checkbox"/>
5. US Census Data	<input type="checkbox"/>
6. OCFS Data Warehouse Reports	<input type="checkbox"/>
7. Child Trends Data Bank	<input type="checkbox"/>
8. Prevention Risk Indicator/Services Monitoring System-PRISMS (OASAS)	<input type="checkbox"/>
9. NYS Department of Health (such as Vital Statistics)	<input type="checkbox"/>
10. Surveys	<input type="checkbox"/>
a. Communities That Care Survey	<input type="checkbox"/>
b. Search Institute Survey	<input type="checkbox"/>
c. TAP Survey	<input type="checkbox"/>
d. United Way (Compass Survey or other)	<input type="checkbox"/>
e. Other (please specify):	<input type="checkbox"/>
10. Other Data Sources including archival data (please specify):	<input type="checkbox"/>
a. County child welfare data provided by OCFS for the CFSR PIP	<input type="checkbox"/>
b.	<input type="checkbox"/>
c.	<input type="checkbox"/>
d.	<input type="checkbox"/>
e.	<input type="checkbox"/>
f.	<input type="checkbox"/>
g.	<input type="checkbox"/>
h.	<input type="checkbox"/>
i.	<input type="checkbox"/>
j.	<input type="checkbox"/>
k.	<input type="checkbox"/>
l.	<input type="checkbox"/>
m.	<input type="checkbox"/>
n.	<input type="checkbox"/>
o.	<input type="checkbox"/>

## **APPENDIX C-1 LIST OF POTENTIAL DATA SOURCES**

America's Children – *America's Children: Key Indicators of Well-Being*, is an annual report of indicators measuring the well-being of children and youth in the United States. Biannually, a detailed report with more extensive narrative is published. [www.childstats.gov](http://www.childstats.gov)

Behavior Risk Factor Surveillance System – The Behavior Risk Factor Surveillance System (BRFSS) tracks health risks in the United States to better monitor and improve the health of our country. The BRFSS specifically focuses on producing state estimates, which can be used to monitor progress towards health goals or to evaluate state policies. The BRFSS is a telephone survey sponsored by the National Centers for Disease Control and Prevention. <http://www.cdc.gov/brfss/>

Kids' Well-Being Indicators Clearinghouse (KWIC) – KWIC is an online site with data on indicators of children's health, education, and well-being. Run by the New York Council of Children and Families, KWIC aims to provide data to help assess the needs of children in New York, to design and improve programs, and more specifically focus on outcomes. The KWIC data site is based on the Touchstones framework, which focuses on preventative measures, early intervention, and family and youth involvement. Touchstones provide goals to guide state efforts and future expectations of child health and well-being, provide benchmarks for monitoring well-being over time, and help focus planning. <http://www.nyskwic.org/>

New York State Department of Health – The New York State Department of Health (DOH) has county and state health data and statistics online with links to more detailed state tables and reports. Available data range from incidents of AIDS and HIV to vital statistics and demographic information for New York. By providing access to reliable and consistently updated data, users can better monitor and measure community health in their counties. <http://www.health.state.ny.us/statistics>

OCFS Data Warehouse – The OCFS Data Warehouse provides counties with data on children in foster care, child abuse, sexual abuse, and maltreatment incidents, and transitions into adoption uses data provided by Child Protective Services (CPS) and Foster and Adoptive Home Development. The OCFS Data Warehouse is designed to meet the needs of local districts, regional offices, and state OCFS staff who need access to management reports and data in the CONNECTIONS and child welfare legacy systems. For more information, email [data.warehouse@dfa.state.ny.us](mailto:data.warehouse@dfa.state.ny.us)

Youth Risk Behavior Surveillance System – The Youth Risk Behavior Surveillance System (YRBSS) monitors adolescent health behaviors that contribute to some of the leading causes of death, social problems, and disability among youth and adults. The survey aims to establish the prevalence of such behaviors, monitor decreases and increases over time, and measure progress towards meeting Healthy People 2010 goals. The YRBS surveys high school students in the ninth through twelfth grades. <http://www.cdc.gov/HealthyYouth/yrbs/index.htm>

U.S. Census/American Community Survey – [http://factfinder.census.gov/home/saff/main.html?\\_lang=en](http://factfinder.census.gov/home/saff/main.html?_lang=en)

## APPENDIX D

### County Outcomes and Relationship with OCFS Title IV-B Federal Goals

Directions: Please list each county outcome that supports or relates to achievement of the below identified Federal goals.

<b>Title IV-B of the Social Security Act Subpart I</b>
<b>Goal 1:</b> Families, including nuclear, extended and adoptive families will be strengthened and supported in raising and nurturing their children; in maintaining their children's connections to their heritage; and in planning for their children's future.
<b>Goal 2:</b> Children who are removed from their birth families will be afforded stability, continuity and an environment that supports all aspects of their development.
<b>Goal 3:</b> Victims of family violence, both child and adult, will be afforded the safety and support necessary to achieve self-sufficiency (adult), and/or to promote their continued growth and development (child).
<b>Goal 4:</b> Adolescents in foster care and pregnant, parenting and at-risk teens in receipt of public assistance will develop the social, educational and vocational skills necessary for self-sufficiency.
<b>Goal 5:</b> Native American families, including nuclear, extended and adoptive families will be strengthened and supported in raising and nurturing their children; in maintaining their children's connections to their tribal heritage; and in planning for their children's future.



**APPENDIX E**

**CHILD FAMILY SERVICES PLAN**

**COUNTY SUMMARY PLANNING PROCESS ACTIVITIES**

Please feel free to adjust this form or make multiple copies in order to capture planning process.

<b>NAME OF AGENCY, TASK FORCE COMMITTEE, OR BOARD</b>	<b>MEMBERSHIP</b>	<b>MEETING FREQUENCY</b>	<b>MEETING TYPE AND BRIEF SUMMARY</b>

\* This appendix is to be used in place of the planning narrative in the strategic component.

**APPENDIX F**  
**TECHNICAL ASSISTANCE NEEDS**

Please identify technical assistance or training, if any, requested by the county to implement this plan. Please be as specific as possible.

**ANNUAL PLAN UPDATE**  
to the  
**CHILD AND FAMILY SERVICES PLAN**

**LOCAL DEPARTMENT OF SOCIAL SERVICES**  
**ADMINISTRATIVE COMPONENT**

For

COUNTY:

Due: December 15, 2009

The Administrative Component of the county plan is the opportunity for Local Departments of Social Services (LDSS) to describe their procedures, delivery of services or other issues as required by statute and regulation. The information reported here applies to the entire plan cycle. Updates to this Administrative Component will be reporting mostly information that has changed since the last approved CFSP or APU. However, there are required sections that must be completed annually to meet State, federal, and/or regulatory requirements. An effort has been made to capture most of the required information onto the forms or templates that are included as Appendices.

The directions for the APU are shown in *italics* and follow the existing CFSP guidelines. The Guidance Section that accompanied directions in the past has been omitted from this APU. Please refer to 06-OCFS-LCM-05 for this information.

**Annual Plan Update Instructions:**

- *Districts are required to complete the LDSS Checklist in Appendix H. This checklist identifies those areas where changes that have occurred since the last approved CFSP or APU are reported.*
- *The requirements to report on the provision of performance or outcome based provisions are found in I. b. and II.*
- *For each area where a change has occurred since the last CFSP or APU, please update the required information.*
- *The Administrative Component will be submitted with all required Components of the APU.*

I. FINANCING PROCESS (Optional)

Please describe the financing for the district's services.

- a) CFSP: Please include general information about the types of funds used (e.g. Federal, State, local, TANF, or innovative funding approaches). Please include new uses of Temporary Assistance for Needy Families (TANF) or Flexible Funds for Family Services funds for program services. Please include any innovative approaches to funding or new sources of funds used to support the service delivery system.

**APU Instructions:** *This section is optional.*

- b) CFSP: If purchase of service agreements are used, describe the criteria and procedures used by the Department of Social Services for selecting providers for all child welfare, adult protective and non-

residential domestic violence purchase of services (e.g. RFP process, news release on availability of funds, sister agencies panel).

***APU Instructions: If the county description of how performance or outcome based provisions is not included in their current CFSP description, counties must report that here. If the county has made any changes to their purchase of service agreements, please describe those changes.***

## II. MONITORING PROCEDURES

Please describe the procedures used to monitor purchase of service agreements for child welfare, adult protective and non-residential services to victims of domestic violence. Include in this description of the procedures the frequency of monitoring, who is involved and provisions for on-site monitoring.

***APU Instructions: If the county description of how performance or outcome based provisions is not included in their current CFSP description, counties must report that here. If the county has made any changes to their purchase of service agreements, please describe those changes.***

## III. APPENDICES

### Appendix A – Legal Assurances – Department of Social Services (Required)

***APU Instructions: This appendix is to be included with the submission of the APU Administrative Component-Local Department of Social Services.***

Appendix B – Summary of Memorandum of Understanding with the District Attorney's Office for Child Protective Services. If a new memorandum of understanding has been executed since the last approved CFSP or APU, please submit a copy of the memorandum. (No suggested format for Appendix B is included in this release.) **If there are no changes to report and the current memorandum identifies suitable locations where an infant may be abandoned (as specified below), please check "no" on Appendix H III.b.**

***APU Instructions: Same as above***

This narrative summary must outline the cooperative procedures to be followed by both parties in investigating incidents of child abuse and maltreatment, consistent with their respective obligations for the investigation or prosecution of such incidents, as otherwise required by law.

Chapter 156 of the Laws of 2000 went into effect in July of 2000 and is intended to prevent infants being abandoned in an unsafe manner that could result in physical harm to the child. The following three conditions must be met under the law:

- 1) The abandoned infant is five days old or less.
- 2) The person who abandons the infant must intend that the infant be safe from physical injury and be cared for appropriately.
- 3) The infant must be left with an appropriate person or in a suitable location.

A “Suitable Location” is not defined in the law. District Attorneys are to designate suitable locations where a child may be left with a responsible member of the staff at the location. Consideration is to be given to hospitals, staffed police stations and staffed fire stations.

As this Act did not eliminate the responsibility for a mandated reporter to report the abandonment to the State Central Register of Child Abuse and Maltreatment (SCR), mandated reporters continue to be required to report such situations to the SCR and the Local Department of Social Services will continue to have the responsibility to conduct child protective services investigations as required by law in such reported cases.

As LDSS already has an agreement with their District Attorney, we recommend that this agreement be amended to include language referencing The Abandoned Infant Protection Act and outlining the procedures for jointly responding to cases that appear to fall within the parameters of that Act. We recommend that the agreement include a list prepared by the District Attorney of those places deemed appropriate by the District Attorney as suitable locations under this Act. As part of this plan, each LDSS should include verification that the District Attorney agreement has been amended to include a reference to this Act and should include the listing of name, address and phone numbers of all designated locations.

Appendix C – Estimate of Persons to be Served (Required only if the social services district **does not** seek or maintain a waiver.)

The Appendix C waiver is included on the Signature page.

**APU Instructions: Required only if there are changes to report and there is no current waiver.**

Appendix D – Non-Residential Services to Victims of Domestic Violence

**APU Instructions: Required only if there are changes to report.**

This appendix is required for all non-residential services to victims of domestic violence. A separate Appendix D is required for each separate non-residential service to victims of domestic violence program. In designating an agency as a non-residential service for victims of domestic violence service provider, the social services district must determine that this provider meets the standards defined in 18NYCRR Part 462. Please refer to these regulations for complete information on staffing standards and other requirements.

As program information is included in Appendix D, it is important to remember that each program identified as a provider of non-residential services to victims of domestic violence must meet the following requirements:

- At least 70 percent of the clientele of the program consists of victims of domestic violence and/or their children
- Must provide the core services (daily 9-5), directly (refer to 18 NYCRR Part 462 for definitions)

Please note that assurances relating to the provision of non-residential services to victims of domestic violence have been included in Legal Assurances Appendix A. These include that LDSS must provide services regardless of the person's financial eligibility, must provide services in a manner that addresses ethnic composition of community, must provide services in a manner that addresses needs of victims who are disabled, hearing impaired, non-English speaking, and must provide services in a safe and confidential location.

#### Appendix E – Chafee Foster Care Independence Program Use of Allocations

Required **only if** the county is using part of its Federal Fiscal Year 2008-2009 Independent Living allocations for room and board up to 30 percent.

**APU Instructions: Required only if there are changes to report.**

#### Appendix F – Department of Social Services – Program Information Matrix (Required)

This appendix is to be completed and included with the county plan. Instructions are included in the Appendix.

#### Appendix G – Child Care (Includes Appendices G-1 through G-12)

Complete instructions for these forms are found in the guidelines under Appendix G, INSTRUCTIONS FOR CHILD CARE APPENDICES G-1 THROUGH G-12. Districts must complete and submit only the appendices it chooses to amend.

Format:

For each Appendix your district is amending, complete only the areas to be changed. For example, if your district is increasing family share in Appendix G-3, complete only the family share section of that Appendix

#### Child Care Appendices:

Appendix G: Child Care Check List

Appendix G-1: Administration

Appendix G-2: Other Eligible Families if Funds are Available

Appendix G-3: Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Case Reviews

Appendix G-4: District Options

Appendix G-5: Priority Populations- Additional Local Priorities

Appendix G-6: Funding Set Asides

Appendix G-7: Title XX Child Care

Appendix G-8: Additional Local Standards for Child Care Providers

Appendix G-9: Payment to Child Care Providers for Absences

Appendix G-10: Payment to Child Care Providers for Program Closures

Appendix G-11: Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Providers and Sleep

Appendix G-12: Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, Break in Activities

## APPENDIX A

### LEGAL ASSURANCES DEPARTMENT OF SOCIAL SERVICES

Appendix A is a required submission for the CFSP and the APU. It contains the requirements each social services district must fulfill in order to meet the existing mandates found in the state or federal statutes. Since the activities indicated are **statutorily mandated**. No option is given to indicate that any of these activities are not current practice.

The inclusion of these assurances in the Child and Family Services Plan constitutes the district's commitment to maintain compliance with these assurances.

#### A. General

1. All providers of service under this plan operate in full conformance with applicable Federal, State and local fire, health, safety and sanitation and other standards prescribed in law or regulations. Where the local district is required to provide licensure for the provision of services, agencies providing such services shall be licensed.
2. All recipients of funds are required to operate each program or activity so that, when viewed in its entirety, the program or activity is readily accessible to and usable by handicapped persons to the extent required by law.
3. Benefits and services available under the State Plan are provided in a non-discriminatory manner as required by Title VI of the Civil Rights Act of 1964 as amended.
4. The activities covered by this plan serve only those individuals and groups eligible under the provisions of the applicable State and Federal statutes.
5. There is in operation a system of fair hearings and grievances under which applicants for or recipients of services and care may appeal denial, exclusion, reduction, termination, or choice of services/care; mandatory nature of service/care; or failure to take timely action upon an application for services/care.
6. Adequate and timely notice is provided to applicants for and recipients of services and care as required by 18 NYCRR 407.5 (h) (2) (i).
7. Title XX funded services are available to eligible individuals in every geographic area within the district. Where different services are made available to a specific category of individuals in different geographic areas, services are available to all eligible individuals in that category who reside in that area.

B. Child Protective Services

1. The district maintains an organizational structure, staffing, policies and practices that maintain its continued compliance with 18 NYCRR 432.
2. The district has specifically reviewed 18 NYCRR 432.2 (f)(3) to determine its compliance with all assurances outlined in those regulations.

C. Preventive Services for Children

1. Every child and family needing any of the core services of Preventive Services shall have these services provided to them in a timely manner. Those core services are Day Care, Homemaker, Transportation, 24 hour access to Emergency Services, Parent Aide or Parent Training, Clinical Services, Crisis Respite Care, Services for Families with AIDS/HIV+, and Housing Services.
2. The district maintains efforts to coordinate services with purchase of service agencies and other public and private agencies within the district that provide services to children including the use of referral procedures with these agencies and formal and informal agreements.
3. The district has prepared a plan and procedures for providing or arranging for 24 hour access to emergency services for children who are at risk of foster care as specified in 18 NYCRR 423.4 and that staff are aware of such plans and procedures.

D. Adult Protective Services

1. The district has a process in place to enable the commissioner to act as a guardian and representative or protective payee on behalf of a client in need of protective services for adults (PSA) when no one else is willing or capable of acting in this capacity.
2. The district in providing protective services for adults will implement each responsibility contained in 18 NYCRR Part 457.

E. Domestic Violence Services

1. Each domestic violence victim seeking non-residential services will be provided with all needed core services directly from the provider and as otherwise specified in 18 NYCRR Part 462 in a timely manner.
2. Non-residential services will be provided regardless of a person's financial eligibility, will be provided in a manner that addresses the ethnic composition of the community being served and the needs of victims with special needs, and will be provided in a safe and confidential location.

## F. Child Care

The social services district assures that when providing child care services under the New York State Child Care Block Grant (NYSCCBG) it will:

1. provide parents with information about the full range of providers eligible for payment with child care subsidy funds;
2. offer child care certificates to assist parents in accessing care;
3. inform clients of criteria to consider when selecting a child care provider;
4. allow parents to select any legal eligible child care provider (Districts may disapprove providers chosen by families with a preventive or protective case under certain circumstances.);
5. establish at least one method of paying for child care provided by caregivers who do not have a contract with the district;
6. determine that legally-exempt child care providers are operating in compliance with any additional State-approved local standards;
7. give priority for subsidies to children of families with very low income and to children who have special needs;
8. guarantee child care services to a family who has applied for or is in receipt of public assistance when such services are needed for a child under 13 years of age in order to enable the child's custodial parent or caretaker relative to participate in activities required by a social services official including orientation, assessment, or work activities as defined in 18 NYCRR Part 385;
9. guarantee child care services to a family who is in receipt of public assistance (PA) when such services are 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 social services district.
10. guarantee child care services to applicants for or recipients of public assistance who are employed and would otherwise be financially eligible for public assistance benefits that choose to receive child care subsidies for a child under 13 years of age in lieu of public assistance benefits for such period of time as the applicants/recipients continue to be financially eligible for public assistance;
11. guarantee child care services to families transitioning from public assistance whose PA cases have been closed or who voluntarily close their PA case, and who are no longer financially eligible for PA due to an increase in earned income or child support. The family must include an eligible child under the age of 13 who needs child care in order for the parent to be engaged in work, and the family's gross income must be at or below 200% of the State Income Standard. For transitional child care, the eligibility period begins with the first month in which a family becomes ineligible for PA or "child care in lieu of PA" and is limited to 12 months in duration.



12. inform recipients of public assistance and former public assistance recipients of the child care guarantees for eligible families.
13. inform families in receipt of public assistance of their responsibility to locate child care;
14. inform families in receipt of public assistance of the criteria the district will use to determine that a family has demonstrated an inability to obtain needed child care because of the following reasons:
  - unavailability of appropriate child care within a reasonable distance from the individual's home or work site;
  - unavailability or unsuitability of informal child care by a relative or under other arrangements; or
  - unavailability of appropriate and affordable regulated child care arrangements;
15. offer two choices of legal child care, at least one of which must be a licensed or registered provider, to recipients of public assistance who have requested assistance in locating child care for a required work activity and who have demonstrated an inability to obtain care;
16. inform recipients of public assistance that their public assistance benefits cannot be reduced or terminated when they demonstrate that they are unable to work due to the lack of available child care for a child under the age of thirteen;
17. advise recipients of public assistance that the time during which they are excepted from the reduction or termination of benefits due to the lack of available child care will still count toward the families' time limit on public assistance;
18. provide payment for the actual cost of care (rate charged by the provider to non-subsidized families unless a lower payment rate has been established in a negotiated contract) up to the applicable market rate; and
19. allocate NYSCCBG subsidy funds in a manner that provides eligible families equitable access to child care assistance funds.
20. provide child care to families who are eligible as long as funds are available, and to other families which are eligible if funds are available and if the social services district has listed such families as eligible in the Child and Family Services Plan.

G. Staffing

1. The Organizational Chart requirements will be met by the social services district's assurance that the organizational chart submitted to the Office of Financial Operations and Audit for the Random Moment Survey process is current.

**APPENDIX C  
2008 ESTIMATES OF PERSONS TO BE SERVED**

**CHILD AND FAMILY SERVICES PLAN  
CONSOLIDATED SERVICES PLAN**

County Name: \_\_\_\_\_ County Code: \_\_\_\_\_

TYPE OF CARE/SERVICE		TOTAL*	CHILDREN	ADULTS
1	Adoption			
2	Child Care			
3	Domestic Violence			
4	Family Planning			
5	Preventive Child Mandated			
6	Preventive Child Non-Man.			
7	Child Protective Services			
8	Child Protect Svs Investig			
9	Unmarried Parents			
10	Preventive - Adults		-----	
11	Prot Svs Adults - Svs		-----	
12	Prot Svs Adults - Investig		-----	
13	Social Group Svs Sr Citiz		-----	
14	Education			
15	Employment			
16	Health Related			
17	Home Management			
18	Homemaker			
19	Housekeeper/Chore			
20	Housing Improvement			
21	Information and Referral			
22	Transportation			

\* Total Equals Children Plus Adults

**APPENDIX C  
2008 ESTIMATES OF PERSONS TO BE SERVED**

**CHILD AND FAMILY SERVICES PLAN  
CONSOLIDATED SERVICES PLAN**

<b>TYPE OF CARE/SERVICE</b>		<b>TOTAL*</b>	<b>NON JD/PINS CHILD</b>		<b>OCFS JD/PINS CHILD</b>	<b>DSS JD/PINS CHILD</b>
	CHILD FOSTER CARE					
23	Institutions					
24	Group Homes/Residences					
25	Agency Oper Board Homes					
26	Family Foster Care					
27	Comm on the Handicapped				-----	-----
	Unduplicated Count of All Children in Care		-----	--	-----	-----

<b>TYPE OF CARE/SERVICE</b>		<b>TOTAL*</b>	<b>CHILDREN</b>	<b>ADULTS</b>
	ADULT			
28	Residential Placement Serv.		-----	

\* Total Equals Children Plus Adults

**APPENDIX D (Administrative-DSS)**

**NON-RESIDENTIAL DOMESTIC VIOLENCE SERVICES**  
(To be completed for EACH program.)

Did you have a program close during the previous year?

- YES (If this is the only change complete Section A only.)  
 NO (Skip to Section B.)

**SECTION A:**

Name of program:

Date closed:

Reason for closing:

**SECTION B:** (To be completed for each program)

**County:**

**Contact Person:**

*To promote accuracy, Local Districts are strongly encouraged to have the non-residential domestic violence program complete any new information.*

In accordance with the Domestic Violence Prevention Act and subsequent budget provisions, local social service districts are required to provide, either directly or through a purchase of service agreement, non-residential services to victims of domestic violence. Whether provided directly or through a purchase of service, each program must be approved through the Child and Family Services Plan or Consolidated Service Planning process. Non-residential domestic violence programs must comply with 18 NYCRR Part 462.

Provide the following information for **each** agency providing non-residential domestic violence services (make copies of form as needed): *It is strongly recommended that the Non-Residential Domestic Violence Program complete this information.*

**Agency Name:**

**Business Address:**

**Telephone Number:**

**Contact Person:**

*(Preferably Program Director)*

**Email Address:**

**PROGRAM REQUIREMENTS**

1. 70 percent of the clientele served must consist of victims of domestic violence and their children (the intent of which is a separate and distinct program offering specialized services for victims of domestic violence).

**Describe how the program is separate and distinct and how it fits into overall agency.**

2. Services must be provided regardless of financial eligibility; services must be provided in a manner that addresses special needs including physically handicapped, hearing impaired, and non-English speaking; and must address the ethnic compositions of the community served.

**Describe the eligibility criteria for clients of the non-residential domestic violence program, and how special need populations are accommodated:**

3. There must be evidence that the program is needed based on the number of persons to be served and evidence that the indicators used are realistic.

**Provide an estimate of the number of victims of domestic violence needing non-residential services and description of the indicator/data used to determine that estimate:**

4. All the core services listed in 18 NYCRR 462.4 must be provided directly by the program, as defined in the regulations, and must be provided in a timely manner.

For each of the core services listed below, provide:

- a) A detailed description of each service including how and where the service is provided.
- b) The days and hours the service is available.

**Responses should be as explicit as possible and must not be a replication of the regulatory language, but instead should include details specific to this program.**

*Telephone Hotline Assistance*

(Include hotline operation hours and a detail of methods currently being used for an operational hotline service, e.g. coverage, staff responsibility, any technology used.)

*Information and referral*

*Advocacy*

*(Be sure to address each type of advocacy provided and whether accompaniment and/or other types of advocacy are offered)*

*Counseling*

*Community Ed/Outreach*

*(Include methods used, target audience, and messages. If there is more than one domestic violence provider in the community, describe how the outreach activities are coordinated.)*

*Optional services (if applicable)*

5. Where are the non-residential domestic violence services provided (the specific address is not necessary, but rather a description of the location; for example, at the business office, at the school, etc.)?
  
6. Explain how the location(s) where the non-residential domestic violence services are provided ensure the safety of the persons receiving services and the confidentiality of their identities.
  
7. Each program must employ a qualified director and a sufficient number of staff responsible for providing core and optional services.

List each of the staff/volunteer positions responsible for providing non-residential services including title, responsibilities and qualifications. Job descriptions that include qualifications may be attached to this Appendix.

**Title:**

**Responsibilities:**

**Qualifications:**

**Title:**

**Responsibilities:**

**Qualifications:**

**Title:**

**Responsibilities:**

**Qualifications:**

## APPENDIX E

### CHAFEE FOSTER CARE INDEPENDENCE PROGRAM USE OF ALLOCATIONS

**This form only needs to be completed if the county is using part of its Federal Fiscal Year 2008-2009 Independent Living allocations (up to 30 percent) for room and board services.**

The Chafee Foster Care Independence Program (CFCIP) permits the use of Federal funds for room and board services (up to 30 percent) for Independent Living (IL) eligible youth aged 18 to 21 who are being discharged from foster care or who have been former foster care youth. Room and board expenditures were previously excluded from expenditures that could be reimbursed from Federal Independent Living funds.

Guidelines for room and board services were provided in 02 LCM 05 dated February 28, 2002. In that LCM eligible expenditures were identified. (For current rates see 09 LCM 06 dated May 5, 2009)

Room and board payments for former foster care youth ages 18 through 20 years that are made from non-Federal funds may be used for the 20 percent required State/local match, as long as the former foster child is not eligible for payments for such costs from Family Assistance (FA) or Safety Net (SN) support under the Temporary Assistance to Needy Families (TANF) program.

The use of CFCIP funds to support a Supervised Independent Living Program (SILP) is prohibited, as youth placed in SILPs have not been discharged from foster care. Social services districts are also reminded that room and board payments for youth under age of 18 may not be claimed as an IL expenditure.

Social services districts that opt to use up to 30 percent of the district's Federal allocation for Independent Living services on room and board services **must** establish written policies and procedures. **Effected counties are asked to complete** information under below items, or attach county written procedures to this Appendix.

- The categories of youth that will be provided room and board services; including if room and board will be provided to the optional category of eligible youth who left care before attaining the age of 18.



## Appendix E continued

- The maximum levels of funding for the provision of room and board assistance to former foster care youth who aged out of foster care at 18, 19 or 20, but who have not attained the age of 21.
  
  
  
  
  
  
  
  
  
  
- The expenses that will be covered under the room and board program.
  
  
  
  
  
  
  
  
  
  
- The maximum dollar amount that will be paid to any youth for room and board assistance; the length of time room and board assistance will be provided to eligible youth.
  
  
  
  
  
  
  
  
  
  
- Any stipulations related to employment or school for the provision of room and board.

## **APPENDIX F PROGRAM INFORMATION MATRIX**

### **INSTRUCTIONS FOR COMPLETING APPENDIX F**

Districts are required to submit Appendix F for both the CFSP and the APU. It must reflect the program information regarding eligibility limits, goals, method of provision and category of clients served. The chart provides a complete itemization of the restrictions on and the availability of any Title XX service and it is used to update each district's Welfare Management System (WMS)/SSRR matrix for WMS authorization.

The blank spaces in the chart under Goals, Methods and Eligibility Categories must be completed with either a "Y" = Yes or "N" = No. Where the chart contains a preprinted "Y" or "N", that particular item is determined by State mandate. Where the "Y" is preprinted districts must maintain the ability to provide that service. Any coding changes should be noted in red so that the changes are readily apparent.

Since Appendix F is used to update your WMS matrix for authorization of services, make sure that **ALL INFORMATION IS NOTED**.

1. County Code – Complete with your 2 digit number (e.g. Albany = 01).
2. Goals – The five goals are those goals stated in Title XX of the Federal Social Security Act. An abbreviated version of each goal is included on page 5 of Appendix F. The five goals in their entirety are as follows:

Goal 1: Achieving or maintaining economic self-support to prevent, reduce or eliminate dependency.

Goal 2: Achieving or maintaining self-sufficiency including reduction or prevention of dependency.

Goal 3: Preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interests, or preserving, rehabilitating or reuniting families.

Goal 4: Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care.

Goal 5: Securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.

In order for a service to be authorized, it must relate to at least one goal. Therefore, if you intend to offer a particular service, there must be at least one "Y" in the Goal section. There is preprinted "N"s for some goals under some of the services. This means that, under no circumstances could that particular goal and service be related.

3. Method of Provision addresses the way in which a district will deliver a service. The three possible methods are:

D Direct – Service provided by employees of the district.

U Public Purchase – Service provided through a contract with a public agency (other governmental entity, public authority or public school).

R Private Purchase – Service provided through a contract with a private agency (either not-for-profit or proprietary).

**This section has preprinted “Y”s in the private purchase section of Adoption and Foster Care Children. This enables the district to authorize adoption subsidies and services and maintenance payments. Similarly, preprinted “N”s signifies that a particular method of provision is not allowable for a particular service.**

Note: When your district provides a component of a primary service (Protective Adults, Protective Children, and Child Preventive Services), a “Y” entry is required under the appropriate method of provision of the primary service.

For example, if your district is going to provide purchased child care, transportation, etc., as a component of mandated Child Preventive Services, a “Y” entry is required under the appropriate purchase categories on the line for Mandated Preventive Services.

The Eligibility Categories – Appendix F reflects different categories of service eligibility as follows:

02	FCAA	Foster Care and Adoption Assistance (Title IV-E)
04	EAF	Emergency Assistance to Families
05	AGED	Supplementary Security Income
06	BLIND	Supplemental Security Income
07	DISABLED	Supplemental Security Income
08	MA	Medical Assistance
09	URM	Unaccompanied Refugee Minor
13	SN	Safety Net
14	IE	Income Eligible*
	WR	Without Regard to Income or other eligibility determinations

\* In those instances where service eligibility includes Income Eligible, the county may establish its own standard. The standard is expressed as a percentage of the poverty level adjusted for the size of the family seeking services. For all services where income eligibility is allowable, a State standard is provided in the Social Services Block Grant report which can be found in the public folders under Federal Plan Documents. When the district does not set its own income eligibility standard for a service and there is a “Y” for eligibility 14, the State standard will be used.

**APPENDIX F**  
**2009 PROGRAM INFORMATION**

County Name: *Enter County Name*

County Code: *County Code*

	01 Adoption	04 Education	05 Employment	06 Family Plng	Medicl Option	07 Resid Plcmnt Adult	08 Foster Care Child	09 Health Relate d	10 Home Mgmt.
	N	Y/N	Y/N	Y/N	Y/N	N	N	Y/N	Y/N
	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y/N	Y/N
	Y/N	Y/N	N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
	Y/N	N	N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
	N	N	N	Y/N	Y/N	Y/N	Y/N	Y/N	N
2									
3									
4									
5									
Method: D	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y/N	Y/N	Y/N
U	N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
R	Y	N	Y/N	Y/N	Y/N	Y/N	Y	Y/N	Y/N
Eligibility Categories									
02 FCAA	Y	Y/N	Y/N	Y/N		N	Y	Y/N	Y/N
03 TANF	Y	Y/N	Y	Y		Y	Y/N	Y/N	Y/N
04 EAF	Y/N	Y/N	Y/N	Y/N		Y/N	Y	Y/N	Y/N
05 AGED	Y/N	Y/N	Y/N	Y		Y	Y/N	Y	Y
06 BLIND	Y	Y/N	Y/N	Y		Y	Y	Y	Y
07 DISABLED	Y	Y/N	Y/N	Y		Y	Y	Y	Y
08 MA	Y	Y/N	Y/N	Y/N		Y	Y	Y/N	Y/N
09 URM *	Y/N	Y/N	Y/N	Y		Y/N	Y	Y/N	Y/N
10 UEM **	Y/N	Y/N	Y/N	Y		Y/N	Y	Y/N	Y/N
13 SN	Y	Y/N	Y/N	Y		Y	Y	Y/N	Y/N
14 IE	Y	Y/N	Y/N	Y/N		Y	Y	Y/N	Y/N
WR	Y	N	N	Under 21 option		Y/N	Y	N	Y***
Income Eligibility Standards									
State Standards	WR	200%	200%	200%		150%	WR	200%	WR*** *

Local Standards	WR					WR		
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\* Unaccompanied Refugee Minor                      \*\* Unaccompanied Entrant Minor  
 Local Standards not specified assumed to be established at State Standards.

\*\*\* When these services as provided as part of a child protective or preventive services case in accordance with the regulations of the Office of Children and Family Services.

\*\*\*\* The 200% state standard only relates to TANF to Title XX transfer funding.

**APPENDIX F**  
**2009 PROGRAM INFORMATION**

County Name: *Enter County Name*

County Code: *County Code*

	11 Homemaker Component			12 Housekeep r/ Chore	13 Housing Improvement Component		14 Info & Referral
<b>Goals:</b>	A	B	C <sup>1</sup>	Y/N	A <sup>1</sup>	B	Y/N
<u>1</u>	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N
2	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
3	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
4	N	N	N	N	N	N	Y/N
5							
Method: D	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
U	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
R	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Eligibility Categories							
02 FCAA	Y/N			Y/N	Y/N		N
03 TANF	Y/N			Y/N	Y/N		Y/N
04 EAF	Y/N			Y/N	Y/N		Y/N
05 AGED	Y			Y	Y		N
06 BLIND	Y			Y	Y		N
07 DISABLED	Y			Y	Y		N
08 MA	Y/N			Y/N	Y/N		Y/N
09 URM *	Y/N			Y/N	Y/N		N
10 UEM **	Y/N			Y/N	Y/N		N
13 SN	Y/N			Y/N	Y/N		N
14 IE	Y/N			Y/N	Y/N		Y/N
WR	Y***			Y***	Component B		Y
Income Eligibility Standards							
State Standards	WR****			WR****	200%		WR
Local Standards							WR

<sup>1</sup> This component is mandated for SSI individuals.

\* Unaccompanied Refugee Minor

\*\* Unaccompanied Entrant Minor

Local Standards not specified assumed to be established at State Standards.

\*\*\* When these services as provided as part of a child protective, preventive or adult protective services case in accordance with the regulations of the Office of Children and Family Services.

\*\*\*\* The 200% state standard only relates to TANF to Title XX transfer funding.

**APPENDIX F**  
**20 PROGRAM INFORMATION**

County Name: *Enter County Name* County Code: *County Code*

	15 Preventive Adults Component					16 A&B Prot Adults	17 Prot Child	19 WIN Couns	20 Transp	21 Unmarr Parent
<b>Goals:</b>	Y/N	A	B	C	D	N	N	Y/N	Y/N	Y/N
<u>1</u>	Y/N	Y/N	Y/N	Y/N	Y/N	N	N	N	Y/N	Y/N
2	Y/N	Y/N	Y/N	Y/N	Y/N	Y	Y	N	Y/N	Y/N
3	Y/N	Y/N	Y/N	Y/N	Y/N	N	N	N	Y/N	Y/N
4	Y/N	Y/N	N	N	N	N	N	N	Y/N	Y/N
5										
Method: D	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
U	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N
R	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Eligibility Categories										
02 FCAA	Y/N	N	N	N	N	N	Y/N	N	Y/N	Y/N
03 TANF	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
04 EAF	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y	N	Y/N	Y/N
05 AGED	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y/N
06 BLIND	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
07 DISABLED	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
08 MA	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
09 URM *	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y/N
10 UEM **	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y/N
13 SN	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
14 IE	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	N	Y/N	Y
WR	Y/N	Y	Y/N	Y/N	Y/N	Y	Y	N	N	N
Income Eligibility Standards										
State Standards		200 %				WR	WR		200%	150%
Local Standards						WR	WR			

\* Unaccompanied Refugee Minor      \*\* Unaccompanied Entrant Minor  
Local Standards not specified assumed to be established at State Standards.



**APPENDIX F**  
**20 PROGRAM INFORMATION**

County Name:	County Code:
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	22 Personal Care Services	23 Victim Domestic Violence	24 CHAP	25 Preventive Child Mandated	26 Preventive Child Optional	38 Child Care All
<b>Goals:</b> <u>1</u> 2 3 4 5	Y/N	Y/N	Y/N	N	N	Y/N
	Y/N	Y/N	Y/N	N	N	Y/N
	Y/N	Y/N	Y/N	Y	Y/N	Y/N
	Y/N	Y/N	Y/N	N	N	Y/N
	N	N	N	Y	N	N
Method: D U R	Y/N Y/N Y/N	Y/N Y/N Y/N	Y/N Y/N Y/N	Y/N Y/N Y/N	Y/N Y/N Y/N	Y/N Y/N Y/N
Eligibility Categories						
02 FCAA	N	N	Y	Y/N	Y/N	Y/N
03 TANF	Y/N	Y	Y	Y/N	Y/N	Y
04 EAF	Y/N	Y	Y	Y	Y	Y/N
05 AGED	Y/N	Y/N	Y	Y/N	Y/N	Y/N
06 BLIND	Y/N	Y/N	Y	Y/N	Y/N	Y/N
07 DISABLED	Y/N	Y/N	Y	Y/N	Y/N	Y/N
08 MA	Y/N	Y/N	Y	Y/N	Y/N	Y/N
09 URM *	Y/N	Y/N	Y	Y/N	Y/N	Y/N
10 UEM **	Y/N	Y/N	Y	Y/N	Y/N	Y/N
13 SN	N	Y	Y	Y/N	Y/N	Y/N
14 IE	N	Y/N	N	Y/N	Y/N	Y/N
WR	N	Y	N	Y	Y/N	Y/N
Income Eligibility Standards						
State Standards		WR		WR	WR	***
Local Standards		WR		WR	WR	

\* Unaccompanied Refugee Minor

\*\* Unaccompanied Entrant Minor

\*\*\* For Title XX Day Care, up to: 275% family of 2; 255% family of 3; 225% family of 4 or more

Local Standards not specified assumed to be established at State Standards.

**APPENDIX F20 PROGRAM INFORMATION**

Page 5

County Name:	County Code:
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Key to Goals	Maximum State Standards Title XX Day Care
1. Self-support	
2. Self-sufficiency	275% Family of 2
3. Protection	255% Family of 3
4. Community-based Care	225% Family of 4 or more
5. Institutional Care	

**PROGRAM LIMITATIONS**

**CHILD CARE**

TITLE XX	STATE CHILD CARE BLOCK GRANT	CHILD CARE
_____ % Family of 2	200%	Fee _____ %
_____ % Family of 3		
_____ % Family of 4 or more		

**OTHER PROGRAM LIMITATIONS**

Less than 200% of poverty is the limit for all services funded with TANF funds transferred to Title XX.

**APPENDIX G  
INSTRUCTIONS FOR CHILD CARE  
APPENDICES G-1 THROUGH G-12**

The Child Care section of the county plan has been designed to reflect the increased flexibility allowed in the delivery of child care services under a block grant model. This component of the county plan is structured to reflect both federal and State requirements while allowing districts the opportunity to address locally defined needs and priorities.

Planning activities continue to support a partnership between the State and the county for meeting shared goals and outcomes. Child Care services covered in the county plan include the New York State Child Care Block Grant (NYSCCBG) and Title XX. The LDSS has the option of including additional information as may be determined locally to clarify or strengthen the plan. LDSS is responsible for developing the Child Care Section of the county plan that will allow them to meet the needs of the community and to maximize the use of available funds.

The Child Care section of the county plan has been created as a form, which will require districts to complete the child care section as an electronic document.

**Format:**

For each Appendix your district is amending, complete only the areas to be changed. For example, your district is increasing family share in Appendix G-3, complete only the family share section of that Appendix

**APU Instructions: Districts must submit only the appendices it chooses to amend.**

Child Care Appendices:

Appendix G: Child Care Check List

Appendix G-1: Administration

Appendix G-2: Other Eligible Families if Funds are Available

Appendix G-3: Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Case Reviews

Appendix G-4: District Options

Appendix G-5: Priority Populations- Additional Local Priorities

Appendix G-6: Funding Set Asides

Appendix G-7: Title XX Child Care

Appendix G-8: Additional Local Standards for Child Care Providers

Appendix G-9: Payment to Child Care Providers for Absences

Appendix G-10: Payment to Child Care Providers for Program Closures

Appendix G-11: Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Providers and Sleep

Appendix G-12: Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, Break in Activities

**APPENDIX G  
INSTRUCTIONS FOR CHILD CARE  
APPENDICES G-1 THROUGH G-12**

**Child Care Check List – Appendix G**

In this Appendix districts check YES for only the Appendices it will be amending.

*APU Instructions: If the district is not amending any child care appendices then the Appendix G-Child Care Check List does not need to be completed or submitted with the APU.*

**Administration – Appendix G-1**

A district only needs to submit appendix G-1 if they have changed contractors or entered into a formal agreement or contract with an organization to perform eligibility screening since its 2008 APU.

**Other Eligible Families if Funds are Available – Appendix G-2**

In this Appendix, a district must indicate which other families are eligible under NYSCCBG, if any, that will be included as part of its county plan. If the district has elected to serve one or more of these families, they must be served as long as funds are available. Refer to Child Care Technical Assistance # 1 for a list of eligible families that are guaranteed child care, families that must be served if funds are available, and other eligible families that the district may serve if they have funds available and they have indicated in its county plan that they will serve these families.

A district should select “Yes” in the option column next to the category of eligible families it will serve. A district should select “No” in the option column next to the category of eligible families it will NOT serve. Each category and sub-category should be addressed with a “Yes” or “No”. A district can select a “Yes” and “No” for subcategories under one optional category. For example, a district may elect to pay for child care services when the parent or caretaker is physically or mentally incapacitated but not when the parent or caretaker has family duties away from the home. A district will describe any limitations that will be imposed on these other eligible families it has proposed to serve as part of its county plan under the limitation column.

**Reasonable Distance, Very Low Income, Family Share, Case Closings and Openings, and Fraud Abuse and Control Activities - Appendix G-3**

**Reasonable Distance**

Recipients of public assistance benefits who have children under age 13 years of age, need child care in order to participate in required work activities, and are unable to find an appropriate and available child care provider located within a reasonable distance from the recipient’s home or work activity site, cannot be penalized for failure to comply with work requirements.

A district is required by regulation to define reasonable distance in its county plan. Distance may be defined in terms of time and/or distance in miles for a public assistance recipient to travel from home to a work activity site with a stop at a child care provider. The definition must be defined as a **one-way trip, not a round trip**. Describe any steps taken or consultations made that helped you arrive at your definition of reasonable distance.

### **Very Low Income**

Federal regulations require that two specific populations be prioritized: families with very low income and families with children who have special needs. In this section, a district will define the term "very low income". "Very low income" may be defined at 200% of the State Income Standard (SIS) or at a lower percentage. The definition of very low income does not affect eligibility but rather it affects prioritization of all categories of eligible families for the NYSCCBG with the exception of families who are eligible for a child care guarantee. If a district designates an amount less than 200% as a definition of very low income, this lower percentage must be taken into account when prioritizing families for opening and closing cases.

### **Family Share**

A district must indicate the family share percentage from 10% to 35% it will use. The State's sliding fee scale for the family share of child care is calculated by applying a family share percentage against the excess of the family's gross annual income over the State Income Standard divided by 52.

### **Instructions for Case Closings and Openings**

Districts must describe their process for selecting cases for closing and opening when insufficient or no funds are available. In describing this process, districts must address the following:

- a. federal priorities of families with very low income and children with special needs;
- b. locally identified priorities (as identified in Appendix G-5), if any; and
- c. funding set-asides, if any.

Note that the federal priorities must receive the highest priority. This means that they must be the first and second categories for case openings and the last and second last for case closings.

Eligible families are defined in the Child Care Technical Assistance #1. Determinations regarding case closings and limitations on case openings may only be made from the following two categories of eligible families: families that are eligible as long as funds are available and families that are eligible as long as funds are available and when the district has listed such family as eligible in its county plan.

### **Case Closings**

In describing its process for closing cases, a district must describe how priority is given to federally mandated priorities, which are very low income and children with special needs. A district may want to consider whether category two and category three families (see Child Care Technical Assistance #1) will be differentiated from one another in the selection process for case closings and whether particular families within each of these categories will be given priority over other families. For example, a district may choose to close cases from category three before closing any cases from category two. Additionally, if a district has selected to serve all potentially eligible families in category three, they

may also elect to describe within this category which cases would be closed first. No case closings may be made based on insufficient funds for any family that falls under the child care guarantee.

Once a district has committed all of the funds available to it, either through set asides approved in the district's county plan and/or because all of the available funds are projected to be needed for open child care cases, the district may discontinue funding to those families which are not eligible for a child care guarantee that have lower priorities in order to serve families with higher priorities. If no priorities are established beyond the federally-mandated priorities and all funds are committed, case closings for families which are not eligible under a child care guarantee and are not a federally-mandated priority must be based on the length of time in receipt of services. The length of time used to close cases may be based either on the shortest or longest time receiving child care services but must be consistent for all families. The district must specify in its county plan whether case closings will be based on the shortest or longest length of time receiving child care services.

A district may elect to place families whose cases have been closed due to insufficient funds on a waiting list. If additional funds become available (either through an increased allocation or through attrition) the process to open these cases should be included in the district's definition of opening cases when limited funds are available.

#### **Opening Cases When Limited Funds are Available**

A district must describe how priority is given to federally mandated priorities, which are very low-income and children with special needs. See previous note under "Instructions for Case Closings and Case Openings". A district must also describe how cases will be selected from all potential applicants if a limited amount of funds are available for case openings. Districts should consider how they would address cases that were closed due to insufficient funds.

Applicants must be given the opportunity to apply even if there are insufficient funds to open their case. A district may elect to place such families on a waiting list. If additional funds become available, (either through an increased allocation or through attrition) the process described in this section must be used to open new cases.

#### **Fraud and Abuse Control Activities**

In this section, the district must describe their fraud and abuse control activities for their child care subsidy program. A district must identify the criteria it will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment and procedures for referring such applications to the district's front end detection system.

The district must describe its sampling methodology used to determine which cases they will seek verification of an applicant or recipient's continued need for child care including, as applicable, verification of participation in employment, education or other required activities. The district cannot use age of provider, gender of provider, Post Office box, or child residing in the same residence as provider as an indicator for drawing the sample.

The district must also describe its sampling methodology used to determine which child care providers of subsidized, child care services enrolled in the Child and Adult Care Food Program it will review for the purpose of comparing the child care providers attendance forms and any Child and Adult Care Food

Program inspection forms to verify that child care was actually provided on the days listed on the child care providers' attendance forms.

#### **District Options – Appendix G-4**

In this Appendix, a district will select which options, if any, it wishes to establish to administer the child care subsidy program. Appendices G-5 through G-12 do not need to be completed unless the district selected the option associated with that Appendix.

#### **Priority Populations-Additional Local Priorities- Appendix G-5**

In this Appendix, a district that will establish local priorities must describe how priority is given to local priorities in addition to Federal priorities. Local priorities may refine but cannot replace federal priorities. Priorities may be based on one or more of a combination of factors including, but not limited to: household composition, reason for care, income level and special circumstances. Priorities cannot be based on the number of children in the family needing child care, the age of the child, or the type of care. Priorities cannot have the effect of limiting the caretaker's choice of a child care provider or the guarantee of child care.

Intake and case closings due to funding limitations will be governed by priorities set in this appendix and any set-asides described in Appendix G-6.

If you select more than one priority, you may wish to rank your priorities. Ranking is optional. However, if you do not rank your priorities you must treat priorities equally for case openings and closings.

**Note that the federal priorities of families with very low income and families with children who have special needs must be ranked as priorities one and two.**

## **Funding Set-Asides- Appendix G-6**

In this Appendix, a district may set aside portions of its allocations to serve one or more of its priority populations. A district can choose **NOT** to set aside any funds, set aside a portion of funds, or to set aside all of their NYSCCBG, including families eligible for a child care guarantee. A district may also set aside funds for Title XX child care.

Set-aside amounts should be based on a 12-month period. Amounts may be adjusted from one category to another without a plan amendment as long as the total adjustments in a calendar year do not exceed 10% of any category. All such adjustments require a page replacement and notification to the Office of Children and Family Services within 30 days of the adjustment. Adjustments exceeding 10% of any category require a plan amendment.

Districts must indicate the categories of families and amount of money set aside. Districts must also justify why one category of families was selected over another category.

## **Title XX For Low Income Child Care- Appendix G-7**

In this Appendix, a district that is utilizing Title XX funds to provide child care to low income families must describe anticipated expenditures, financial eligibility limits and financial and programmatic eligibility. A district must also describe local priorities, if any, for Title XX child care.

A district that is utilizing Title XX funds only for child protective and/or preventive cases must not include financial eligibility limits as child care services in these instances are provided without regard to income.

## **Additional Local Standards for Child Care Providers- Appendix G-8**

In this Appendix, a district that will require additional local standards for any type of provider including licensed, registered, legally-exempt family and in-home or legally-exempt group child care providers, must describe the additional local standard(s) and justification for the additional local standard(s). A district must also describe the type of provider(s) the additional standard will apply to and the frequency in which the additional standard will be conducted. Additionally, a district must describe how these additional local standards will be met and monitored. Appendix G-8 must be completed for each additional standard selected by the district. For example, if a district wishes to conduct a local criminal background check on legally exempt family child providers and wants to require legally-exempt family providers that provide more than 30 hours of care per week participate in the Child and Adult Care Food Program the district must complete two Appendix G-8 appendices. Additional local standards cannot supersede State regulations or State requirements.

A district may make participation in the Child and Adult Care Food Program a condition of enrollment of legally-exempt providers who will be providing an average in excess of 30 hours of care per week to one or more subsidized children.



A district that has proposed additional local standards of legally-exempt providers must include procedures for notifying the applicable Legally-exempt Caregiver Enrollment Agency if the district determines that the legally-exempt provider is not in compliance with the additional local standard. Any additional standards established by a district may not extend the timeframes for the Legally-exempt Caregiver Enrollment Agency to review the enrollment package.

A district may not incur costs associated with meeting additional local standards that under the legally-exempt enrollment regulations will be funded by OCFS through direct contract with the local Legally-exempt Caregiver Enrollment Agency. OCFS cannot honor claims from a district for services that duplicate activities that are already funded through a different mechanism.

**Payment to Child Care Providers for Absences- Appendix G-9**

In this Appendix, a district may opt to pay for absences only to licensed, registered or legally-exempt group child care providers with whom the district has a contract or letter of intent, or to all providers of subsidized child care services except to legally-exempt family child care providers and legally-exempt in-home child care providers. A district must describe which types of child care providers are eligible to receive payment for absences, the reasons for absences, whether or not it will require a contract or letter of intent and any limitations placed on providers who will be eligible for payment for absences. While regulations state the maximum number of absences allowed, a district may choose a lower limit on the number of absences it will pay for during its base period. A district must choose a base period of three months or six months for determining the number of allowable absences.

The following chart summarizes the maximum allowable limit for which reimbursement for payment for temporary absences from child day care may be claimed.

<b>Period</b>	<b>Routine limits (# of days)</b>	<b>Extenuating circumstance(s) (# of days)</b>	<b>Total # of absences allowed (# of days)</b>
1 month	12	3	15
3 months	12	8	20
6 months	24	16	40

## **Payment to Child Care Providers for Program Closures- Appendix G-10**

In this Appendix, a district may opt to pay for program closures only to licensed, registered or legally-exempt group child care providers with whom the district has a contract or letter of intent, or to all providers of subsidized child care services except to legally-exempt family child care providers and legally-exempt in-home child care providers. A district must select which type of child care providers are eligible to receive payment for program closures and whether or not they will require a contract or letter of intent for payment of program closures. Districts must state the maximum number of program closures they will allow per year. While regulations state the maximum number of program closures allowed is five days, a district may choose a lower limit for the number of program closures they will pay. Districts must also list allowable program closures for which the district will provide payment.

## **Transportation, Differential Payment Rates Enhanced Market Rate for Legally Exempt, and Sleep- Appendix G-11**

### Transportation

A district may make payments for eligible families for transportation to and from a child care provider. A district will be reimbursed for transportation expenses charged by a child care provider that are separate and apart from the regular rate charged by the provider. Also, the district may make arrangements using other providers of transportation services. Expenditures for transportation are reimbursed as a program cost under the district's NYSCCBG allocation. Appendix F under transportation (column 20) must indicate the district will pay for transportation costs.

### Differential Payment Rates for Nationally Accredited Programs/Care During Non-Traditional Hours

A district is allowed to establish differential payment rates above the market rate for child care services provided by licensed and registered child care providers that have been accredited by a nationally recognized child care organization. Nationally recognized organizations that provide accreditation to licensed and registered child care providers include the National Association for Education of Young Children (NAEYC), National Association for Family Child Care (NAFCC) and National School Age Child Care Association (NSACCA).

Additionally, a district is allowed to establish differential payment rates for child care services that are provided during non-traditional hours, which is during evening, night or weekend hours. If a district elects to establish differential payment rates for non-traditional hours, it must provide this rate for all types of providers, as federal requirements do not allow rate setting that would limit access to a full range of providers. Informal providers, including legally exempt family and in-home providers are eligible for the non-traditional hours differential.

The differential payment rates established by the district may be up to 15% higher than the applicable market rates. The differential payment rates the district sets for accredited programs may be different from the rates set for care provided during non-traditional hours.

There can be a total of only 15% in differential payments to any one provider. For instance, a provider who is nationally accredited and who also provides child care for non-traditional hours is eligible only for a maximum of 15% increase above the market rate for the respective type of care and age of the child.

A district may establish a payment rate that is in excess of 15% above the applicable market rate where the 15% maximum is insufficient to provide access within the appropriate market rate. A district must describe why the 15% maximum is insufficient to provide access within the district to accredited programs and/or to care provided during non-traditional hours. A district must state the percentage above the market rate it proposes to use.

#### Enhanced Market Rate For Legally-Exempt Family and In-Home Child Care Providers

A district may establish a payment rate that is in excess of the enhanced market rate for legally- exempt family and in-home child care providers who have completed ten or more hours annually of training and the training has been verified by the legally-exempt care giver enrollment agency. A district may establish a payment rate up to 75 percent (75%) of the child care market rate established for registered family day care. A district that elects to establish an enhanced market rate for legally-exempt family and in-home child care providers must state the percentage up to 75 percent (75%) of the market rate that it purposes to use. Districts must also select one of three options for implementing the enhanced market rate: all legally-exempt family and in-home child care providers that have been approved by the enrollment agency; or for those legally-exempt family and in-home child care providers who were receiving the enhanced rate of the date of the regulations, but only for the remainder of their current one-year enrollment period; or for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, for the remainder of the time they remain enrolled and to continue to meet the annual ten-hour or more training requirement.

#### Sleep

A district may pay for child care services while a parent or caretaker who works a second or third shift sleeps. A district can pay up to 8 hours of child care services while a parent or caretaker sleeps. A district must describe the criteria used in determining the need to pay for child care while a parent or caretaker sleeps and the number of hours the district will allow.

### **Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Breaks in Activities- Appendix G-12**

#### Child Care Exceeding 24 Hours

A district may pay for child care services that exceed 24 consecutive hours when such services are provided on a short-term basis or in other cases where the parent/caretaker's approved activity necessitates care for 24 hours on a limited basis. A district will describe any limitation that it establishes in determining to pay for child care services that exceed 24 consecutive hours.

#### Child Care Service Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family member should be counted in determining family size and countable family income. A district that elects to include 18, 19 and/or 20 year olds in the Child Care Service Unit must complete this Appendix. A district may elect to count 18, 19 and/or 20 year olds in the Child Care Service Unit or only to include in them in the Child Care Service Unit in every instance when it would benefit the family. A district that elects to only include 18, 19 or 20 year olds in the Child Care Service Unit when it benefits the family must describe the criteria used to determining if the 18, 19and/or 20 year old will be counted in the Child Care Service Unit.

Districts should note the inclusion of 18, 19 and/or 20 year olds mean that any income or child support of such individuals will also be counted.

#### Waivers

A district has the authority to request a waiver of any regulatory provision that is non-statutory. A district must describe the regulatory provision that they wish to have waived and the regulatory provision must be approved by OCFS before implementation.

#### Breaks In Activities

A district may pay for child care services for low income families during breaks in activities for a period not to exceed two weeks or for a period not to exceed one month where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period.

A district may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between activities.

#### Child Care Technical Assistance

The following assistance documents are included as attachments to the Local Commissioners Memorandum (LCM) accompanying these county plan Guidelines.

- Child Care Technical Assistance # 1 - Eligible Families
- Child Care Technical Assistance # 2 – Limiting Eligibility for Other Eligible Families if Funds are Not Available

**APPENDIX G  
(Administrative-DSS)**

**CHILD CARE CHECKLIST:  
ANNUAL PLAN UPDATE TO 2007-2010 CHILD CARE SUBSIDY PROGRAM**

**County:**

Please check YES for each Appendix that you will be amending For EACH Appendix your district is amending, complete ONLY the areas to be changed. For example, your district is increasing family share, check yes for Appendix G-3 and complete only family share section of that Appendix.

*Note: If the district is not amending any child care appendices this check list does not need to be completed or submitted with the 2009 APU.*

**YES**

- Appendix G-1 Administration
- Appendix G-2 Other Eligible Families if Funds are Available
- Appendix G-3 Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Case Reviews
- Appendix G-4 District Options
- Appendix G-5 Priority Populations- Additional Local Priorities
- Appendix G-6 Funding Set Asides
- Appendix G-7 Title XX Child Care
- Appendix G-8 Additional Local Standards for Child Care Providers
- Appendix G-9 Payment to Child Care Providers for Absences
- Appendix G-10 Payment to Child Care Providers for Program Closures
- Appendix G-11 Transportation, Differential Payment Rates, Enhanced Market Rate for Legally Exempt Providers and Sleep
- Appendix G-12 Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, Break in Activities

**APPENDIX G-1**

**CHILD CARE SECTION  
DATED 2007-2010**

**County:**

**I. Administration**

Describe how your district is organized to administer the child care program including any functions that are subcontracted to an outside agency.

1. Identify the unit that has primary responsibility for the administration of child care for:

Public Assistance Families:

Transitioning Families:

Income Eligible Families:

Title XX:

2. Indicate the use of New York State Child Care Block Grant (NYSCCBG) Funds.

Estimate of Rollover Funds for FFY 08-09	\$
Estimate of Flexible Funds for Families (FFFS) for child care subsidies	\$
NYSCCBG Allocation for SFY 09-10	\$
Estimate of Local Share	\$

Total Estimated NYSCCBG Amount: \$

	\$
A. Subsidy	\$
B. Other program costs (excluding subsidy)	\$
C. Administrative costs	\$

3. Does your district have a contract or formal agreement with another organization to perform any of the following functions?

Function:

Organization:

Amount of Contract:

- Eligibility screening
- Assistance in locating care
- Child Care Information Systems
- Determining if legally-exempt providers meet State approved additional local standards (if applicable)
- Other

**APPENDIX G-2**

**II. Other Eligible Families if Funds are Available (Required Section)**

Listed below are optional categories of eligible families that your district can include as part of its CFSP. Select any categories your district wants to serve and describe any limitations associated with the category.

<b>Optional Categories</b>	<b>Option</b>	<b>Limitations</b>
1 Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2. PA families or families with income up to 200% of the State Income Standard when the caretaker is:		
a) participating in an approved substance abuse treatment program	<input type="checkbox"/> Yes <input type="checkbox"/> No	
b) homeless	<input type="checkbox"/> Yes <input type="checkbox"/> No	
c) a victim of domestic violence	<input type="checkbox"/> Yes <input type="checkbox"/> No	
d) in an emergency situation of short duration	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3. Families with an open child protective services case when child care is needed to protect the child.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	<input type="checkbox"/> Yes <input type="checkbox"/> No	
b) has family duties away from home	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to actively seek employment for a period up to 6 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	



<p>6. PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>7. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:</p>		
<p>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>c) 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</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading and writing the English language for individuals whose primary language is other than English</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>f) 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</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

<p>g) 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</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>h) a prevocational skill training program such as, a basic education and literacy training program</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor.</p> <p><b>The parent/caretaker must complete the selected programs listed under number seven within 30 consecutive calendar months. The parent/caretaker cannot enroll in more than one program.</b></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>8. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associates degree or certificate of completion and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

<p>9. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associates degree or a certificate of completion that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>10. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program (leading to a bachelor degree and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>11. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a program to train workers in a employment field that currently is or is likely to be in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the potion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

**APPENDIX G-3**

**III. Reasonable Distance, Very Low Income, Family Share, Case Closings and Openings, and Fraud and Abuse Control Activities (Required Section)**

**Reasonable Distance**

Your district is required to define reasonable distance based on community standards for determining accessible child care.

The following defines "reasonable distance":

Describe any steps/consultations made to arrive at your definition:

**Very Low Income**

Very Low Income is defined by each district and is used in determining priorities for child care benefits.

Very Low Income is defined as \_\_\_\_\_ % of the State Income Standard.

**Family Share**

Family share is the weekly amount paid towards the costs of the child care services by the child’s parent or caretaker. In establishing family share, your district must select a percentage from 10% to 35% to use in calculating the family share. The family share of child care is calculated by applying the family share percentage against the amount of the family’s annual gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by our district \_\_\_\_\_ %.

**Note: Make sure the % selected here matches the % selected in Appendix F.**

**Case Closings** (select one or two)

1. The district must describe below how priority is given to federally mandated priorities and describe local priorities. If all NYSCCBG funds are committed, the district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how the district will select cases to be closed in the event that there are insufficient or no funds available.

2. The district has not established priorities beyond the federally-mandated priorities. If all NYSCCBG funds are committed, case closings for families which are not eligible under a child care guarantee and are not a federally-mandated priority must be based on the length of time in receipt of services. The length of time used to close cases may be based either on the shortest or longest time

receiving child care services but must be consistent for all families. The district has chosen to close cases based on:

- shortest time receiving child care services
- longest time receiving child care services

**Case Openings**

The district must describe below how priority is given to federally mandated priorities and how the district will select cases to be opened in the event that there are insufficient funds available.

**Fraud and Abuse Control Activities**

The district must identify below the criteria it will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment and procedures for referring such applications to the district’s front end detection system.

The district must describe below its sampling methodology used to determine which cases it will seek verification of an applicant or recipient’s continued need for child care including, as applicable, verification of participation in employment, education or other required activities.

The district must describe below its sampling methodology used to determine which child care providers of subsidized child care services they will review for the purpose of comparing the child care providers attendance forms for children receiving subsidized child care services and any child and adult care food program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

## APPENDIX G-4

### IV. District Options (Required Section)

Districts have certain flexibility to administer the child care subsidy program to meet local needs. Check which options that your district wishes to include in its county plan. Complete attachments for any area(s) checked.

1.  Our district has identified local priorities in addition to the federal priorities (complete Appendix G-5).
2.  Our district has chosen to establish funding set-asides for NYSCCBG (complete Appendix G-6).
3.  Our district is using Title XX funds for the provision of child care services (complete Appendix G-7).
4.  Our district has chosen to establish additional local standards for child care providers (complete Appendix G-8).
5.  Our district has chosen to make payments to child care providers for absences (complete Appendix G-9).
6.  Our district has chosen to make payments to child care providers for program closures (complete Appendix G-10).
7.  Our district has chosen to pay for transportation to and from a child care provider (complete Appendix G-11).
8.  Our district has chosen to pay up to a 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix G-11).
9.  Our district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix G-11).
10.  Our district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training and the training has been verified by the legally-exempt care giver enrollment agency (complete Appendix G-11).
11.  Our district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).
12.  Our district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix G-12).

**APPENDIX G-4 (continued)**

- 13.  Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).
- 14.  Our district is seeking a waiver from one or more regulatory provisions. Such waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix G- 12).
- 15.  Our district has chosen to pay for breaks in activity for low income families (non public assistance families, complete Appendix G-12).
- 16.  Our district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification and/or legally exempt enrollment forms (attach copies of the local equivalent forms your district uses).

**APPENDIX G-5  
PRIORITY POPULATIONS-ADDITIONAL LOCAL PRIORITIES**

The federal priorities of very low income families and families with children who have special needs must be ranked either one or two. Additional local priorities that have been selected must have a lower rank than the federal priorities:

Category: Families with very low income      Rank:      (select rank one or two)

Description:

Category: Families with children who have special needs      Rank:      (select rank one or two)

Description:

Category:      Rank:

Description:

Category:      Rank:

Description:

Category:      Rank:

Description:



**APPENDIX G-6  
FUNDING SET-ASIDES**

**Total NYSCCBG Block Grant Amount Including Local  
Funds**

Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
<b>Total set asides</b>	<b>\$</b>

Describe for each category the rationale behind specific set-aside amounts out of the NYSCCBG (e.g. estimated number of children, etc.).

Category:

Category:

Category:

Category:

Category:

**APPENDIX G-6 (continued)**

The following amounts are set aside for specific priorities out of the Title XX block grant:

Category:	\$
Category:	\$
Category:	\$
<b>Total set asides (Title XX)</b>	<b>\$</b>

Describe for each category the rationale behind specific set aside amounts out of the Title XX block grant (e.g. estimated number of children, etc.).

Category:

Category:

Category:

Category:

**APPENDIX G-7  
TITLE XX CHILD CARE**

Projected total Title XX expenditures for plan duration:       \$

Financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of 1 or 2, 255% for a family of 3, and 225% for a family of 4 or more. Districts that are utilizing Title XX funds only for child protective and/or preventive child care services must not enter financial eligibility limits as these services are offered without regard to income.

Family Size: (2)       %   (3)       %   (4)       %

Programmatic Eligibility for Income Eligible Families. (Check all that apply.)

- Title XX:    employment                                education/training  
               seeking employment                    illness/incapacity  
               homelessness                                domestic violence  
               emergency situation of short duration  
               participating in an approved substance abuse treatment program

Does your district apply any limitations to the programmatic eligibility criteria?

YES    NO

(See Technical Assistance #1 for information on limiting eligibility.)

If yes, describe eligibility criteria:

Does your district prioritize certain eligible families for Title XX funding?

YES    NO

If yes, describe which families will receive priority:

Does your district use Title XX funds for child care for open child protective services cases?

YES    NO

Does your district use Title XX funds for child care for open child preventive services cases?

YES    NO

**APPENDIX G-8**  
**ADDITIONAL LOCAL STANDARDS FOR CHILD CARE PROVIDERS**

The district may propose local standards in addition to the State standards for providers who will receive child care subsidies. One appendix G-8 must be completed for each additional standard that the district wishes to implement.

1. Described below are the additional local standards that will be required of providers as well as which providers must comply with each additional standard.
  
  
  
  
  
  
  
  
  
  
2. Described below are the methods and resources that will be utilized to determine that these additional local standards are being met.
  
  
  
  
  
  
  
  
  
  
3. Described below is the frequency in which the additional standard will be conducted.
  
  
  
  
  
  
  
  
  
  
4. Described below are the procedures the district will use to notify the Legally Exempt Caregiver Enrollment Agency as to whether or not the legally exempt provider is in compliance with the additional local standards. (Districts only need to describe this procedure if the additional local standard is applied to legally exempt child care providers.)
  
  
  
  
  
  
  
  
  
  
5. Described below is the justification for each additional standard.

**APPENDIX G-9  
PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES**

The following providers are eligible for payment for absences:  
(Check any that are eligible)

- |  |  |
|--|--|
| <input type="checkbox"/> Day Care Center       | <input type="checkbox"/> Legally Exempt Group  |
| <input type="checkbox"/> Group Family Day Care | <input type="checkbox"/> School Age Child Care |
| <input type="checkbox"/> Family Day Care       |  |

Our district will only pay for absences to providers with which the district has a contract or letter of intent.  Yes  No

Base period selected (check one)     3 months         6 months

Number of absences allowed during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a month			
Base period			

List reasons for absences for which the district will allow payment:

List any limitations on the above providers' eligibility for payment for absences:

Note: Legally exempt family child care and in-home child care providers are **not** eligible to receive payment for absences.

**APPENDIX G-10**  
**PAYMENT TO CHILD CARE PROVIDERS FOR PROGRAM CLOSURES**

The following providers are eligible for payment for program closures:

- |  |  |
|--|--|
| <input type="checkbox"/> Day Care Center       | <input type="checkbox"/> Legally Exempt Group  |
| <input type="checkbox"/> Group Family Day Care | <input type="checkbox"/> School Age Child Care |
| <input type="checkbox"/> Family Day Care       |  |

Our district will only pay for program closures to providers with which the district has a contract or letter of intent.     Yes     No

Enter the number of days allowed for program closures (maximum allowable program closures is five days).

List the allowable program closures for which the district will provide payment.

Note: Legally exempt family child care and in-home child care providers are **not** allowed to be reimbursed for program closures.

**APPENDIX G-11  
TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, ENHANCED MARKET RATES  
FOR LEGALLY EXEMPT, SLEEP**

**Transportation**

Describe below under what circumstances and limitations if any your district will use to reimburse for transportation, what type of transportation will be reimbursed (public vs. private), and how much your district will pay (per mile or trip). Note if paying for transportation, Appendix F will need to reflect this choice.

**Differential Payment Rates**

Indicate below the percentage above the market rate your district has chosen.

Accredited Programs may receive a differential payment up to \_\_\_\_\_ % above market rate.

Care during non-traditional hours may be paid up to \_\_\_\_\_ % above market rate.

Limitations to the above differentials are as follows:

Payments may not exceed 15% above market rate. However, if your district wishes to establish a payment rate that is in excess of 15% above the applicable market rate must describe below why the 15% maximum is insufficient to provide access within the district to accredited programs and/or care provided during non-traditional hours.

**Enhanced Market Rate For Legally-Exempt Family and In-Home Child Care Providers**

If a district elects to establish a payment rate that is in excess of the enhanced market rate for legally-exempt family and in-home child care providers who have annually completed 10 or more hours of training and the training has been verified by the legally-exempt care giver enrollment agency. The district must state the percentage above the market rate it proposes to use.

Our district is requesting to increase the legally-exempt enhanced market rate up to \_\_\_\_percent of the applicable registered family day care market rate. Market rate may not exceed 75 percent (75%) of the child care market rates established for registered family day care.

A district that selects the option to increase the legally-exempt enhanced market rate must select one of the options listed below for implementation of the legally-exempt enhanced market rate:

for all legally-exempt family and in-home child care providers that have been approved by the applicable legally-exempt caregiver enrollment agency;or

for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, but only for the remainder of their current one-year enrollment period; or

for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, for the remainder of the time they remain enrolled and continue to meet the ten-hour annual training requirement.

### **Sleep**

The following describes the standards that will be used in evaluating whether or not to pay for child care services while a parent or caretaker that works a second or third shift sleeps and any limitations pertaining to payment:

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight).



**APPENDIX G-12**  
**CHILD CARE EXCEEDING 24 HOURS, CHILD CARE SERVICES UNIT, WAIVERS,**  
**BREAKS IN ACTIVITIES**

**Child Care Exceeding 24 Hours**

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 on a limited basis.

Describe any limitations for payment of child care services that exceed 24 consecutive hours.

**Child Care Services Unit**

The Child Care Service Unit is the basis upon which a district will determine which household and/or family members should be counted in determining family size and countable family income.

Our district will include the following in the Child Care Services Unit (check which ones apply).

18 year old       19 year old       20 year old

**-OR-**

Our district will include only the following in the Child Care Services Unit when it will benefit the family (check which ones apply).

18 year old       19 year old       20 year old

Describe the criteria your district will use to determine whether or not an 18, 19 or 20 year old is included in the Child Care Services Unit.

**Waivers**

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your district is requesting a waiver.

**Breaks in Activities**

Districts may pay for child care services for low income families during breaks in activities for a period not to exceed two weeks or for a period not to exceed one month where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period (check one).

two weeks       four weeks

Districts may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between approved activities. The following low income families are eligible for child care services during a break in activities (check any that are eligible):

entering an activity     waiting to begin employment     break between activities

**APPENDIX H  
ANNUAL PLAN UPDATE  
CHECKLIST**

**ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL SERVICES**

**County**

All Local Department of Social Services are required to complete this checklist. For each item below, please indicate by marking “YES” or “NO” whether there are any changes to report. For each item that is answered “Yes” or where a “NO” response is not an option, a written response is required clearly indicating what has changed and reason for the change. Responses should be attached on separate page and added at the end of this appendix.

**YES**      **NO**

- |  |  |   |
|--|--|---|
| <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <p>I.    Financing Process</p> <p>    a.    General Information</p> <p>    b.    Purchase of Services</p> <p>    c.    Performance or Outcome Based Provisions</p>  |
| <input type="checkbox"/>   | <input type="checkbox"/>   | <p>II.    Monitoring Procedures</p>   |
| <input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>   | <p>III.    Appendices</p> <p>    a.    Appendix A – Legal Assurances</p> <p>    b.    Appendix B – Summary of Memorandum of Understanding with the District Attorney’s Office for Child Protective Services (Check “No” if the memorandum is current, designates suitable locations for abandoned infants and there are no changes since the last CFSP or APU.)</p>   |
| <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <p>    c.    Appendix C – Estimate of Persons to be Served</p> <p>    d.    Appendix D – Non-Residential Services to Victims of Domestic Violence</p> <p>    e.    Appendix E – Chafee Foster Care Independence Program Use of Allocations</p> <p>    f.    Appendix F – Department of Social Services – Program Information Matrix</p>   |
| <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   | <p>    g.    Appendix G – Child Care</p> <p>        1.    Appendix G-1 – Administration</p> <p>        2.    Appendix G-2 – Other Eligible Families if Funds are Available</p> <p>        3.    Appendix G-3 – Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Fraud and Abuse Control Activities</p>  |
| <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/> | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/> | <p>        4.    Appendix G-4 – Districts Options</p> <p>        5.    Appendix G-5 – Priority Populations</p> <p>        6.    Appendix G-6 – Funding Set-Asides</p> <p>        7.    Appendix G-7 – Title XX Child Care</p> <p>        8.    Appendix G-8 – Additional Local Standards for Child Care Providers</p> <p>        9.    Appendix G-9 – Payment to Child Care Providers for Absences</p> <p>        10.    Appendix G-10 – Payment for Child Care Providers for Program Closures</p> <p>        11.    Appendix G-11 – Transportation, Differential Payment Rates, and Sleep</p> <p>        12.    Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Break in Activities</p> |

**ANNUAL PLAN UPDATE**  
to the  
**CHILD AND FAMILY SERVICES PLAN**

**YOUTH BUREAU**  
**ADMINISTRATIVE COMPONENT**

For

COUNTY:

Due: December 15, 2009

The Administrative Component of the county plan is the opportunity for Youth Bureaus to submit their youth bureau administrative narrative (for **both** county and municipal Youth Bureaus), procedures for the Resource Allocation Plan (RAP), monitoring and evaluation systems, and, as necessary, issues relating to the provision of services under the Runaway and Homeless Youth Act (RHYA). The information reported here applies to the three years of this plan cycle. Updates to this Administrative Component will be reporting **only** information that has changed.

This component of the county plan replaced the program narrative for administrative funding for **ALL** county and municipal Youth Bureaus. It is required for **ALL** Youth Bureaus. (The Individual Application form and Program Budget Form for Youth Bureau funding are still required to be submitted separately as part of the county's Resource Allocation Plan (RAP).

The directions for the APU are shown in *italics* and follow the existing CFSP guidelines. The Guidance Section that accompanied directions in the past has been omitted for this APU. Please refer to 06-OCFS-LCM-05 for this information.

**Annual Plan Update (APU) Instructions:**

- *Please complete the Youth Bureau Checklist in Appendix A. This checklist identifies those areas where change is being reported. If there are no changes, this will be the ONLY submission for this component.*
- *For each area there is a change, please update the required information, as per the directions below.*
- *The Administrative Component will be submitted with all required Components of the APU.*
- ***FOR MUNICIPAL YOUTH BUREAUS:** ALL Municipal youth bureaus must also complete section V (a). For this section, please report on the successes of planning activities and the results from needs assessment activities since the submission of the last Administrative Component AND report on any new planning or needs assessment activity to occur over the next twelve months until the new Strategic Plan is due.*
- *New or revised youth board lists should be attached as an Appendix.*

## I. ADMINISTRATIVE REQUIREMENTS

### a) Youth Bureau Role and Structure within County/Municipal Government

Please explain how the county/municipal Youth Bureau fits into the organizational structure of county/municipal government. Indicate the name and title of the person to whom the Youth Bureau Director reports. A county/municipal government organizational chart must be included as an appendix.

***APU Instructions: Please provide a brief description of any changes since the county's plan submission in the text box below. If there has been no change indicate "None".***

### b) Youth Bureau Organization and Staffing

Please attach a Youth Bureau organizational chart. Include names and titles for all staff. Identify staff that devotes only a portion of time with an asterisk. For these staff, specify what percentage of their time, in terms of Full Time Equivalents (FTEs), is committed to Youth Bureau responsibilities. In the case of shared staff, an explanation of how costs are shared must be included consistent with Fiscal Policies and Procedures for Local Assistance Programs.

***APU Instructions: Please provide a brief description of any changes since the county's plan submission in the text box below. If there has been no change indicate "None".***

### c) Youth Board

Describe the role and function of the Youth Board including whether it has advisory or policy-making functions. Attach (as Appendix B) a listing of the members including their names, addresses, employers and professional/community affiliations. Please asterisk or otherwise denote which are the youth members.

***APU Instructions: Please only submit a new Youth Board list if there were changes since the county's plan submission in the text box below. If there has been no change indicate "None".***

### d) Youth Bureau Program Operations

1) List and describe any programs or services operated directly by the Youth Bureau including the funding sources.

2) Please identify any State or local initiatives for which the Youth Bureau is the lead agency and for each initiative describe the administrative role the Youth Bureau has including duties, responsibilities, and tasks. This would include initiatives such as Mental Health/Juvenile Justice (MH/JJ), ACT for Youth, Consolidated Children's Services Initiatives (CCSI), and Communities That Care (CTC) or other state sponsored or local initiatives.

e) Funding Administered

List any funding administered by the Youth Bureau that is not included in the RAP.

f) Other

If there are other administrative activities or responsibilities that the Youth Bureau has that are not covered elsewhere in this document, or the Strategic Component of the county plan, please include those here.

***APU Instructions: Please provide a brief description of any changes since the county's plan submission in the text box below. If there has been no change indicate "None".***

## II. RESOURCE ALLOCATION PROCEDURES

Describe the county's resource allocation procedures and process for all of the Youth Bureau administered Office of Children and Family Services' funding. If the county has municipal youth bureau(s), describe the relationship of their resource allocation process to the county's allocation process. It is required that the RAP funding decisions are supported by the needs assessment process and are used to support the achievement of outcomes.

***APU Instructions: Please describe changes, if any, made to the Resource Allocation Procedures changes since the county's plan submission in the text box below. If there has been no change indicate "None".***

## III. MONITORING AND EVALUATION PROCEDURES

a) Describe the system to monitor (review of program activities and contractual obligations) all Office of Children and Family Services' funded programs that are funded in the county's Resource Allocation Package. Include in this description procedures, frequency, who is involved and provisions for on-site monitoring. Explain how the results of these activities will be used in planning and funding decisions.

b) Describe the system to evaluate (a review of program performance) all Office of Children and Family Services' funded programs, which are contained in the county's Resource Allocation Package. Include in this description procedures, who is involved,

and frequency. Explain how results of these activities will be used in planning and funding decisions.

***APU Instructions:*** Please describe changes, if any, made to methods or process to monitor and evaluate programs funded in the Resource Allocation Package in the text box below. If there has been no change indicate “None”.

IV. RUNAWAY AND HOMELESS YOUTH ACT (RHYA) (Required if county receives RHYA State aid.)

- a) Provide a statement concerning the designation, responsibilities, and duties of the Runaway and Homeless Youth Coordinator.
- b) Describe the system for responding to inquiries concerning available shelter space, transportation, and services-24 hours per day.
- c) List all residential programs serving runaway and homeless youth, including agency, address, capacity, and description of population served. Please include federally funded RHY programs. Please identify which RHYA programs are providing PINS Respite services.
- d) Describe any new services to be provided and current services to be expanded.
- e) Describe how education, and transportation to education, will be provided to youth residing in RHY residential programs.

***APU Instructions:*** Please provide a brief description of any changes made since the county’s last plan submission in the text box below. If there has been no change indicate “None”.

V. FOR MUNICIPAL YOUTH BUREAUS ONLY

Municipal Planning Activities

- a) Describe the planning and needs assessment activities undertaken to determine the strengths and needs of youth in your municipality.

***APU Instructions:*** Please briefly describe any new planning and needs assessment activity conducted since the county’s plan submission in the text box below. If there has been no change indicate “None”.

- b) Describe new or ongoing planning needs assessment activities to be undertaken in the next year.

***APU Instructions:*** Please describe any new needs assessment activities planned through the end of the current planning cycle (December 31, 2010) since the county's plan submission in the text box below. If there has been no change indicate "None".

.

- c) Describe the municipality's outcomes and strategies.

***APU Instructions:*** For each current outcome, please provide a brief description of the progress made to date. Please make any necessary changes to the indicators or strategies for each outcome with a brief explanation for the change. List any new outcomes and strategies since the county's plan submission in the text box below.

- d) Describe the involvement the municipal youth bureau has had in the development of the county's Child and Family Services Plan.

***APU Instructions:*** Please describe changes, if any, to the involvement of the municipal youth bureau in the development of the county's Child and Family Services Plan in the text box below. If there has been no change indicate "None".

## VI. APPENDICES

Appendix A Annual Plan Update Checklist – Administrative Component – Youth Bureau

Appendix B Youth Board List – Please attach complete Youth Board list and label it Appendix B.

**APPENDIX A (Administrative – YB)  
ANNUAL PLAN UPDATE  
CHECKLIST  
ADMINISTRATIVE COMPONENT – YOUTH BUREAU  
County  
(City, Town, Village if applicable.)**

All Youth Bureaus (county and municipal) are required to complete this checklist. For each item below, please indicate whether there are any changes to report. For each item that is answered yes, a response is required.

- | <u>YES</u>               | <u>NO</u>                |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | I. Administrative Requirements  |
| <input type="checkbox"/> | <input type="checkbox"/> | a. Youth Bureau Role and Structure within County/Municipal Government.  |
| <input type="checkbox"/> | <input type="checkbox"/> | b. Youth Bureau Organization and Staffing   |
| <input type="checkbox"/> | <input type="checkbox"/> | c. Youth Board  |
| <input type="checkbox"/> | <input type="checkbox"/> | d. Youth Bureau Program Operations  |
| <input type="checkbox"/> | <input type="checkbox"/> | e. Funding Administered   |
| <input type="checkbox"/> | <input type="checkbox"/> | II. Resource Allocation Procedures  |
| <input type="checkbox"/> | <input type="checkbox"/> | III. a. Monitoring Procedures (This is Section V.6 for Municipal Youth Bureaus.)  |
| <input type="checkbox"/> | <input type="checkbox"/> | b. Evaluation Procedures (This is Section V.7 for Municipal Youth Bureaus.)   |
|                          |                          | IV. Runaway and Homeless Youth Act (RHYA) – If required.  |
|                          |                          | If the county receives <i>no</i> RHYA funds, please check here. <input type="checkbox"/>  |
| <input type="checkbox"/> | <input type="checkbox"/> | a. Provide a statement concerning the designation, responsibilities, and duties of the Runaway and Homeless Youth Coordinator.  |
| <input type="checkbox"/> | <input type="checkbox"/> | b. Describe the system for responding to inquiries concerning available shelter space, transportation, and services, 24 hours per day.  |
| <input type="checkbox"/> | <input type="checkbox"/> | c. List all residential programs serving runaway and homeless youth, including agency, address, capacity, and description of population served. Please include federally funded RHY programs. |
| <input type="checkbox"/> | <input type="checkbox"/> | d. Describe any new services to be provided and current services to be expanded.  |
| <input type="checkbox"/> | <input type="checkbox"/> | e. Describe how education, and transportation to education, will be provided to youth residing in RHY residential programs.   |
|                          |                          | V. For Municipal Youth Bureaus (Required)   |
| <input type="checkbox"/> | <input type="checkbox"/> | a. Describe the planning and needs assessment activities undertaken to determine the youth needs in your municipality.  |
| <input type="checkbox"/> | <input type="checkbox"/> | b. Describe new or ongoing planning needs assessment activities to be undertaken in the next year.  |
| <input type="checkbox"/> | <input type="checkbox"/> | c. Describe the municipality’s outcomes and strategies.   |
| <input type="checkbox"/> | <input type="checkbox"/> | d. Describe the involvement the municipal youth bureau has had in the   |



development of the county's Child and Family Services Plan.

**Child Care Technical Assistance #1**  
**ELIGIBLE FAMILIES**

Families are eligible for child care services under the New York State Child Care Block Grant (NYCCBG) program if the family meets one or more of the following criteria:

1. **Families which are guaranteed child care.** A social services district must guarantee child care services to a family which meets the criteria set forth below regardless of whether the social services district has any State or federal funds available under the NYSCCBG program to pay for all or a portion of the child care costs.
  - a. A social services district must guarantee child care services to a family that has *applied for or is receiving public assistance* when such services are needed for a child less than 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to participate in activities required by a social service district as defined in 18 NYCRR Part 385.
  - b. A social services district must guarantee child care services to a family that is *receiving public assistance* when such services are needed for a child less than 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to engage in work as defined by the social services district.
  - c. A social services district must guarantee child care services to a family that has applied for and would otherwise be financially eligible for public assistance benefits or was in receipt of public assistance and voluntarily closed their public assistance case while still eligible for public assistance, when:
    - (1) child care is needed for a child under 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to be employed as follows:
      - a.) For a single parent family earning minimum wage or more per hour or self-employed, minimum gross earnings must meet or exceed \$127 per week or \$550 per month;
      - b.) For a two parent family when both parents are employed earning minimum wage or more per hour or are self-employed, minimum gross earnings must meet or exceed \$179 per week or \$784 per month;
      - c.) For a single parent in a job exempt from minimum wage rules and paying less than minimum wage per hour, the parent must be working a minimum of 17.5 hours per week
      - d.) For a two parent family where both parents are employed in a job exempt from minimum wage rules and paying less than minimum wage, the parents must be working a minimum of 25 hours per week; and
    - (2) the family is eligible for public assistance but chooses to receive child care services in lieu of public assistance.
  - d. A social services district must guarantee child care services for a period up to 12 consecutive months after the month in which the public assistance case closed or, for those who chose child care in lieu of public assistance, the month after the family is no longer financially eligible for public assistance, provided:
    - (1) the case closed or the family became financially ineligible for public assistance due to increased income from either employment or child support; or because the family voluntarily ended their public assistance case and their income is no longer within public assistance standards;
    - (2) the family received public assistance in at least three of the six months immediately preceding the case closing; or, for a family which chose child care in lieu of public

assistance, was eligible for public assistance in at least three of the six months immediately preceding their ineligibility for public assistance;

- (3) the family includes an eligible child that is under the age of 13 and needs child care services in order to enable the child's parent(s) or caretaker relative(s) to be employed; and
- (4) the family has income at or below 200 percent of the applicable State income standard

2. **Families which are eligible when funds are available.** A social services district must provide child care services to a family eligible under this category, to the extent that the district continues to have funds available under either the district's allocation from the New York State Child Care Block Grant program, rollover funds from FFY 07-08 as, estimated rollover funds for FFY 08-09, funds transferred from FFFS, and any local funds appropriated for such program, subject to any priorities or set asides as approved by the Office of Children and Family Services.

- a. A family which has applied for or is receiving public assistance when child care services are needed for an eligible child who is age 13 years or older and who has special needs or is under court supervision, in order to enable the child's parent(s) or caretaker relative(s) to participate in activities required by a social services official including orientation, assessment, or work activities as defined in 18 NYCRR Part 385.
- b. A family receiving public assistance when child care services are needed for an eligible child who is age 13 years or older and who has special needs or is under court supervision in order to enable the child's parent(s) or caretaker relative(s) to engage in work as defined by the social services district.
- c. A family receiving public assistance when child care services are necessary:
  - (1) to enable a teenage parent to attend high school or an equivalency program; or
  - (2) for the child to be protected because the child's parent(s) or caretaker relative(s) is physically or mentally incapacitated or has family duties away from home necessitating his or her absence.
- d. A family with income up to 200 percent of the State income standard which is at risk of becoming dependent on public assistance when child care services are needed:
  - (1) for the child's caretaker(s) to be employed; or
  - (2) to enable a teenage parent to attend high school or an equivalency program.

3. **Families which are eligible if funds are available and if the social services district has listed such families as eligible in the district's Child and Family Services Plan.** The following families are eligible provided the social services district has listed such families as eligible families in the district's Child and Family Services Plan and the district continues to have funds available from the NYSCCBG and any local funds appropriated for such program:

- a. A family receiving public assistance when child care services are necessary for a parent or caretaker relative to participate in an approved activity in addition to their required work activity.
- b. A family receiving public assistance when child care services are necessary for a sanctioned parent or caretaker relative to participate in unsubsidized employment whereby the parent or caretaker relative receives earned wages at a level equal to or greater than the minimum amount required under federal and State labor law.
- c. A family receiving public assistance or 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 child's caretaker is:
  - (1) participating in an approved substance abuse treatment program or in screening for an assessment of the need for substance abuse treatment;

- (2) homeless or receiving services for victims of domestic violence and needs child care in order to participate in an approved activity or in screening for or an assessment of the need for services for victims of domestic violence; or
- (3) in an emergency situation of short duration including, but not limited to, cases where the caretaker's absence from the home for a substantial part of the day is necessary because of extenuating circumstances such as a fire, being dispossessed from the home, seeking living quarters or providing chore/housekeeper services for an elderly or disabled relative.
- d. A family 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 child's caretaker(s) is physically or mentally incapacitated or has family duties away from home necessitating his or her absence.
- e. A family with an open child protective services case when it is determined on a case-by-case basis that such child care is needed to protect the child.
- f. A family with income up to 200 percent of the State income standard when child care services are needed for the child's caretaker(s) to participate in one of the following activities provided such activity is an allowable activity set forth in the social services district's Child and Family Services Plan and the district determines that the activity is necessary part of a plan for the family's self-support:
  - (1) actively seek employment for a period of up to six months as established by the social services district in its Child and Family Services Plan, if the caretaker documents that he or she is currently registered with a New York State Department of Labor Division of Employment Services Office, provided that the child care services will be available only for the portion of the day the family is able to document is directly related to the caretaker engaging in such activities; or
  - (2) educational or vocational activities including attendance in one of the secondary or post-secondary programs allowable under Part 415.2 of the State regulations.
- g. A family receiving public assistance or with income up to 200 percent of the State income standard when child care services are needed for the child's caretaker(s) to attend a two year program other than one with a specific vocational sequence leading to an associates degree or certificate of completion, or a four year college or university program leading to a bachelor's degree provided:
  - (1) the program is reasonably expected to improve the earning capacity of the caretaker;
  - (2) the caretaker is, and continues to be, employed in non-subsidized employment whereby the caretaker works at least 17 ½ hours per week and earns wages at a level equal to or greater than the minimum amount required under federal and State labor law while pursuing the course of study; and
  - (3) the caretaker can demonstrate his or her ability to successfully complete the course of study.
  - (4) a program to train workers in an employment field that currently is or is likely to be in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program. For the purposes of this provision, a dislocated worker is any person who: has been terminated or laid off from employment; has received a notice of termination or layoff from employment that will occur within six months of such notice; or was self-employed but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters

## Child Care Technical Assistance #2

### **LIMITING ELIGIBILITY FOR OTHER ELIGIBLE FAMILIES IF FUNDS ARE AVAILABLE**

Districts may choose to serve all of these other eligible families, none of these other eligible families, some of these other families, or may add criteria that may limit eligibility within any of the category 2 and 3 descriptions in Child Care Technical Assistance #1.

The following is a partial list of ways a district may choose to limit eligibility within categories.

#### Time Limitations

Districts may choose to limit eligibility by setting certain time limitations. For example, districts may choose to support certain activities for a period of time that is shorter than the allowable State maximum. One example of this is seeking employment. Although State reimbursement is available for districts choosing to cover child care for a period of up to six months while a parent looks for work, a district could choose to cover this activity for a shorter period of time such as three months.

#### Restricting Programmatic Eligibility

Districts may wish to modify one or more categories of eligibility. For example, although reimbursement is available for a long list of educational activities, districts may decide that they can only support certain educational activities. For example, districts may limit educational activities to basic remedial education. Alternatively, districts may choose to pay for educational activities only in combination with another activity such as part-time work.

#### Restricting Income Eligibility

Districts may wish to restrict income eligibility to certain families. Although families with income up to and including 200 percent of the State income standard are financially eligible for subsidies through the NYSCCBG, districts may set different financial eligibility limits for the optional categories described in number 3 of the Child Care Technical Assistance #1, Eligible Families. Please refer to Eligible Families, number three, "Families which are eligible if funds are available and if the social services district has listed such families as eligible in its CFSP". For example, the district could limit eligibility for individuals who are attending a two-year college program to an income less than 200 percent of the State income standard. Districts cannot set a lower income eligibility standard for any family eligible for a guarantee nor for any family that is eligible so long as funds are available. See Eligible Families, number one, "Families which are guaranteed child care" and number two, "Families which are eligible when funds are available".

#### Eligibility Until Funds Run Out

Districts may wish to serve some categories of families up to a certain amount of funds per year. For example, a district could set aside funds for families in substance abuse treatment programs or for families who are in an emergency situation. Families who apply for child care for this purpose would be eligible as long as they meet eligibility criteria and as long as the district has funds available in the set-aside. Once the set-aside is exhausted, no additional families would be authorized under this category. If a category of eligibility will be limited by set-aside funds, Appendix G-6-Funding Set-Asides, must be completed.

**ANNUAL PLAN UPDATE**  
to the  
**PINS DIVERSION SERVICES PLAN**  
part of the  
**STRATEGIC COMPONENT**  
For  
COUNTY:  
Due: December 15, 2009

**INSTRUCTIONS**

These are the directions for completing this required component of your Annual Plan Update (APU) to the Child and Family Services Plan (CFSP). It includes the questions that need to be answered when completing the plan. The PINS Reform Law (Chapter 57 of the Laws of 2005) requires that the Child and Family Services Plan must now include a Persons In Need of Supervision (PINS) diversion services plan. This requirement applies to all counties. These guidelines have been established jointly by the Division of Probation and Correctional Alternatives (DPCA) and Office of Children and Family Services (OCFS). Both agencies will jointly review and approve this PINS Diversion Services Plan.

*Each county must use this form in completing this component.*

The directions for the APU are shown in *italics* and follow the existing CFSP guidelines. The Guidance Section that accompanied CFSP directions in the past has been omitted for this APU. Please refer to 06-OCFS-LCM-05 for this information.

I. Update of MOU Requirements Regarding LDSS and Probation Cooperative Procedures

a) Current Designated Lead Agency  Probation  LDSS

Change in Designation. ***APU Instructions:*** *If the county has changed the lead agency designation since submission of the 2007-2009 Annual Plan, or intends to make a change, please check one of the following, and include the effective date:*

Current Designated Lead Agency reflects a change that was effective on  
/ /

County intends to change the current designation effective / /

b) Inventory of PINS Service Options. *Provide a current inventory of available community services within each category below available for the PINS diversion population. For each service, please identify the geographic area within the county this service covers (i.e., countywide, or specific city (ies) or town(s). Please note that it is required that the first three categories be available.*

PINS Diversion Services Update. ***APU Instructions:*** *Provide updated information about services for PINS, including any enhancements, and with categories below. If barriers exist, describe here.*

Service Category		Geographic Area <i>(indicate below)</i>	Service Gaps <i>(check one)</i>
1.	residential respite <i>(required)</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	crisis intervention – 24 hours/day <i>(required)</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	diversion services/ other alternatives to detention <i>(required)</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	alternative dispute resolution services <i>(optional)</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No

**c) PINS Procedures.** *APU Instructions: Please provide description of any changes that have been made to these procedures since the submission of your current plan.*

	PINS Diversion Services Protocol	Responsible Agency(ies)	Brief Description of How Provided <i>(include any collaborative team processes)</i>
1.	Provides an immediate response to youth and families in crisis <i>(include 24 hour a day response capability)</i>	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other <i>(name)</i>	
2.	Determines need for residential respite services and need for alternatives to detention	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other <i>(name)</i>	
3.	Serves as intake agency— (accepts referrals for PINS diversion services, conducts initial conferencing and makes PINS eligibility determinations)	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other <i>(name)</i>	
4.	Conducts assessment of needs, strengths and risk for continuing with PINS behavior.  Name of assessment instruments used:	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other <i>(name)</i>	

5.	Works with youth and family to develop case plan	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other ( <i>name</i> )	
6.	Determines service providers and makes referrals	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other ( <i>name</i> )	
7.	Makes case closing determination	<input type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Both <input type="checkbox"/> Other ( <i>name</i> )	

II. PINS Diversion Services Plan

a) Development of PINS Diversion Services Plan and MOU

1) Planning Activities. **APU Instructions:** *Briefly describe all PINS Diversion Services planning activities the county has engaged in since submission of current plan. Please include/highlight any collaborative planning work with schools.*

2) Changes in Stakeholder and Service Agency Involvement in Planning. **APU Instructions:** *Indicate any changes in stakeholders involved in PINS Diversion Services planning since submission of your current plan.*

*If no change in stakeholders or service agencies, check here.*

b) **County assessment of needs for PINS population.** *Identify any aggregate needs assessments conducted or updated since submission of your current plan.*

*Guidance: This includes summary data and analysis used to determine needs for the PINS diversion population, and their sources (i.e. Communities That Care, Youth Assessment and Screening Instrument, PINS referral/complaint (source or type) information, status at case closing, cases referred for petition, etc). Specify whether the findings relate to county, city, town, neighborhood, school, or other specific population, and any conclusions drawn or changes made to strategies to address the needs of this population.*



c) Outcomes

Please identify the intended outcomes to be achieved for the PINS population. These should be expressed as desired changes in community, family or individual behaviors or conditions.

***APU Instructions:*** For each current outcome, provide a brief description of the progress made to date. Make any necessary changes to the indicators or strategies for each outcome with a brief explanation for the change. The chart below has been developed for this requirement.

***For each outcome added, please follow the directions below as provided in II. C (1) and (2).***

For each outcome:

1. Identify quantifiable and verifiable indicators of the desired change in conditions or behaviors, and
2. Describe strategies to be implemented to achieve the identified outcomes. Each strategy should include the timeframe for completion and a designation of what agency (ies) or department(s) is/are responsible for implementation. Explain how OCFS administered and other funding supports achievement of outcomes, if applicable. Strategies must be related to the achievement of outcomes.

Guidance: Outcomes are expressed as desired changes in community, family or individual behaviors or conditions. Outcomes should be specific, measurable, achievable, realistic, and timely. They might target the overall PINS diversion services system, a specific process, target population, geographic area, school, or risk factor for reduction. For each outcome: 1) identify quantifiable (measurable either in percentages or raw numbers) and verifiable (documentable) indicators of the desired change; and 2) describe strategies/plans to be implemented to achieve that outcome. Each strategy should include the timeframe for completion, and a designation of the agency (ies) or department(s) responsible for implementation. Strategies must be related to the achievement of outcomes and needs assessment. The below chart is to be used in lieu of narrative.

	<b>Outcome</b>	<b>Indicator</b> <i>(Expressed as % or #)</i>	<b>Strategy/Plan to achieve</b> <i>(Who, what, and when)</i>
<b>1.</b>			
<b>2.</b>			
<b>3.</b>			

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- [2009 Policy Directives](#)
- **[2008 Policy Directives](#)**
- [2007 Policy Directives](#)
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### 2009 APU Strategic Component Templates

- [APU SC APPENDIX A Plan Signature Page.doc](#)
- [APU SC APPENDIX B-1 Adult Protective Services Consultation.DOC](#)
- [APU SC APPENDIX B-2 Child Protective Services Consultation.DOC](#)
- [APU SC APPENDIX B-3 Child Welfare Services Consultation.DOC](#)
- [APU SC APPENDIX B-4 List of Required Interagency Consultation CHILD CARE SERVICES.doc](#)
- [APU SC APPENDIX B-5 Runaway Homeless Youth Consultation List.DOC](#)
- [APU SC APPENDIX B-6 List of Consultation County Youth Bureau Template.doc](#)
- [APU SC APPENDIX C LIST OF DATA SOURCES USED IN NEEDS ASSESSMENT.doc](#)
- [APU SC APPENDIX D Outcomes and Title IV-B Goals.DOC](#)
- [APU SC APPENDIX E COUNTY SUMMARY PLANNING PROCESS ACTIVITIES.doc](#)
- [APU SC APPENDIX F TECHNICAL ASSISTANCE NEEDS.doc](#)
- [APU SC CFSP COVER PAGE.doc](#)
- [APU SC PINS Diversion Services Plan Template.doc](#)

## **2009 APU Administrative Component Templates**

- [APU AC APPENDIX A LEGAL ASSURANCES DEPARTMENT OF SOCIAL SERVICES.doc](#)
- [APU AC APPENDIX C 2008 ESTIMATES OF PERSONS TO BE SERVED.doc](#)
- [APU AC APPENDIX D NON-RESIDENTIAL DOMESTIC VIOLENCE SERVICES.doc](#)
- [APU AC APPENDIX E CHAFEE FOSTER CARE INDEPENDENCE PROGRAM.doc](#)
- [APU AC APPENDIX F PROGRAM INFORMATION.doc](#)
- [APU AC APPENDIX G-1 CHILD CARE SECTION.doc](#)
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- [APU AC APPENDIX G-4 District Options.doc](#)
- [APU AC APPENDIX G-5 PRIORITY POPULATIONS-ADDITIONAL LOCAL PRIORITIES.doc](#)
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- [APU AC APPENDIX G-8 ADDITIONAL LOCAL STANDARDS FOR CHILD CARE PROVIDERS.doc](#)
- [APU AC APPENDIX G-9 Payment to Child Care Providers for Absences.doc](#)
- [APU AC APPENDIX G-10 Payment to Child Care Providers for Program Closures.doc](#)
- [APU AC APPENDIX G-11 TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, SLEEP.doc](#)
- [APU AC APPENDIX G-12 CHILD CARE WAIVERS, ETC.doc](#)
- [APU AC APPENDIX H CHECKLIST.doc](#)

- [APU AC Child Care Technical Assistance.doc](#)

## **2009 APU Administrative Component - Youth Bureau Template**

- [2009 APU AC YB APPENDIX A Checklist Template.doc](#)

## **2009 Final APU Guidelines**

- [2009 APU Administrative Component Instructions - LDSS.doc](#)
- [2009 APU Administrative Component Instructions - Youth Bureau.doc](#)
- [2009 APU Child Care Technical Assistance Guide.doc](#)
- [2009 APU Components Cover Page.doc](#)
- [2009 APU PINS Diversion Services Plan Instructions.doc](#)
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