

NEW YORK STATE
DEPARTMENT OF SOCIAL SERVICES

DIVISION OF SERVICES AND COMMUNITY DEVELOPMENT

G U I D E L I N E S

f o r t h e

A N N U A L I M P L E M E N T A T I O N R E P O R T

November 1996

OVERVIEW

The organizing feature of the planning process for submission of the Annual Implementation Report (AIR) continues to be the State Goal Statements which provide a statewide vision and direction for family, children and adult services. The State Goal Statements provide a strong focus for planning, yet they are purposely broad enough to encompass all of the services for which the social services district is responsible and allow the social services district to define its unique issues. The social services district also has the option of including additional information as may be determined locally to clarify or strengthen the plan's local agenda setting function. The AIR planning activities continue to support a partnership between the State and the county for meeting shared goals and outcomes.

Local goals and activities for each service type are not required. Instead, the social services district will be required to decide how various services should be strengthened, developed or maintained in order to support efforts to achieve the projected outcomes. These deliberations are to be conducted in consultation with the community and with the support of Department staff.

The Department is cognizant of the issues for planning in an environment that includes managed care, welfare reform, the Family and Children's Services Block Grant, CONNECTIONS, decreases in Title XX funding, etc., with some decisions and directions yet to be determined. Given those factors, the Department has attempted to develop requirements for the AIR which meet the statutory and regulatory requirements in the least burdensome way, and continue to maintain the focus on improved outcomes to strengthen New York's families, children and adults.

Social services districts with a multi-year Consolidated Services Plan (CSP) scheduled to end December 1996 or part way through the 1997 calendar year, may request an extension to their multi-year Consolidated Services Plan (CSP) with the submission of an Annual Implementation Report. The Department would encourage those social services districts to request a two-year extension. Social services districts with a multi-year CSP which ends in December 1998 or part way through the 1999 calendar year will probably have the opportunity to request a one-year extension next year.

Extremely important even with a condensed approach to planning is community involvement or public participation. The public hearing continues to be a required part of the process as well as the consultation required for child protective services, protective services for adults and child welfare services.

To assist the social services district in meeting the requirements for submission of the AIR, standardized formats have been provided. The use of these worksheets is optional; however, social services districts should review the forms to get a sense of the acceptable scope and brevity of the required information.

The Department's review of the AIR will be guided by its interest in assisting the social services district in shaping the most effective agenda possible. The Commissioner's approval represents a commitment to work closely with the social services district in implementing the AIR.

Following is a brief description of changes that have been made for this year's AIR submission.

- o A requirement to address child welfare services related to Native American children and families is included as a result of changes in federal Title IV-B requirements. The State Goal Statement and descriptive material can be found in Section 7 of the Annual Progress and Services Report for FFY 96-97 which was sent to each social services district in October 1996.
- o The Organizational Chart requirements will be deemed to be met by the social services district's assurance that DSS-3624, "Report of Staff Charged to Functions", submitted to the Bureau of Data Management and Analysis is current.
- o Appendix F has been modified to incorporate information about the relationship between specific service categories and the outcomes and strategies devised by the social services district as well as the estimate of expenditures. This information was captured previously on Appendix C.
- o The form to report changes to the TASA program has been eliminated.
- o Information regarding the agreement between the social services district and the district attorney's office related to child protective services may be required.
- o Assurances have been expanded to include reference to program requirements previously required to be submitted in more detail.
- o While prior Department approval is still required for entering into a Public Purchase contract for preventive services, the request/approval process has been removed from the AIR.

Content of the AIR

For the AIR, the information is to be included as specified in the instructions. At a minimum, the required information must be submitted.

Worksheets/Optional Formats

- * Introduction Page (Required)
- * Update to the Needs Assessment (Optional)
- * Goal 5: Indian Child Welfare (Required)
- * Progress in Meeting Outcomes (Required)
- * Strategies for 1997 (Required)

- * Summary Listing of Outcome Statements (Optional)
- * Implication for Future Staff Development (Optional)
- * Child Day Care Update. (Required as specified. No worksheet included in Guidelines)
- * Non-Residential Domestic Violence Services (Required only for changes since previous submittal in the current CSP)
- * Understanding with the District Attorney's office (Required if changed since previous submittal in the CSP. No worksheet included in Guidelines.)
- * Public Hearing and Agency Consultation (Required)

Appendices

- * Appendix B: Estimate of Persons To Be Served (Required only if the social services district does not seek a waiver. The Appendix B waiver is included on the Commissioner's signature page)
- * Appendix D: Assurances (Required)
- * Appendix F: Program Information Matrix, Outcomes/Strategies, and Estimate of Expenditures (Required)

Signature Pages

- * Commissioner Signature Page (Required)
- * Signature of the chief elected officer of the county or the chairperson of the legislative body in those social services districts without a chief elected official (Required)

Criteria for Approval

1. All of the State goal statements were considered in developing the AIR.
2. The AIR is internally consistent (outcomes and strategies continue to relate to the CSP needs assessment or any new information incorporated in the AIR).
3. The AIR complies with requirements of the planning process, including those addressing community involvement.
4. The AIR contains all required information and required enclosures.

Submission

The original and two copies of the AIR are to be submitted to the Commissioner. At the same time, two copies of the AIR should be sent to the appropriate Regional Office for Family and Children Services. Please number all pages in your submission. The AIR may be submitted electronically via OFISLINK with information available only in hard copy being submitted simultaneously. All of the forms and optional worksheets are contained in the SCD file of the E-FORM drawer in the Electronic Library.

The addresses are as follows:

Acting Commissioner Brian J. Wing
New York State Department of Social Services
40 North Pearl Street
Albany, New York 12243
(0co040)

Mr. Fred Levitan
Acting Director
Metropolitan Regional Office
NYS DSS Family and Children
Services
80 Maiden Lane
New York, New York 10038
(72w035)

Mr. William McLaughlin,
Director
Albany Regional Office
NYS DSS Family and Children
Services
3 City Square
Albany, New York 12243
(0fn010)

Mr. Jack Klump, Director
Syracuse Regional Office
NYS DSS Family and Children
Services
351 South Warren Street,
5th floor
Syracuse, New York 13202
(89w005)

Ms. Linda C. Brown, Director
Buffalo Regional Office
NYS DSS Family and Children
Services
Ellicot Square Building
Room 838
Buffalo, New York 14203
(89d421)

Ms. Linda Kurtz, Director
Rochester Regional Office
NYS DSS Family and Children
Services
259 Monroe Avenue
Rochester, New York 14607
(0fh010)

Questions concerning the content or process for completing the AIR that are related to Family and Children Services should be directed to the appropriate Regional Office and questions related to Adult Services should be directed to the Office of Housing and Adult Services. A listing of Division contact names and phone numbers for each social services district is included as Attachment A.

Planning Calendar

The AIR will be due January 31, 1997 for social services districts that are operating on a calendar year currently, or 90 days prior to the end of the social services district's current yearly cycle if it covers a period of time other than the calendar year.

The AIR will project service delivery for the subsequent appropriate 12 month period as established in the current CSP cycle. The AIR will report, at a minimum, on progress made during the previous plan cycle year.

INSTRUCTIONS

As in previous years, worksheets are provided for much of the information. The social services district has the option of utilizing these worksheets or using their own format. All information required by the worksheet and the instructions must be included in the social services district's submission. The social services district should review the forms to get a sense of the acceptable scope and brevity of the information.

Appendix B information, if the social services district opts not to request a waiver, may be submitted in Appendix B or alternative format.

Appendix D information should be submitted exactly as included in these Guidelines.

Appendix F Program Information must be submitted on Appendix F. The Outcomes/Strategies and Estimate of Expenditures included on Appendix F, while preferably should be submitted on Appendix F, may be submitted in an alternative format if it is more convenient for the social services district.

Attachment B, "Checklist for Submission", is required to be submitted. In the first column, please indicate the page number(s) of the materials submitted. For those materials where submission is optional, please note in the second column that no material is submitted. Please refer to the instructions for more details about the information required to be submitted.

The update to the needs assessment and the summary listing of county outcomes have titled pages developed, copies of which are included in the guidelines. These pages can be found in the electronic file noted earlier on page 4 in these Guidelines and a hard copy is included for your convenience.

If you need more detailed information to guide you in developing some of the elements of the AIR, please refer to the Consolidated Services Plan Guidelines of October 1994. The requirements of these November 1996 Guidelines supersede the requirements in the October 1994 Guidelines in those situations where the requirements in these guidelines are different than in the previous guidelines.

Following are instructions about the worksheets included in the Guidelines. For ease of writing these Guidelines, reference is to required information for the worksheets. The social services district is not required to use the worksheets and may submit information in other formats.

Update to the Needs Assessment (Optional)

This would be submitted if the social services district wishes to update the needs assessment which was submitted in the CSP. The social services district may wish to address any major issues that have emerged since the submission of the CSP. This section would form the background for any new or changed priorities or Outcomes and should provide a clear picture of the issues and concerns which the social services district seeks to address. Please indicate on the form the State Goal Statement(s) to which the updated needs assessments is related.

For those social services districts which made a commitment to perform additional needs assessments activities during different or the planning cycle, the needs assessment should be submitted during the appropriate plan year.

Goal 5: Indian Child Welfare (Required)

A State Goal Statement related specifically to Indian Child Welfare is incorporated in response to federal Title IV-B requirements. The social services district will need to develop an outcome(s) related to this population.

This worksheet provides two options for the social services district to address its outcomes and strategies specifically related to Native American children and families.

- o The social services district may amend existing Outcomes/Strategies to include specific reference to Native American children and families. Check the first box on this worksheet and then make appropriate changes to the existing Outcome.
- o The social services district may develop an Outcome specifically to address this State Goal Statement. Check the second box and complete the remainder of the worksheet.

Indicate the State goals which will be addressed by this new Outcome, in addition to F&CS #5, if applicable.

Identify the County Outcome # in accordance with the system the social services district has developed for the CSP and then state the Outcome.

Identify the indicators that will be used to track the district's progress.

Describe the Strategies that will be used over the remainder of the planning cycle.

Progress in Meeting Outcomes, and Strategies Planned (Required)

This worksheet is a guide for reporting on the progress that the social services district has made toward meeting each county-specific Outcome identified in the CSP, using the measurable indicators which were identified to monitor progress. The social services district needs to report on the progress made, on any changes that may need to be made in the Outcome or the measurable indicators, and any changes to be made in the implementation of the Strategies for the 1997 AIR year.

For each Outcome, identify the county Outcome # and state the measurable Outcome. Indicate the State Goal Statement the Outcome is related to, including F&CS #5 if the Outcome will address the Indian Child Welfare issues. An Outcome must be expressed as a measurable change in the status of individuals or groups of individuals.

Section 1: Discuss the progress made for at least the previous 12 month period, referring to the indicators that were identified in the CSP as your measures. Outcomes are linked to one or more measurable indicators that enable the social services district to track its progress in meeting the outcome.

Section 2: Changes may need to be made to the CSP Outcomes submitted previously, based on any emerging problems or issues in the community or based on the results of the measures that were selected. If needed, the needs assessment may be updated to reflect changes.

- o Check the appropriate box if the Outcome will continue as submitted in the CSP; or
- o Indicate that this Outcome will be changed and provide a narrative description of the change.

Section 3: Indicate the County Outcome # and the Strategy numbers that are to be implemented in 1997 related to the Outcome.

- o Check the appropriate box if the Strategies will continue as submitted in the CSP; or
- o Indicate that a Strategy will be changed and provide a description of the revised or new Strategy. Describe the level of proposed change in service utilization or capacity and identify key actors/agencies to be involved in implementation, if changed.

Strategies are the activities the social services district proposes to undertake in order to achieve its stated Outcome(s). Changes in Strategies may or may not result in changes in the service utilization or capacity or in the key actors or agencies that will be involved. Please indicate "no change" if any aspect is not to be changed, or provide a discussion of those areas that will be changed.

It is important to keep in mind the length of the multi-year planning cycle you selected. The multi-year cycle offers the social services district broad flexibility in structuring and prioritizing its actions. The strategies related to one or more of the State Goal Statements and county Outcomes may commence in later years of the plan cycle, depending on the length of the planning cycle established.

Strategies that were proposed for this coming year in the CSP may have been in formative stages when the CSP was developed, and will need to be developed at this time.

Social services districts who take the option of requesting an extension of the Consolidated Services Plan will need to review their Outcomes and Strategies carefully. The CSP was developed with the expectation that December 1996 would be the end of the planning cycle with outcomes and strategies being completed within that timeframe.

Summary of Outcomes (Optional)

It may be useful, in some format, to include an overview of the outcomes included in the AIR. If you included a summary of outcomes in the CSP, an updated version may be included in the AIR.

Implications for Future Staff Development (Optional)

The social service district has the option of providing to the Department an assessment of the kinds and level of training support that will be needed to implement proposed strategies. To the extent resources are available, the Department seeks to promote and strengthen the link between services planning and staff development planning. In assessing training needs, the social services district should think about the full range of potential trainees, including case workers, foster and adoptive parents, volunteers, supervisors, contract agencies, and workers from other service systems.

The Department strongly encourage the involvement of your staff development coordinator in this process. Department staff from the Office of Human Resource Development are available to assist social services districts in structuring an in-depth training needs assessment. This reference in the AIR does not serve as an application for specific training programs, but does give social services districts a more integrated mechanism for defining trends and shaping training priorities for subsequent year(s). It will augment information gathered by the Office of Human Resource Development through other aspects of the training needs assessment process.

Child Day Care (Required as specified. No worksheet included in Guidelines.)

The information contained in child care charts in the previous JOBS Plan is required to be updated and submitted only if that information has changed since the previous submission. The information may be submitted in the JOBS Plan format.

The social services district must complete the day care information in Appendix F whether or not they are proposing changes. Enter the required information under Day Care (38) and include the appropriate income standards and the fee percentage on the last page of Appendix F.

Non-Residential Domestic Violence Services (Required if changes)

This worksheet is required only for changes which have occurred since the CSP submission. Please note that an assurance has been included in Appendix D stipulating that the social services district has reviewed Department regulations related to Non-Residential Domestic Violence Services. In designating an agency as a non-residential domestic violence service provider, the social services district must assure that this provider meets the standards defined in 18 NYCRR Part 462.

Understanding with the District Attorney's Office (Required if changes)

The social services district is required to submit a summary of the understanding with the District Attorney's office if such understanding has changed since a previous submission in the CSP. The 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.

Public Hearing and Agency Consultation (Required)

Public Hearing: The following requirements established by statute must be met: Section 34-a.3(a) of the Social Services Law requires at least one public hearing to be held at least 15 days prior to submission of the AIR to the Department. Section 34-a.3(a) requires the district to advertise the public hearing at least 15 days in advance and the notice of such a hearing must specify the dates and times during the public hearing(s) when the Child Protective Services, Adult Services and Family and Children's Services components of the AIR are to be considered.

The social services district must make available at the hearing(s) either copies of relevant material or copies of the completed draft AIR, depending upon whether the hearing is being used in the development or review phase.

The worksheet provides a format to report on the first page:

- o the date(s) of such hearing(s);
- o the number of persons who attended;
- o identification of the areas of interest represented at the hearing; and
- o a discussion of the issues raised and the impact on the service delivery system.

A copy of the notice published in a newspaper of general circulation within the county in which the hearing was held must be submitted.

Agency Consultation

Protective Services for Adults: Section 34-a.4 and Sections 473.2(a) and (b) of the Social Services Law require that in the development of the Protective Services for Adults component of the AIR, social services 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.

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

Child Welfare Services: Sections 34-a.4 and 409.2-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 AIR, the social services district must consult with other government agencies concerned with the welfare of children residing in the district, 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, boards of education, and legal and law enforcement agencies.

Please indicate on the Worksheet the following information regarding Agency Consultation for each of the areas, Protective Services for Adults, Child Protective Services and Child Welfare Services the following:

- o specific agencies represented;
- o number of meetings held, or frequency of meetings if they are held on a regular basis, or dates of meetings; and
- o a discussion of the issues raised and the impact on the service delivery system.

Examples of these agencies and organizations from the several mandated areas are as follows.

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, school health clinics, 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 and children.

Legal: Representatives from legal aid organizations, the courts, Department of Probation, the legal advocacy attorney from the area agency on aging, the County Attorney's office, the Family Court judge and the district 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.

Youth/Children: Youth bureaus or boards, Family Court judges, department of probation, mental health agencies serving children and youth, Salvation Army, YWCA, YMCA, societies for the prevention of cruelty to children, not-for-profit agencies serving children and families,

The second page of the worksheet is a matrix which reflects agency consultation and indicates those consultations that are required. Please enter the names of the agencies and other entities with which you have consulted, including information about the number of meetings, the frequency of meetings or the dates of meetings. Please discuss the issues raised and their impact on the service delivery system.

Checklist for Submission

Please submit this form as part of the Annual Implementation Report

	Submitted Page Number(s)	Not Submitted
Introduction Page (Required)		
Update to the Needs Assessment (Optional)		
Goal 5: Indian Child Welfare (Required)		
Progress in Meeting Outcomes (submit one for each outcome) (Required)		
Section 1: Progress Toward Achievement of Outcomes		
Section 2: Changes to Outcomes		
Section 3: Strategies to be implemented in 1997		
Summary Listing of Outcome Statements (Optional)		
Implication for Future Staff Development (Optional)		
Child Day Care Update (Required, as specified)		
Non-Residential Domestic Violence Services (Required if changes)		
Understanding with District Attorney's Office (Required if changes)		
Public Hearing and Agency Consultation (Required)		
Appendix B: Estimate of Persons to Be Served (Required unless waiver requested)		
Appendix D: Assurances (Required)		
Appendix F: Program Information Matrix, Outcomes /Strategies and Estimate of Expenditures (Required)		
Commissioner Signature Page (Required)		
County Executive/ Chief Elected Official Signature Page (Required)		