

**Guide to
The Stability for Teens and Permanency Initiative**

Effective July 1, 2011



Michael R. Bloomberg, Mayor
John B. Mattingly, Commissioner

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PART 1 – INTRODUCTION AND INSTRUCTIONS ON USE

1.1 GENERAL GUIDELINES

This Fiscal Manual / Guide contains fiscal policies that your agency must comply with as referred to in your Human Services Contract with the Administration for Children's Services (ACS). The topics included in this Manual include but are not limited to – budget, payment, financial records, reporting, invoicing, allowable use of funds, cost allocation plans, and audits. Agencies should refer to the ACS public website for the most current version of the ACS Fiscal Manual.

PART 2 – BUDGET

2.1 BUDGET AND PROGRAM DESIGN

Each agency will submit a budget and program narrative describing the programs and/or services they will fund with the dollars provided. The program description should explain how the additional funds would help expedite safe discharges and prevent re-entries for children in care. The description should also describe the target population for your funding, and/or how your agency plans to identify children/families who will receive services. Children's Services will not be providing a budget form. However, below are basic budget guidelines to assist agencies in preparing their budgets. Services/activities provided through this program initiative:

- must exclude and be distinct from the service planning and delivery that are currently funded through an agency's foster care MSAR;
- agencies must track their Stability Initiative for Teens / Permanency Initiative funding separately from MSAR per diem payments received for foster children in their care;
- and, for OCFS Standards of Payment reporting, Stability Initiative for Teens / Permanency Initiative expenditures must be specified in a separate cost center.

Any expense that is reimbursed with Stability Initiative for Teens / Permanency Initiative dollars must be supported by a record of cases that received services and for which required casework contacts were made and preventive POS lines were opened. Preventive staff is required to do a set number of case contacts whenever a new case is created. Those cases which fall under the COPS waiver will be exempt from this requirement.

2.2 FUNDING METHODOLOGY

2.2.1 Permanency Initiative (formerly Aftercare/Reinvestment)

Allocation

Maximum annual reinvestment allocation will be determined based on a projected census number based on current data in April preceding the fiscal year.

Performance Criteria

FY12 and FY13 Permanency Initiative allocation will be based on two or three areas of performance.

In both years, 40% of funding is guaranteed, and 60% is performance based. The three areas are:

- Reunification, adoption or freeing of children in care for more than 2 years that were not freed for adoption as of 8/1/2010
- Permanency rates (adoption or reunification) for children in freed, active foster care status as of 8/1/2010
- Overall permanency discharge rate (FY13 only)

Percent of Total Reinvestment Allocation	Performance Criteria Definition	FY12 Funding Target	FY13 Funding Target
30% in FY12, 20% in FY13	Reunification, adoption or freeing of children in care for more than 2 years For children in care more than 2 years that were not freed for adoption as of 8/1/2010:	<ul style="list-style-type: none"> 20% will be freed and placed in a pre-adoptive home or achieve permanency by 3/31/2011 <p><i>Current average system performance is approximately 15%, range is 4%-29%</i></p>	<ul style="list-style-type: none"> 40% will be freed and placed in a pre-adoptive home or achieve permanency by 12/31/2011 <p><i>Current average system performance is approximately 31%, range is 17%-45%</i></p>
30% in FY12, 20% in FY13	<i>Permanency rates (adoption or reunification) for freed Children</i> For children in care on 8/1/2010 who are freed for adoption:	<ul style="list-style-type: none"> 40% will be adopted or reunified by 3/31/2011 <p><i>Current average system performance is approximately 31%, range is 16%-60%</i></p>	<ul style="list-style-type: none"> 65 % will be adopted or reunified by 12/31/2011 <p><i>Current average system performance is approximately 51%, range is 25%-82%</i></p>
0% in FY12, 20% in FY13	<i>Permanency Discharge Rate</i> Number of children discharged to reunification (trial or final) or adoption divided by all children in active status on first day of the year and new admissions	N/A	<ul style="list-style-type: none"> 30% permanency discharge rate for January 1, 2011- December 31, 2011
40% in FY12, 40% in FY13	<i>Guaranteed Funding</i>	N/A	N/A

Partial Funding

Partial funding will be available each period. If an agency falls short of achieving the system-wide target, but reaches the midpoint of the difference between its historical and current performance, partial funding will be granted.

Other Outcomes

In addition to permanency targets, re-entry rates will also be looked at regularly in order to ensure that timely reunifications and adoptions are not resulting in more re-entries into foster care.

2.2.2 The Stability Initiative for Teens

Allocation

FY12 maximum allocations will be allocated based on the proportion of total placements of youth age 12 and over into foster homes for each agency as compared to the system-wide total between April 1st, 2010-March 31st 2011 multiplied by the total available funds. All teen foster home placements – direct, step-downs or lateral transfers – will be included for each agency.

Performance Criteria

The performance period for step-ups and lateral moves will also be April 1st 2010-March 31st 2011, and will be the same as the current year. There will be a 50% reduction to your maximum allocation if an agency does not meet their step-up target and a 20% reduction to the maximum allocation if an agency does not meet the lateral move target.

In order to achieve full funding agencies needed to achieve a:

- Step-up rate at or below 4%
- Lateral move rate to 37% or less
- Average number of moves per youth to 1.6 or less

2.3 GENERAL GUIDELINES

2.3.1 Expense Line Items

Personnel Services: Include a detailed backup on all personnel, a job description, salary information and their full time equivalent (FTE) status. Consultants should be listed separately and itemized.

Fringe Benefits: Fringe rates should be consistent with your other Children's Services' program budgets.

Client Services: Client services should be itemized. These services may include; vocational training, academic support, housing services, transportation, clinical services, health services, etc.

Purchased Services: If an agency is purchasing "aftercare" services or purchasing from a preventive and/or another community based provider, please itemize these services in either the Client Services and/or the Consultant section of your budget. Funding for services such as Child Care, Homemaking and Preventive on top of those already contracted can be paid for with the Stability Initiative for Teens and the Permanency Initiative funds.

Administrative Overhead: If you must use any portion of your Stability Initiative for Teens and Permanency Initiative dollars for overhead, please provide written justification. Please ensure that the cost allocation plan that you submit identifies these costs.

Rent: We realize that you might need to allocate some of the Stability Initiative for Teens and the Permanency Initiative allocation to cover rent expenses or space cost agreement, however bear in mind the census targets need to be achieved. ACS must have a copy of all lease documents.

Other Than Personnel Services (OTPS): These are expenses that are necessary for the direct operation of the program; this does not include overhead expenses. OTPS items include supplies, telephone, fax machines, etc. All OTPS items need to be itemized.

The following is a list of non allowable OTPS items

1. Any services not necessarily and actually incurred in the performance of the program.
2. Purchase of real property.
3. Cost of meals for employees, except in travel status or except as otherwise specifically authorized by ACS.
4. Payment to any profit-making firm, company, association, corporation or organization in which a member of the Board of Directors of the Contractor or a member of his/her immediate family has any ownership or control or financial interest. For the purposes of this paragraph "**ownership**" means ownership of more than three percent (3%) of the assets, stock, bonds or other dividend or interest-bearing securities, and "**control**" means being a member of the Board of Directors or other governing body, or an officer.
5. Any expense incurred for travel in excess of travel expenses allowable under the Contractor's travel guidelines.
6. Any expense which violates any provision of the contract.
7. Loans to employees, board members and officers

2.3.2 Budget Approval - Children's Service's Division of Policy and Planning must approve all budgets and program justifications.

2.3.3 Budget Changes - Children's Service's Division of Policy and Planning must approve all changes budgets and program justifications.

2.3.4 Cost Allocation Plan - Agencies should fairly and accurately allocate costs between Children's Services programs. The allocation method must be based on expense type (square footage for space cost, full time equivalent (FTE) or working hours for personnel costs, etc.). For each such employee, providers must show the current salaries, all sources of their funding, whether from Children's Services contract or another City, State, Federal or private source, the dollar amount of funding from each such source. Allocation of cost among programs should be documented. Agencies should describe how costs will be allocated among programs for shared operating expenses such as rent, electricity, or telephones.

2.4 BUDGET SUBMISSION REQUIREMENTS

Each agency will submit a budget and program narrative describing the programs and/or services they will fund with the dollars provided. The program description should explain how this funding would help expedite safe discharges and prevent re-entries for children in care. The description should also describe the target population for your funding, and/or how your agency plans to identify children/families who will receive services provided with this funding. Children's Services will not be providing a budget form; however, below are basic budget guidelines to assist agencies in preparing their budgets. Please note that services/activities provided through this program initiative:

- must exclude and be distinct from the service planning and delivery that are currently funded through an agency's foster care MSAR;
- agencies must track their Stability Initiative for Teens and Permanency Initiative funds separately from MSAR per diem payments received for foster children in their care;
- for OCFS Standards of Payment reporting, Stability Initiative for Teens and Permanency Initiative expenditures must be specified in a separate cost center identified as Children's Services' Stability Initiative for Teens and Permanency Initiative.

Allowable items include, but are not limited to:

- Community advocates that provide frequent and culturally competent support to the family, including home visits
- Day care/child care ⁽¹⁾
- Drug/alcohol abuse treatment and counseling
- Educational advocacy Family counseling
- Homemaker services
- Housing services ⁽²⁾
- Intensive, home-based services
- Linkages to after-school programs and other opportunities for interest development
- Mental health treatment
- Parent aides
- Parent training
- Respite care, or other crisis supports for new adoptive and newly reunified families
- Tutoring
- Vocational services for youth
- Youth mentoring

Any expense that is reimbursed with the dollars provided must be supported by a record of cases that received services and for which required casework contacts were made and preventive POS lines were opened. Preventive staff is required to complete a set number of case contacts whenever a new case is created. Those cases which fall under the COPS waiver will be exempt from this requirement.

Please submit your completed budget and narratives to:

**NYC Children's Services
Financial Services
ACS Director of Budget Analysis and Management
150 William Street, 10th Floor
New York, NY 10038**

(1) Agencies should utilize existing, funded child care resources where possible.

(2) If housing assistance takes the form of a housing subsidy, agencies should first seek resources from the Children's Services Housing Subsidy Unit. To the extent that housing assistance is needed beyond that level, agencies using the Stability Initiative for Teens and the Permanency Initiative funds for this purpose must ensure compliance with NYS regulations that govern the allowable subsidy amount that can be provided to each family. Agencies may also refer to the Children's Services Housing Subsidy Unit for guidance on this issue.

PART 3 - FINANCIAL RECORDS AND INTERNAL CONTROLS

3.1 REIMBURSEMENT OF ACTUAL EXPENDITURES/RECONCILIATION

Expenses for the purchase of goods and services are reported based on actual cash disbursements made by your program. For example, reimbursement requests for expenses such as consultants, vocational training, and academic support must be based upon actual expenditures, not upon estimated costs per employee or participant. The ORIGINAL Monthly Expense Report, the Child-Specific Schedules, and the Summary Child Specific Schedules are all needed for Children's Services Payment Services to process your reimbursement. Children's Services Payment Services will not reimburse expenses that exceed the overall Budget Plan. Children's Services will reconcile with the agencies, on an as-needed basis.

3.2 BOOKKEEPING AND ACCOUNTING

Accurate books, records, and documentation of financial transactions should be maintained to substantiate all costs. These records must be retained for a period of seven years after the date of final payment or termination of a contract. All accounting records are subject to audit.

3.3 ACCRUAL ACCOUNTING

Contract agencies are required to use the accrual basis of accounting to track all costs that relate to their program. Cash receipts and cash disbursements are recorded on a monthly basis. For the last month of the fiscal year (fiscal year ending June 30th) to reflect the liability, all expenses whether paid or unpaid should be accrued.

3.4 INTERNAL CONTROLS

Contract agencies must maintain adequate internal controls that safeguard funds, avoid unauthorized transactions, and prevent thefts of assets bought with Children's Services funds. Examples of adequate internal controls include: prohibitions on issuing ATM cards for access to publicly funded accounts; two signatures are required for checks, and submission of written purchase requests and approvals for payment from the Director and Board representative(s).

3.4.1 Improper Use of ACS funds Use of ACS funds are limited to ACS program expenditures. Provider fiscal manuals / procedures should contain the below prohibitions. Providers are prohibited from using ACS funds for the following purposes -

1. Salary advances to employees
2. Payments to employees in lieu of vacation
3. Loans to employees

3.5 BANK ACCOUNTS OR GENERAL LEDGER ACCOUNTS

Contract agencies are required to maintain a separate account in a bank and a separate account in the general ledger for program funds. Initial advances received should be deposited in an interest-bearing account. Interest earned on unused funds in excess of \$250 must be reported and returned to Children's Services.

3.6 BACK-UP DOCUMENTATION

Agencies must keep original documentation on file to substantiate requests for reimbursement. Examples of appropriate documents are invoices, bills, receipts, etc. These documents must be available for on-site audit review.

Payroll Documentation

- Payroll reports detailing PS expenditures for program staff
- Properly authorized timesheets showing percentage of effort for each of the positions listed in the personnel services of your approved budget
- Time allocation system that allows reporting of hours actually worked by staff on Children's Services contract

Accounts Payable

- Accounts payable bank statements detailing cash disbursements and cancelled checks
- General ledger trial balance reports that detail opening balances for the start of the reporting period, changes throughout the month, and closing balances at month's end
- Original source documentation such as purchase orders, invoices, and receipts
- Details of competitive bids for equipment purchases and renovations
- Descriptive narrative explaining purpose of expenditures and number of units purchased

3.7 MONTHLY EXPENSE REPORT – APPENDIX A

3.7.1 Report Summary - The Monthly Expense Report is used by Children's Services Payment Services to generate payments and to track an agency's expenses against the approved budget plan. This report can also be used by agencies to track agency spending against the budget. The Monthly Expense Report shows all cash expenditures for the reporting period. The format corresponds to the approved budget for your program.

3.7.2 Due Date - Invoices for actual expenses incurred in any one month shall be submitted to ACS by the Contractor within thirty (30) days after the end of each month in which such expenses were incurred. If the Contractor fails to provide ACS with the required invoices for the amounts incurred sixty (60) days after the date invoices are due and/or if the Contractor fails to provide invoices in a manner acceptable to ACS in accordance with this Fiscal Manual sixty (60) days after the date invoices are due, ACS, may, at its sole option, disallow such invoices. If the Contractor invoices ACS for non-allowable expenses, ACS, may, without any prior notice to the Contractor, disallow such amounts from the Contractor's invoice(s) and pay the remaining allowable expense amounts, if any.

3.7.3 Completing the Monthly Expense Report

Budget Categories and Items [Column A] - Budget categories are the major classifications of expenses. Some categories may include but are not limited to: Personnel Services (PS), Client Services, and Other Than Personnel Services (OTPS). If your agency has other budget items insert them on the expense report sheet.

Within each category, funds are allocated for specific expenses. Expenses are delineated on separate budget items. (e.g., salaries, fringe benefits, consultants, etc.).

Expenditures This Month [Column B] - List the amount expended for each item on the budget. If no funds were expended, leave line blank.

Prior Months Total Expenditures [Column C] - List cumulative total of funds expended during prior reported months in the fiscal year.

Expenditures Year-To-Date [Column D] - For each budget item, list the funds expended in all prior months plus expenses for the current reporting month. (Column D = Column B + Column C)

Current Approved Budget [Column E] - For each budget item, insert the amount listed in your current approved budget.

Remaining Balance [Column F] - Determine the balance of available funds per budget line by subtracting the amount expended year-to-date (Column D) from the amount budgeted (Column E).

3.7.4 Report Submission - Please submit original copy of the Monthly Expense Report and Child Specific Schedules and Summary Child Specific Schedules to:

**NYC Children's Services
Executive Director, Payment Services - Child Welfare
Payment Services
150 William Street, 9th Floor
New York, New York 10038**

3.8 CHILD-SPECIFIC INFORMATION SCHEDULES - APPENDIX B

3.8.1 Completing the Child Specific Schedules - There are two (2) child specific schedules your agency needs to complete and submit to Children's Services. Use the following service categories to group the children for whom your agency has provided services during the reporting month:

Service Category #1 = Children currently in care
Service Category #2: = Children in final discharge status

For each service category list:

- Name of Child (last name, first name)
- CIN#
- DOB (Date of Birth)
- Note if the child is over or under 18.
- Special for Category #2 Children in final discharge status: a new subset "COPS (under 18 years old)" was added for children on FINAL DISCHARGE only. Children under 18 and their families who have service needs following a discharge involving reunification or other discharge to relative or permanent resource. Children in this category require no POS or UCR. The COPS category is currently in effect only until June 30, 2006. At that time agencies will be notified if the COPS category will continue to be utilized in FY 2007.
- Specify total child count at the bottom of the Schedule for each service category.

3.8.2 Completing the Contract Agency Summary Child Specific Schedules

Number of Children: Enter the total number of children from each service category subsets (A): the under 18 years old and (B) the over 18 years old from the appropriate schedule. The total child count must be the same as stated in each individual schedule.

Percentage [%]: Calculated based on the sum of two (2) service categories and its subsets. In other words, percentage equals the Child count of each service category subset/ total number of children:

[Category 1 Percentage] = [number of Children in Category 1]/[All children in care]

Total Expense: The total amount of the **Expenditure This Month** on your monthly spending report is utilized to calculate the allocation. List the expense allocated to each service category subset:

[Total Expenses] = Grand Total of Expenditure This Month (Monthly Expense Report)] * [Percentage of each Service Category subset (Summary Child Specific Schedules)]

The Summary Child Specific Schedules must be signed and dated by the fiscal director of your agency as a form of certification.

PART 4 – CLAIMING AND PAYMENTS

4.1 GENERAL GUIDELINES

See Part 3 (Financial Records and Internal Controls)

PART 5 – PROCUREMENT

5.1 GENERAL GUIDELINES

Contractors are responsible for adhering to the rules and regulations in the ACS Preventive Services Budget guides distributed each fiscal year.

Contractors are required to maintain a Fiscal Manual that includes all aspects of financial management, including internal controls, as it relates to ACS contracts, including but not limited to:

- Employee Compensation, salary and bonuses
- Vacation/Sick Leave Policy
- Petty Cash disbursement
- Conflict of interest statement (must include statement of the hiring of relatives)
- Loans to employees (It is prohibitive to use ACS funds for this purpose)
- Employee Payroll
- Maintenance of books and records
- Bank accounts and reconciliations

OMB CIRCULAR A133 REQUIREMENTS

Agencies are responsible for ensuring that all OMB Circular A133 requirements and all Children's Services requirements are met. Children's Services will distribute instructions for Preventive Services at the end of fiscal year.

BUDGET CLOSEOUT

Budget closeout will be performed by Children's Services reconciling the actual expenditures to the budget. Agencies are required to submit the required schedules in order to be in compliance with closeout requirements. Children's Services will distribute closeout instructions for Preventive Services at the end of fiscal year.

PART 6 - TAXES

6.1 GENERAL GUIDELINES

Contractors will be responsible for all required reporting and payments as defined by City, State and Federal laws.

PART 7 – AUDITING

7.1 FISCAL REVIEWS

While agencies are not required to submit copies of invoices, receipts, and checks with the monthly expense reports, these records and your accounting books are subject to audit and must be available for review by the Administration for Children's Services, New York City Comptroller's Office, the New York State Comptroller's Office, the Federal Department of Health and Human Services and other governmental agencies. Agencies are required to keep fiscal records for at least seven (7) years.

Expenses related to the Stability Initiative for Teens and Permanency Initiative should be shown on the agency's books and records in a separate cost center. A specific account should be designated for these expenses on the agency's general ledger and must be added to the agency's chart of accounts. The expenses should also be reported on the Standard of Payment (S.O.P.) in a separate column titled, "Children's Services Stability Initiative for Teens and Permanency Initiative".

7.1.1 On-Going Audit Review - The following items should available be for review during field visits:

- Preparation of each monthly bank reconciliation
- Accuracy in the preparation of CAPS reports
- Documents that support payment of invoices
- Follow-up of prior period outstanding fiscal and program findings
- Cash disbursements for legitimacy of recorded bills
- Inter-program or inter-year loans
- Filing of tax reports and timely payment
- Other records that have an impact in safeguarding the Federal grant
- Trial balance
- Adjusting journal entries

7.2 CIRCULAR A – 122 GENERAL COST PRINCIPLES FOR NON-PROFIT ORGANIZATIONS

- 1) Cost allocating the total cost of an award, contract, project etc. is the sum of the allowable direct and allowable indirect costs less applicable credits.
- 2) **Factors affecting allowable costs:** To be allowable under the award, contracts or project costs must meet the following criteria:
 - a) Be reasonable for the performance of the award, contract, activities or project and be allowable.
 - b) Conform to any limitations or exclusions set forth in the award, activities project etc. as to types or amounts.
 - c) Be consistent with policies and procedures that are applicable to the awards, activities, projects etc.
 - d) Be accorded consistent treatment
 - e) Be determined in accordance with Generally accepted Accounting Principles (GAAP)
 - f) Not included in costs used to meet time sharing or matching requirements
 - g) Be adequately documented

- 3) **Reasonable Costs:** A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.
 - a) To determine reasonableness one must look at whether the cost is of a type generally recognized as ordinary and necessary for the operation.
 - b) The restraints or requirements imposed by such factors as generally accepted sound business practices, arms length bargaining, Federal, State and City regulations and terms and conditions of the award.
 - c) Whether the individuals concerned acted with prudence in the circumstances.
- 4) **Allowable Costs**
 - a) A cost is allowable to a particular cost objective if it is treated consistently with other costs incurred for the same purpose such as:
 - 1) Is incurred specifically for the award, project or activities.
 - 2) Benefits both the award, project or activities and other work and can be distributed in reasonable proportion to the benefits received.
 - 3) Is necessary to the overall operation of the organization although a direct relationship to any particular cost objective cannot be shown.
 - b) Any cost allowable to a particular award or other cost objective may not be shifted to other federal wards to overcome funding deficiencies or to avoid restrictions imposed by law or the terms of the award, project or activities.
- 5) **Applicable Credits**
 - a) The applicable credits are receipts or reduction of expenditures which operate to offset or reduce expense items that are allowable to the awards, activities or projects, some examples are: purchase discounts, rebates or allowances, recoveries or indemnities on losses insurance refunds, erroneous charges, adjustments of over payments etc.
 - b) Special payments received to finance organizational activities or service operations should be netted against the expenditures.

PART 8 – CONTRACT CLOSEOUT

8.1 GENERAL GUIDELINES

Agencies must follow the closeout process in their contract. The process includes but is not limited to

- Inventory
- Books and records
- Final accounting or CPA report, and
- VENDEX questionnaire

PART 9 – OTHER REPORTING REQUIREMENTS

SEE PART 10

PART 10 – STANDARD FORMS

Appendix A	Monthly Expense Report Form
Appendix B	Contract Agency Summary and Child Specific Information Schedules
Appendix C	Permanency and Stability Initiative Claiming Guide
Appendix D	Stability Initiative Follow-up Questions
Appendix E	Permanency and Stability Claim Form

PART 10 – STANDARD FORMS - Stability for Teens and Permanency Initiative

APPENDIX A Monthly Expense Report Form



**CHILD AGENCY PAYMENT SYSTEM (CAPS)
STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE
MONTHLY EXPENSE REPORT
Fiscal Year 2011**

VENDOR NAME:
PROGRAM TYPE:
ADDRESS:
CITY/STATE/ZIP:

CONTRACT NO.:
TAX ID NO.:
BUDGET ID:
MONTH/YEAR:

Stability Initiative for Teens and Permanency Initiative:

(A)	(B)	(C)	(D)	(E)	(F)
Budget Category	Expenditures This Service Period	Prior Months Total Expenditures	Expenditures Y-T-D (B + C)	Budget	Remaining Balance (E - D)
PERSONNEL SERVICES (PS)					
TOTAL SALARIES					
Case Work (planners, aides, supervisors, etc)			\$0.0		\$0.0
Educational Specialist			\$0.0		\$0.0
Vocational Specialist			\$0.0		\$0.0
Clinical Staff			\$0.0		\$0.0
FRINGE BENEFITS					
			\$0.0		\$0.0
SUBTOTAL PS COSTS	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
OTHER THAN PERSONNEL SERVICES (OTPS)					
CONSULTANTS					
Mental Health			\$0.0		\$0.0
Substance Abuse			\$0.0		\$0.0
DIRECT CLIENT SERVICES					
Educational			\$0.0		\$0.0
Vocational			\$0.0		\$0.0
Housing (furniture, rent, etc.)			\$0.0		\$0.0
Emergency (Cash) Assistance			\$0.0		\$0.0
Parent Services (support & counseling)			\$0.0		\$0.0
Mental Health and Clinical Services			\$0.0		\$0.0
Group Work & Therapy			\$0.0		\$0.0
Substance Abuse Treatment			\$0.0		\$0.0
Transitional Stipends			\$0.0		\$0.0
Independent Living			\$0.0		\$0.0
Other			\$0.0		\$0.0
Other			\$0.0		\$0.0
Other			\$0.0		\$0.0
RENT AND UTILITIES					
			\$0.0		\$0.0
SUBTOTAL OTPS	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PS & OTPS	\$ -	\$ -	\$ -	\$ -	\$ -
ADMINISTRATIVE OVERHEAD					
GRAND TOTAL REINVESTMENT:	\$ -	\$ -	\$ -	\$ -	\$ -

TOTAL:

STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE	TOTAL AMOUNT SUBMITTED FOR THE STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE FOR CURRENT SERVICE PERIOD	\$ -
GRAND TOTAL		#REF!

We hereby certify that, to the best of our knowledge and belief, the information contained herein is correct, that it corresponds with the books and records of this agency, that the expenditures reported were in compliance with the intent of the program objectives approved by ACS, and that documentation is available to support this and will be available for audit.

NAME OF PREPARER

SIGNATURE OF PREPARER / DATE

NAME OF FISCAL DIRECTOR

SIGNATURE OF FISCAL DIRECTOR / DATE

PART 10 – STANDARD FORMS - Stability for Teens and Permanency Initiative

APPENDIX B Contract Agency Summary and Child Specific Information Schedules



**STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE
CONTRACT AGENCY SUMMARY
CHILD SPECIFIC SCHEDULE**

Agency Name: _____
Service Period _____

Stability Initiative for Teens and Permanency Initiative:

Category	# of Children	%	Total Expenses
1 Children Currently In Care			
(A) Under 18 years old	0	#REF!	#REF!
(B) Over 18 years old	0	#REF!	#REF!
2 Children On Trial Or Final Discharge			
(A) Under 18 years old	0	#REF!	#REF!
(B) COPS (under 18 years old and in Final Discharge)	0	#REF!	#REF!
(C) Over 18 years old	0	#REF!	#REF!
3 Children Impacted by Foster Parent Support Initiative			
(A) Under 18 years old	0	#REF!	#REF!
(B) Over 18 years old	0	#REF!	#REF!
TOTAL:	0	#REF!	#REF!



**STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE
CONTRACT AGENCY CHILD SPECIFIC SCHEDULE**

DETAIL FOR THE STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE ONLY

Agency Name: _____
Service Period _____
Service Category #1: Children Currently in Care
Program: (Stability for Teens or Permanency Initiative - please indicate)

Serial #	Child Last Name	Child First Name	CIN #	D.O.B. (mm/dd/yyyy)	(A) Under 18*	(B) Over 18*
1						
2						
3						
4						
5						
6						
7						
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10						
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45						
46						
47						
48						
49						
50						
51						
52						
53						
54						
TOTAL:					0	0



**STABILITY INITIATIVE FOR TEENS AND PERMANENCY INITIATIVE
 CONTRACT AGENCY CHILD SPECIFIC SCHEDULE
 DETAIL FOR THE STABILITY INITIATIVE FOR TEENS AND PERMANENCY
 INITIATIVE ONLY**

Agency Name: _____

Service Period _____

Service Category #2: **Children On Trial Or Final Discharge**

These are children who are not billed for that month for foster care and receiving the services described in your program plan.

Program: (Stability for Teens or Permanency Initiative - please indicate) _____

Serial #	Child Last Name	Child First Name	CIN #	D.O.B. (mm/dd/yyyy)	(A) Under 18*	(B) COPS (under 18 and in Final Discharge)	(C) Over 18*
1							
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35							
36							
37							
38							
39							
40							
TOTAL:					0	0	0

PART 10 – STANDARD FORMS - Stability for Teens and Permanency Initiative

APPENDIX C Permanency and Stability Claiming Guide

Permanency and Stability Initiative Claiming Guide

The following are types of expense which can be claimed from the Permanency and Stability Initiative. The list below qualifies for children who have never been in foster care up to the age of 18. If the child was previously in foster care or is in foster care the limit on the age is up to 21. Sources for the below come from the following: NYS Fiscal Reference Manual Volume 2, Chapter 3, Pages 62 – 74 and Pages 127-134; NYS Social Services Block Grant Report Federal Fiscal Year 2011; and Volume 18 of the NYS Codes, Rules and Regulations (18 NYCRR 423.2 and 18 NYCRR 430.9).

Definition of Preventive Services:

Supportive and rehabilitative services provided to children and their families for the purpose of averting a disruption of a family which will or could result in placement of a child in foster care, enabling a child who has been placed in foster care to return to his family at an earlier time than would otherwise be possible or reducing the likelihood that a child who has been discharged from foster care would return to care.

Appropriateness of the provision of preventive services to return children to their parents:

The requirements are as follows:

- The preventive services provided must be directly related to one or more of the reasons the child is currently in foster care
- Discharge of the child is anticipated within 6 months
- Return to the child's parents or caretakers may only occur where the placement will be safe and appropriate

Adoption Services:

These services entail:

- Assisting a child to secure an adoptive home (through counseling with biological parent(s) concerning surrender of child for adoption)
- Assisting a parent(s), unwilling or unable to care for a child, to surrender such child for adoption, or instituting legal procedures to separate a child from the parent or parents under appropriate circumstances, and arranging for and providing legal services to accomplish this purpose
- Recruiting, studying, and evaluating interested prospective adoptive parents
- Training prospective and approved adoptive parents
- Evaluating placement need, pre-placement planning, selection, and placement of available children
- Counseling families after placement
- Supervising children in adoptive homes until legal adoption is completed

Aftercare Services

- After care services are provided to children 18-21 and their families who have been discharged (either trial or final) from foster care and require supportive activities to encourage and facilitate the adjustment to the child's return to the home and or community and prevent the child's return to foster care or involvement with the juvenile or criminal justice system. Aftercare Services should not include discharge grants.

Clinical Services

These services involve:

- Assessment, testing, psychotherapy and specialized therapies
- Above provided by person with Master's Degree in Social Work, Licensed Psychologist, Licensed Psychiatrist or other recognized therapist in human services

Day Care Services for Children

These services involve:

- Assessing the need for, arranging for, providing, supervising, monitoring and evaluating the care of a child age 6 weeks to 14 years for a portion of the day, and less than 24 hours, outside the home in a day care facility in accordance with state and federal standards for day care.
- Developing and recruiting out-of-home child day care
- Studying, approving, and re-evaluating both in-home and out- of-home child day care

Day Services

These services involve:

- Day Services to children means a program offering a combination of services including at least:
- Social Services
- Psychiatric (under certain circumstances)
- Psychological (under certain circumstances)
- Educational and/or Vocational Services
- Health Supervision

Home Management Services

Home Management Services include:

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

Homemaker Services

These services include:

- Assessing the need for such services
- Arranging the services
- Providing and evaluating the provision of personal care, home management, and incidental household tasks through the services of a trained homemaker, who meets state standards

These services are provided for the following components.

- **Component A:** Component A services is available for children, because of illness, incapacity or absence of a caretaker relative.
- **Component B:** Component B services are available for individuals, families, caretaker relatives and/or children to achieve adequate household and family management.
- **Component C:** Component C services are available for individuals because of illness or incapacity.

Component C is mandated for those eligible for SSI but optional for others.

Components A and B are optional.

Housekeeper/Chore Services

These services include:

- Assessing the need for such services
- Arranging these services
- Providing in accordance with state standards, and evaluating the provision of light work or household tasks (including such activities as help in shopping, lawn care, simple household repairs, and running errands) which families and individuals in their own homes are unable to perform because of illness, incapacity or absence of a caretaker relative, and which do not require the services of a trained homemaker.

Housing Improvement Services

- Housing Improvement Services involve assessing the need for, and arranging for individuals and families to improve their housing conditions
- These services can be provided under two components:

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

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

Component A is mandated for SSI clients. Component B is optional and is provided on the basis of group eligibility to Selected Older Adults who meet the program definitions.

Emergency Cash

- Cash payments of assistance that are provided to a child and his/her family in an emergency or acute problem situation to avert foster care placement or to meet urgent needs resulting from a sudden occurrence or set of circumstances which threatens the family and demands immediate attention.

Emergency Goods and/or Shelter

- Expenditures for food, clothing or other essential items that are provided to a child and his/her family in an emergency or acute problem situation to avert foster care placement or to meet urgent needs resulting from a sudden occurrence or set of circumstances which threatens the family and demands immediate attention. Also enter the expenditures for providing for shelter where a child and his/her family who are in an emergency or acute problem situation, reside in a site other than their own home to avert foster care placement.

Health Services

- Expenditures for Health Services, which involve: assisting the child and his/her family to attain and maintain a favorable condition of health by helping them to identify and understand their immediate and comprehensive health needs.
- Helping child and his/her family locate appropriate resources to meet their health needs, providing necessary diagnostic, therapeutic, and preventive medical care and treatment, counseling and health maintenance services, and providing follow-up services as needed to achieve the objective.
- Providing general health care services for all eligible clients, including such activities as finding a doctor who will accept Medicaid and/or Medicare, locating an appropriate clinic or hospital, and helping clients secure transportation necessary to obtain services.
- Providing services to assist chronic drug or alcohol abusers to identify the existence and status of their drug or alcohol problems, to seek and use needed medical services, and to seek and participate in appropriate treatment programs.
- Providing services to help identify the need for vocational rehabilitation services (other than those performed as part of the JOBS Program), and to seek and use the services available through the Office of Vocational and Educational Services for Individuals With Disabilities of the State Education Department or the Commission for the Blind and Visually Handicapped (CBVH) of the Office of Temporary and Disability Assistance (OTDA), to help provide the medical and other services necessary for such clients to be maintained in the rehabilitation program. This does not include those medical services provided by VESID or CBVH, and in accordance with their respective agreements with the OTDA (DSS Bulletin 184 and DSS Bulletin 184A).
- Providing Child Health Assurance Program (CHAP) Services not otherwise provided under Medical Assistance. Services to help eligible clients find and gain admission to necessary institutional placement such as nursing homes, adult homes, state hospitals and health related facilities.

Parent Aide Services and Parent Training

Parent Services and Training includes the following;

- Services provided in the home and community that focus on the need of the parent for instruction and guidance in maintaining and enhancing parental functioning and family/parent role performance. Techniques may include but are not limited to role modeling, listening skills, home management assistance and education in parenting skills and personal coping behavior.
- Training defined as group instruction in parent skills development and the developmental needs of the child adolescent. In addition, training in strengthening parental functioning and parent/child child/parent interaction groups to enhance relationships and communication is permissible

Post Adoption Services

Post Adoption Services means a full complement of those culturally and ethnically sensitive services that are provided to support adoptive families, focus on the special needs of adoptive family members, and prevent adoption disruption and adoption dissolution. This category is to be used for children who require services within three years of their adoption.

Transportation Services

Providing or arranging for transportation of the child/ren and/or the family to/from services .

Transportation may not be provided as a preventive service for a child in foster care visiting a parent or relative.

The service may be provided only if the transportation cannot be arranged or provided by the child/ren's family.

Other allowable Preventive Services

- Case Management – Authorizing the provision of Preventive Services, overseeing Case Planning and Casework contacts, updating and approving the Service Plan, etc.
- Case Planning – Assessing the need for, providing or arranging for, coordinating and evaluating the preventive services. Case planning shall include, but not be limited to, educational counseling and training, vocational diagnosis and training, employment counseling, therapeutic and preventive medical care and treatment, health counseling and health maintenance services, vocational rehabilitation, housing services, speech therapy and legal services. Documentation of client progress and providing casework contacts are required.
- Casework Contacts – Individual or group face-to-face counseling sessions between the case planner or person providing specialized rehabilitative services, supportive services or probation services. Provided for the purpose of guiding the child/family towards attaining personal objectives or resolving problems or needs of a social, developmental, emotional, developmental or economic nature.
- Employment Services to help the family achieve financial independence.
- Respite Care to provide brief and temporary care and supervision of the child/ren so the parent is provided immediate relief in order to be able to maintain or restore family functioning.
- Intensive, Home Based Family Preservation Services may be provided for up to 30 days and may be extended for another 30 days when necessary maintain the progress achieved. The services are defined as casework services and direct therapeutic services to avoid replacement in foster care.

Housing Services/Subsidy (Paid directly by ACS)

Housing Services defined as rent subsidies, including payment of rent arrears, or any other assistance necessary to obtain adequate housing will be available to families but is limited to \$300 per month for 36 months for children never in foster care and/or \$300 per month for 36 months for the same children now in foster care but expected to leave foster care within 2 months. At the time Housing Services are authorized, the case manager must determine the primary factor preventive the discharge of the child from foster care is the lack of adequate housing. The goal of the child can be either return to parents or discharge to independent living. The child must have been in a foster care placement at least 30 days with a goal of return to parents or the child has been in foster care at least 90 days with a goal of independent living for the housing subsidy to be considered appropriate.

Independent Living activities for children aged 14 and up if so desired:

Academic Support Services

Education, Career Assessment, Counseling, Tutorial Services, Remediation, Exam Preparation, Resource and Referral Service are all allowable.

College Tuition is not allowable.

Vocational Training

Two Year College (Junior College) Programs or Federal or State funded programs with specific vocational objectives or occupational training with work site observation and experience.

Independent Living Skills Training

Life Management Instruction – includes Personal Hygiene, Budgeting, Time Management, Meal Planning and Preparation, Housing Alternatives and Selection, Consumer Purchasing and House Cleaning. Also Community Resources instruction will allow the child to be informed about Services and Providers in their community. In addition, information about transportation, Medical/Health Providers, Social Services, Mental Health, Adult Education, Municipal Services and Recreation Providers can be provided.

Employment Readiness Training.

Children can be taught self assessment, development of career goals, developing realistic expectations, developing good work habits, filling in job applications and producing resumes, handling job interviews and learning how to search for a job.

Room and Board

For children aged 18 – 20, room and board payments are eligible for former foster care clients.

Effective July 1, 2011

PART 10 – STANDARD FORMS - Stability for Teens and Permanency Initiative

APPENDIX D Stability Initiative Follow-up Questions

Stability Initiative Follow up Questions

POS Lines

1. Can you open a POS line for one month and then open it up again six months later?

Yes

2. For children on trial discharge with an open preventive slot and receiving reinvestment, do we need to open two POS lines – one for Reinvestment and one for preventive?

Yes, POS lines are written to a vendor so each vendor would request a POS line for the child

3. When we open Preventive POS lines and the children are in foster care, do we code it as preventive program choice?

To open the Reinvestment POS lines send an email to the Foster Care Mailbox requesting that the POS line open with a note in Connections which includes the request. Please include service dates, vendor id, child receiving service and reason for opening. The agency would not do any preventive program choice coding.

5. How long does a POS line need to be open for? What is the minimum amount of time?

POS lines can be open for a service period as little as one day, and one contact.

Casework Contact Requirements

1. Is the casework contact requirement applicable if the reinvestment money is used for day care?

Yes, if reinvestment funds are spent then there is a requirement of 2 preventive contacts per month

2. Do casework contacts need to be in the home or can they be outside?

1 should be in the home and the other can be in the community

3. Does the level of the staff matter in performing the casework contacts? For example, would a case aide be able to make the contacts?

We are only looking at the types services provided and if the casework contacts have been made.

4. If reinvestment money is spent on a housing specialist does the housing specialist need to make two case work contacts?

Yes the housing specialist must make two casework contacts if reinvestment money is being used on these services.

5. *Do we need to make two contacts a month for tutoring services?*

If reinvestment funds are used on these services then agencies must adhere to the two casework contact a month requirement.

Miscellaneous

1. *Since Reinvestment utilizes preventive funding are all general preventive services allowable under reinvestment?*

Please see updated guide which includes an updated list of reinvestment allowable activities.

2. *Are birth parent and foster parent advocates allowable reinvestment expenses?*

They are allowable as long as the type of activities performed is in alignment with reinvestment allowable activities.

PART 10 – STANDARD FORMS - Stability for Teens and Permanency Initiative

APPENDIX E Permanency and Stability Claim Form

Requirements for Reinvestment Permanency and Stability Initiative Services as of JULY 2011:

AGENCY NAME:

AGENCY CODE:

MONTH AND YEAR OF PAYMENT:

TOTAL PAYMENT AMOUNT:

Stability Initiative AMOUNT:

Reinvestment Permanency AMOUNT:

CHILD SPECIFIC:						

Type of Service (Pick from the following): PREVENTIVE SERVICES: - Adoption Services/Recruitment, Aftercare Children, Day Services, Home Management Services, Homemaker Services, Housekeeper/Chore Services, Housing Goods and/or Shelter, Health Services, Parent Aide Services and Parent Training, Post Adoption Services, Transitional Services (List as OTHER in the Activity Column) - (Case Management, Case Planning, Casework Contacts, Employment Family Preservation Services) INDEPENDENT LIVING A training, independent living skills training, Employment readiness training, Rc

NAME	CIN #	CASE #	DOB	Service Date(s)	SERVICE PROVIDED:		

Services, Clinical Services, Day Care Services for Improvement Services, Emergency Cash, Emergency Transportation Services, OTHER Allowable Preventive Services, Respite Care, Intensive Home Based ACTIVITY - Academic support services, Vocational Room and Board