

**THE SOCIAL SERVICES BLOCK GRANT PLAN**  
**(Pre-Expenditure Report)**  
**Fiscal Year 2007-08**

**INTRODUCTION**

The purpose of the Social Services Block Grant Plan is to satisfy the federal law, which requires the State to report on the intended use of the Block Grant funds. The Plan for Fiscal Year 2007-2008 will be on review in Raleigh September 3 -14, 2007 for public inspection and comment. Major newspapers across the state will advertise where the document will be placed, what time of day it will be available, and the address and telephone number of the agency in charge. The document will also be posted on the World Wide Web with links from the Department of Health and Human Services and Division of Social Services web pages. Standardized procedures are in place for responding to public comments and questions.

The Social Services Block Grant (SSBG) is the major source of federal funding for the provision of a wide variety of services such as adoption services, counseling services, adult day care and foster care services, protective services for adults and children, housing, and residential treatment services. Other uses of these funds include child care for child welfare cases, crisis situations, and for children with developmental needs, community-based services for elderly and disabled adults (such as in-home aide services and preparation of meals), mental health services, transportation, and other human services programs. In addition to the costs of services, the Social Services Block Grant allotment to the State may be used to support the costs of administration and personnel training directly related to the provision of services.

**PART I - ELIGIBILITY FOR SOCIAL SERVICES BLOCK GRANT-FUNDED SERVICES**

There are three *primary* eligibility categories defined by the State through which individuals may be eligible to receive Social Services Block Grant-funded services. The first eligibility category defined by the State is based on an individual's status in terms of two major income maintenance programs - the Temporary Assistance for Needy Families (TANF) and the Supplemental Security Income (SSI) programs. The second category is based on the income status and size of the income unit.<sup>1</sup> In the third category, services may be provided "Without Regard to Income," based solely on an individual's need, although for some services the recipient may be asked (but not required) to share in the cost of providing the service. A fourth eligibility category results from the transfer of a percentage of the State's allocation of TANF (Temporary Assistance for Needy Families) funding to the Social Services Block Grant. Adhering to federal eligibility requirements for persons receiving assistance through the TANF program, these funds will be used only for programs and services to children and their families whose incomes are at or below 200% of the Federal Poverty Level, applicable to family size. The four eligibility categories are described as follows:

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<sup>1</sup> Unless otherwise excepted, the following are defined as separate income units for purposes of determining eligibility and cost sharing contributions: biological or adoptive parents and their minor children; a minor parent and his or her children; each adult, whether related or unrelated, other than spouses; children living with adults other than their biological or adoptive parents; and minors who are emancipated through a court proceeding,

## A. Income Maintenance Status

Individuals considered eligible as income maintenance recipients are:

- Current recipients of Temporary Assistance to Needy Families, known as Work First Family Assistance (WFFA) in North Carolina;
- Persons whose needs are taken into account in determining the needs of WFFA recipients;
- Applicants for or current recipients of Supplemental Security Income (SSI) benefits;
- Persons who receive regular Optional State Supplementation payments from the State, known in North Carolina as State/County Special Assistance for Adults, to supplement SSI benefits;
- Children for whom adoption assistance payments or foster care maintenance payments are made under provisions of Public Law 96-272, and are thus considered WFFA recipients.

All these income maintenance recipients are categorically eligible for services. For services such as child care, in which various federal and state funding sources have been blended to maximize funding and streamline service delivery to families, policies specific to that program shall apply. An individual applying for child care services is no longer considered income eligible on the basis of income maintenance status. Although income received from an income maintenance payment such as WFFA or SSI may continue after these individuals are employed, it is not included in the amount of family's income used to determine eligibility for child care services. Income from employment and other sources available to the family is counted toward determining eligibility.

## B. Income Status (Income Eligible Clients)

Eligibility for certain services requires consideration of the income unit's monthly gross income. These services include 1) Child Care Services, 2) In-Home Aide Services for the Blind, 3) Voluntary Sterilization (funded under SSBG as an optional resource item of Health Support Services) and 4) Transportation Services.

The maximum income eligibility limit for subsidized Child Care Services is 75% of North Carolina's median family income. Families *who qualify on the basis of income eligibility* pay fees based on their income, family size, and the amount of time child care is needed each month.

For the other services listed above, the State has established income levels for use in determining eligibility based on the number of individuals in an income unit. (For example, the maximum "Established Income" for an income unit of four for eligibility purposes is \$20,928.) In-Home Services for the Blind is the only one of the services listed above that is available to individuals in income units earning up to 100% of the Established Income. Voluntary Sterilization is an option for individuals in income units earning up to 80% of the Established Income. Only those who earn less than 60% of the Established Income for their family or income unit are eligible for *all* services, including Transportation, offered through the Social Services Block Grant. (See Table I).

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<sup>1</sup> (cont'd.) marriage or participation in the armed services. For Family Planning Services, "family" will be defined in accordance with federal regulation, 45 CFR Part 59, Grants for Family Planning Services. For Nutrition Services, "family" will be defined in accordance with 10 NCAC 4C .0204.

### **C. Without Regard to Income (Other Clients)**

The provision of services "Without Regard to Income" is based solely on the individual's need for the service; however for some services, clients are requested to voluntarily contribute to the cost of services provided. Services supported by the Social Services Block Grant and made available on a "Without Regard to Income" basis include:

- Adjustment Services for the Blind and Visually Impaired
- Adoption Services
- Adult Placement Services
- Community Living Services
- Day Care Services for Adults
- Child Care Services  
(Service is available without regard to income only when needed to support child protective services, child welfare services and for children receiving foster care services.)
- Children and Adults Needing Mental Health, Developmental Disability and/or Substance Abuse Services
- Delinquency Prevention Services
- Employment and Training Support Services
- Family Planning Services
- Family Preservation Services
- Family Support Services
- Foster Care Services for Adults
- Foster Care Services for Children
- Health Support Services (excluding the optional voluntary sterilization component)
- Home Health Services (includes Skilled Nursing, Physical Therapy, Speech Therapy, Occupation Therapy, Medical Social Services, and /or Nutrition Care)
- Housing and Home Improvement Services
- Individual and Family Adjustment Services

- In-Home Aide Services
- Intensive Family Preservation Services
- Personal and Family Counseling
- Preparation and Delivery of Meals
- Problem Pregnancy Services
- Protective Services for Adults (including all appropriate services)
- Protective Services for Children (including all appropriate services)
- Residential Treatment for the Emotionally Disturbed
- Respite Care Services
- Youth Services

**D. TANF Funds Transferred to the Social Services Block Grant**

Federal regulations allow certain TANF monies to be transferred into the Social Services Block Grant. However, welfare reform law stipulates that any TANF funds transferred to SSBG must be used for families with incomes no higher than 200% of the Federal poverty guidelines. Following this requirement, Social Services Block Grant funds transferred from TANF will only be used for the provision of programs and services to children and their families or income units who earn less than or up to 200% of the Federal Poverty Level, applicable to the size of the family/income unit served.

TANF-to-SSBG funds will be used to support Adoption Services, Foster Care Services for Children, and Other Child Welfare Services where income for families or income units receiving the services does not exceed 200% of the Federal Poverty Level. Activities funded under these service categories include Non-residential Diagnostic and Treatment Services, Recruitment, Assessment and Training of Adoptive and Foster Parents; Adoption Assistance and Post-Adoption Case Management; Case Planning and Case Management, Preparation for and Participation in Judicial Determinations, and other services to youth in foster care or former foster care recipients. For State Fiscal Year 2008, funds transferred from TANF to SSBG will also be used to provide Delinquency Prevention Services, Teen Pregnancy Prevention and housing and services for expectant mothers in need of alternative living arrangements due to an inability to remain in their own homes or those of relatives.

**E. Consumer Contribution**

Individuals determined eligible to receive services subject to the consumer contribution policy shall be informed of the requirement that all such recipients are given the opportunity to contribute to the cost of services provided, based on their gross family income and desire to voluntarily contribute. Income, size of income unit, cost of services, and other factors that affect ability to contribute may be taken into account. Services are not terminated if the individual decides not to contribute. The following is a list of services for which consumer contribution is applicable.

- Adult Day Health Services
- Housing and Home Improvement Services (Renovations or Repair and Furnishings or Appliance Purchases only)
- In-Home Aide Services
- Personal and Family Counseling
- Preparation & Delivery of Meals
- Home Health Services (includes Skilled Nursing, Physical Therapy, Speech Therapy, Occupational Therapy, Medical Social Services, and/or Nutrition Care)

When any of the above services are provided to adults or children as part of a Protective Services Plan, these individuals will be excluded from consumer contributions, up to a maximum of 12 months. Consumer contributions do not apply to children in foster care, children who have been approved to receive adoption assistance, persons receiving Work First assistance, or federally administered Supplemental Security Income (SSI) applicants or recipients.

#### F. **Fees**

Individuals determined eligible to receive services subject to fees must be informed of the requirement that all such recipients are requested to share in the cost of services provided, based on their ability to pay. Income, size of income unit, cost of services, and other factors that affect ability to pay may be taken into account. The following is a list of services for which fees are applicable.

- Child Care Services

Families who are eligible for child care services based on their countable income are charged a parent fee based on their income and family size. The fee is paid directly to the child care provider. Families who are eligible for child care services without regard to income when needed to support child protective services, child welfare services, or when children are receiving foster care services are not charged a parent fee.

Under North Carolina's social services program, any service available through the county department of social services where the individual lives, when provided in conjunction with Protective Services for Children or Adults, will be provided without cost sharing and without regard to income during the first twelve months after Protective Services for Children or Adults is initiated, or until the case is closed, if it remains open for less than a year.

## **PART II - WHERE INDIVIDUALS MAY APPLY FOR SERVICES**

The Secretary of the Department Health and Human Services has the authority to designate those agencies which are responsible for receiving applications for services and determining eligibility. In certain situations, individual agencies may decide to contract for intake and eligibility determination services, or they may choose to receive applications and determine eligibility in-house. Departments that choose to contract for intake and eligibility determination services may only contract with non-profit agencies that are not the service providers. Under either process, the same eligibility rules would apply. Area or county mental health, developmental disabilities and substance abuse programs are responsible for identifying the target population groups into which recipients fit in accordance with Division of Mental Health, Developmental Disability and Substance Abuse Services (DMH/DD/SAS) procedures. Provider agencies, contracting with Area Agencies on Aging, will be responsible for determining eligibility for in-home and community-based services provided through the Home and Community Care Block Grant for Older Adults. Staff from the Division of Services for the Blind determines eligibility for services provided through that agency. The Division of Vocational Rehabilitation will be responsible for determining eligibility for services provided through contracts with Easter Seals UCP North Carolina. The Division of Public Health and the Department of Juvenile Justice and Delinquency Prevention will determine eligibility for SSBG-funded services provided through their respective programs. The 100 county departments of social services will be responsible for determining eligibility for all other Block Grant-funded services, including services provided through the Division of Health Service Regulation and the Division of Child Development, unless the county chooses to subcontract with a local purchasing agency.

### **PART III - SERVICES AVAILABLE UNDER THE SOCIAL SERVICES BLOCK GRANT**

Thirteen SSBG-funded services are "mandated", that is required, to be available statewide under the Social Services Block Grant Plan. The services are:

1. Adjustment Services for the Blind and Visually Impaired
2. Adoption Services
3. Adult Placement Services
4. Child Care Services
5. Family Planning Services
6. Foster Care Services for Adults
7. Foster Care Services for Children
8. Health Support Services
9. Individual and Family Adjustment Services
10. In-Home Aide Services
11. In-Home Aide Services for the Blind
12. Protective Services for Adults
13. Protective Services for Children

The remaining services are considered optional and are offered based on individual county need and available resources. These services are listed below.

- Community Living Services
- Day Care Services for Adults
- Children and Adults Needing Mental Health, Developmental Disability and/or Substance Abuse Services
- Delinquency Prevention Services
- Employment and Training Support Services

- Family Preservation Services
- Family Support Services
- Home Health Services (includes Skilled Nursing, Physical Therapy, Speech Therapy, Occupational Therapy, Medical Social Services, and/or Nutrition Care)
- Housing and Home Improvement Services
- Intensive Family Preservation Services
- Personal and Family Counseling
- Preparation and Delivery of Meals
- Problem Pregnancy Services
- Residential Treatment for the Emotionally Disturbed
- Respite Care Services
- Transportation Services
- Youth Services



**PART IV - DISTRIBUTION OF NORTH CAROLINA'S SOCIAL SERVICES BLOCK GRANT FUNDS**

For purposes of the Social Services Block Grant Plan, it is estimated that North Carolina will receive \$48,917,384 in federal SSBG funding for State Fiscal Year 2007-08 (which includes \$45,000 in Supplemental Emergency Funds for Hurricane Relief.) An additional \$14,319,549 from the Temporary Assistance for Needy Families (TANF) Block Grant will be transferred to SSBG, and a carry-forward from SSBG for SFY 2006 in the amount of \$4,995,556 will be added for a total available amount of \$68,232,489. The distribution of funds to the various Department of Health and Human Services Divisions and the Grant-in-Aid providers is as follows:

**Local Program Expenditures**

Divisions of Social Services and Aging and Adult Services	
01. County Departments of Social Services (includes \$4,500,000 TANF-to-SSBG)	\$ 28,868,189
02. State In-Home Services Fund	2,101,113
03. State Adult Day Care Fund	2,155,301
04. Child Protective Services/CPS Investigative Services/Child Medical Evaluation Program	238,321
05. Foster Care Services (includes \$1,181,907 TANF-to-SSBG)	2,649,662
06. Foster Care Maintenance Payments	2,636,587
07. Child Protective Services – Child Welfare Training for Counties (TANF-to-SSBG)	2,550,000
08. Maternity Homes (TANF-to-SSBG)	838,000
Division of Aging and Adult Services	
09. Home and Community Care Block Grant (HCCBG)	1,834,077
Division of Mental Health, Developmental Disabilities, and Substance Abuse Services	
10. Mental Health Services Program	422,003
11. Developmental Disabilities Services Program	5,000,000
12. Mental Health, Developmental Disabilities, and Substance Abuse Services Program	3,234,601
Division of Child Development	
13. Subsidized Child Care Program (includes \$45,000 from SSBG Supplemental Emergency Funds)	3,195,000
Division of Vocational Rehabilitation	
14. Vocational Rehabilitation Services - Easter Seals Society / United Cerebral Palsy	188,263
Office of the Secretary - Office of Economic Opportunity	
15. Elderly Supplemental Grants Program	41,302
Division of Public Health	
16. Teen Pregnancy Prevention Initiatives (TANF-to-SSBG)	2,500,000

**DHHS Program Expenditures**

Division of Aging and Adult Services	
17. UNC-CARES Training Contract	247,920
Division of Services for the Blind	
18. Independent Living Program	3,480,133
Division of Health Service Regulation	
19. Adult Care Licensure Program	411,897
20. Mental Health Licensure and Certification Program	205,668

**DHHS Administration**

21. Division of Aging and Adult Services	658,674
22. Division of Social Services	869,058
23. Office of the Secretary/Controller's Office	126,155
24. Office of the Secretary/DIRM	82,009
25. Division of Child Development	15,000
26. Division of Mental Health, Developmental Disabilities, and Substance Abuse Services	28,860
27. Division of Health Service Regulation	159,218
28. Office of the Secretary - NC Inter-Agency Council for Coordinating Homeless Programs	250,000
29. Office of the Secretary - Housing Coalition	100,000
30. Office of the Secretary	46,819

**Transfers to Other State Agencies**

## Department of Administration

31. N.C. State Commission of Indian Affairs - In-Home-Services for the Elderly	\$ 203,198
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## Department of Juvenile Justice and Delinquency Prevention

32. Support Our Students (TANF-to-SSBG)	2,749,642
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**Transfers to Other Block Grants**

## Division of Public Health

33. Transfer to the Preventive Health Services Block Grant for HIV/STD Prevention and Community Planning	145,819
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**TOTAL FOR STATE FISCAL YEAR**

\$ 68,232,489

If the Congress of the United States decreases the federal fund availability for the Social Services Block Grant as described above, the Department of Health and Human Services shall reduce the State administration amount(s) by at least the percentage of the reduction in federal funds. After determining the reduction in the State administration, the remaining reductions shall be allocated proportionately across the program and activity appropriations identified above. In allocating a decrease in the federal fund availability, the Department shall not eliminate the funding for a program or activity as allocated by the NC General Assembly unless it is related to the State administration.

PROGRAM: Social Services

PERIOD: October 1, 2007 - September 30, 2008

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee to a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature

Secretary  
\_\_\_\_\_  
Title

North Carolina Department of Health and Human Services  
\_\_\_\_\_  
Agency / Organization

\_\_\_\_\_  
Date

**TABLE 1.SUMMARY OF AVAILABLE SERVICES BY ELIGIBILITY CATEGORY**

<b>Social Services Block Grant Funded Services</b>	<b>Available to Income Maintenance Clients &amp; to Those With Less Than 60% of Est.Inc.</b>	<b>Available to Clients With 80% to 60% of Established Income</b>	<b>Available to Clients With 80% to 100% of Established Income</b>	<b>Available Without Regard to Income <sup>1</sup></b>
Adjustment Services for Blind & Visually Impaired	X	X	X	X
Adoption Services	X	X	X	X <sup>2</sup>
Adult Placements Services	X	X	X	X
Community Living Services	X	X	X	X
Day Care Services for Adults	X	X	X	X
Child Care Services	X	X	X	X <sup>2</sup>
Children and Adults Needing MH/DD/SAS Services	X	X	X	X
Delinquency Prevention Services	X	X	X	X
Employment and Training Support Services	X	X	X	X
Family Planning Services	X	X	X	X
Family Preservation Services	X	X	X	X
Family Support Services	X	X	X	X
Foster Care Services for Adults	X	X	X	X
Foster Care Services for Children	X	X	X	X <sup>2</sup>
Health Support Services	X	X <sup>3</sup>	X <sup>4</sup>	X <sup>4</sup>
Home Health Services (includes Skilled Nursing, Physical Therapy, Speech Therapy, Occupational Therapy, Medial Social Services, and/or Nutrition Care)				X
Housing and Home Improvement Services	X	X	X	X
Individual and Family Adjustment Services	X	X	X	X
In-Home Aide Services for Adults	X	X	X	X
In-Home Aide Services for the Blind	X	X	X <sup>5</sup>	
Intensive Family Preservation Services	X	X	X	X
Personal and Family Counseling	X	X	X	X
Preparation and Delivery of Meals	X	X	X	X
Problem Pregnancy Services	X	X	X	X
Protective Services for Adults	X	X	X	X
Protective Services for Children	X	X	X	X
Residential Treatment for Emotionally Disturbed	X	X	X	X
Respite Care Services	X	X	X	X <sup>6</sup>
Transportation Services	X			
Youth Services	X	X	X	X

1) Services based on need and without regard to income; for some services, clients are requested to contribute towards cost. Any services listed in this table, including those in this column, may be provided to an adult or child who is in immediate and present danger of neglect, abuse or exploitation, without regard to income and at no cost to the client, if the service is available in the county where the client lives, during the first 12 months after Protective Services for Children or Adults is initiated.  
2) Services available to individuals based on need and without regard to income except when funded with TANF monies transferred to SSBG, in which case the family income must not exceed 200% of the Federal Poverty Level for the size of the family served. 3) Excludes eligibility for the transportation component. 4) Excludes sterilization as a resource item. 5) "In-Home Aide Services for the Blind: Level I-Home Management" is available to clients with income up to but not including 100% of Established Income. 6) Services available to caregivers who are less than 60 years of age who are caring for persons 60 years or older, or caregivers who are 60 years or older who are caring for persons 18 years of age or older.

# **POST EXPENDITURE REPORT**

Summary of Allotment and Expenditures  
 Social Services Block Grant  
 Federal Fiscal Year Ended September 30, 2006  
 (Post Expenditures Report)  
 North Carolina Department of Health and Human Services  
 All Divisions

SSBG Allotment FFY 2006	\$ 48,872,380
Unexpended Balance Transferred from FFY 2005	0.00
Subtotal: FFY 2006 + FFY 2005	48,872,380
Funds Transferred from Other Block Grants:	
Temporary Assistance for Needy Family (TANF)	4,621,269.60
Funds Transferred to Other Block Grants:	
Preventive Health Block Grant	154,526.45
Maternal and Child Health Block Grant	0.00
Net Change in Funds Available FFY 2006	4,466,743.15
Total Funds Available FFY 2006	\$53,339,123.15
Total SSBG Expenditures FFY 2006	\$52,618,519.33
Unexpended Balance for FFY 2006	\$ 720,603.82

Report of Social Services Block Grant Expenditures  
 Federal Fiscal Year Ended September 30, 2006  
 (Post Expenditures Report)  
 North Carolina Department of Health and Human Services

<u>Agency/Provider</u>	
DHHS/ Central Administration	\$ 426,097.01
DHHS/ Child Development	3,048,636.96
DHHS/ Blind Services	3,302,992.75
DHHS/ Aging	2,794,308.70
DHHS/ Facility Services	763,856.04
DHHS/ Mental Health, Developmental Disabilities, and Substance Abuse Services	8,125,019.43
DHHS/ Vocational Rehabilitation	188,203.29
DHHS/ Social Services	29,348,135.55
DHHS/ Public Health	-0.00
Transfers from Other Programs-TANF	4,621,269.60
Total Expenditures	\$ 52,618,519.33

Report of Social Services Block Grant Expenditures  
**Supplemental SSBG Funds for Gulf Hurricane Relief**  
Federal Fiscal Year Ended September 30, 2006  
(Post Expenditures Report)  
North Carolina Department of Health and Human Services

SSBG Allotment FFY - 06	\$ 1,310,272.00
Total Funds Available In FFY - 06	1,310,272.00
Total SSBG Expenditures FFY - 06	\$ 298,053.55
Unexpended Balance For FFY - 06	\$ 1,012,218.45