



Health & Human Services Committee

Wednesday, October 5, 2022 4PM

40 McMaster Street, Ballston Spa, NY

Chair: Phil Barrett

Members:

C. Eric Butler
Eric Connolly
Diana Edwards
John Lant
Jonathan Schopf-VC
Tom Wood

- I. Welcome and Attendance
- II. Approval of the minutes of the September 7, 2022 meeting.
- III. Mental Health & Addiction, Michael Prezioso
 - a. Discussion: Opioid settlement proposed uses
 - b. COLA increases
 - c. Authorizing a 3 year agreement with Qualtrics, LLC to provide digital services navigator software.
- IV. Department of Health, Daniel Kuhles
 - a. Discussion: Potential substance use prevention and control initiatives
- V. Department of Social Services, Tina Potter
 - a. Acceptance of Adult Protective Services Grants
 - b. 2018-2023 Saratoga County Children and Family Services Plan Update
- VI. Other Business
- VII. Adjournment



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board
Stephanie Hodgson, Director of Budget

CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Mental Health and Addiction Services

DATE: September 29, 2022

COMMITTEE: Health and Human Services

RE: Opioid Settlement Proposed Uses

1. Is a Resolution Required:

2. Proposed Resolution Title:

3. Specific Details on what the resolution will authorize:

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Expense

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|--------------|-----------|-------------|-------|
| | | | |

5. Identify Budget Impact:

| |
|--|
| |
|--|

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

Human Resources Consulted

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

| |
|--|
| County Administrator's Office Consulted <input checked="" type="checkbox"/> |
|--|

- a. Source of grant funding:
- b. Agency granting funds:
- c. Amount of grant:
- d. Purpose grant will be used for:
- e. Equipment and/or services being purchased with the grant:
- f. Time period grant covers:
- g. Amount of county matching funds:
- h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other discussion only - no documentation attached

10. Remarks:

In furtherance of discussions concerning the use of opioid settlement funds received by the County, feedback from families and service providers was solicited. Use of funds to expand Family Support Navigation services - designed to connect families with community-based treatment, rehabilitation and support services, and break down barriers to access to such services - was identified as a priority. Additionally, educational resources designed to enhance family members' understanding of addiction and care were identified. Discussion to amend the Prevention Council's contract for these services.



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
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Stephanie Hodgson, Director of Budget

CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Mental Health and Addiction Services

DATE: September 28, 2022

COMMITTEE: Health and Human Services

RE: OMH Minimum Wage COLAs

1. Is a Resolution Required:

No, Committee Approval Only

2. Proposed Resolution Title:

3. Specific Details on what the resolution will authorize:

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Expense

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|--------------|-----------|-------------|-------|
| | | | |

5. Identify Budget Impact:

No Budget Impact. Funds are included in the Department Budget

- a. G/L line impacted A.43.441-8726.965 TSA Salary COLA, A.43.4418731.965 SCFF cola (new account)
- b. Budget year impacted **2022**
- c. Details
 Redistribution of minimum wage colas already within the 2022 county budget.

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office
Consulted

a. Source of grant funding:

b. Agency granting funds:

c. Amount of grant:

d. Purpose grant will be used for:

e. Equipment and/or services being purchased with the grant:

f. Time period grant covers:

g. Amount of county matching funds:

h. Administrative fee to County:

9. Supporting Documentation:

Marked-up previous resolution

No Markup, per consultation with County Attorney

Program information summary

Copy of proposal or estimate

Copy of grant award notification and information

Other OMH email dated 8/18/22, Resolution 296-2021

10. Remarks:

New York State Office of Mental Health (OMH) Field Office has issued an email dated 8/18/22, adjusting the minimum wage colas for Rise Housing and Support Services, Inc. (\$131) and Saratoga Center For the Family, Inc. (\$9). The two providers will be issued a contract amendment letter. None of the increases are above the 10% contract threshold authorized by Resolution 296-2021, which allows the committee to accept additional funds from the State of New York in support of the services provided by our agencies without further amendment. A letter signed by the Commissioner and Countersigned by the Agency detailing the increase in state aid is sufficient to document and effectuate the increases as set forth in the original contract.

RE: 965S Cola calculation - Saratoga

Gioia, Marshall (OMH) <Marshall.Gioia@omh.ny.gov>

Thu 8/18/2022 3:00 PM

To: Banden, Lisa <LBanden@saratogacountyny.gov>

Cc: Huang, Songyun (OMH) <Songyun.Huang@omh.ny.gov>

1 attachments (6 KB)

image001.emz;

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Good Afternoon Lisa,

Please see the following 965S allocation details for Saratoga County's 2021 & 2022 SAL. Due to rounding there is a \$2 difference for 2021 and a \$1 difference for 2022, so please feel free to allocate to any of the program codes listed.

2021 SAL (\$2 difference due to rounding)

| | | | | | | | | | |
|---------------------------------|------|----------|-----|----------|----------|-----|----------|---|---------|
| Personnel Services Enhancements | 965S | \$15,254 | \$0 | \$15,254 | \$20,713 | \$0 | \$20,713 | Y | Remarks |
|---------------------------------|------|----------|-----|----------|----------|-----|----------|---|---------|

| 965s Details - Minimum Wage for County State Aid (SAL) | | 2021 | | |
|--|--|-------------------|--|---------------|
| County | Saratoga | <---Select County | | |
| Sum of SumOfTotal SAL | | | | |
| Provider Code | PV_Name | Program Code | Program | Total |
| 40620 | Unlimited Potential, Inc. | 380 | Transitional Employment | 1,215 |
| 40620 | Unlimited Potential, Inc. | | (blank) | 260 |
| 40620 | Unlimited Potential, Inc. | 770 | Psychosocial Club | 3,734 |
| 40620 | Unlimited Potential, Inc. | 3340 | Work Program | 2,078 |
| 40620 | Unlimited Potential, Inc. | 4340 | Ongoing Integrated Supported Employment Services | 1,528 |
| 40620 | Unlimited Potential, Inc. | 5340 | Supported Education | 983 |
| 50300 | Mechanicville Area Community Services Ce | 1760 | Advocacy/Support Services | 272 |
| 50590 | RISE Housing and Support Services Inc. | 3340 | Work Program | 5,183 |
| Grand Total | | | | 15,252 |

2022 SAL (\$1 difference due to rounding)

| | | | | | | | | | |
|---------------------------------|------|----------|-----|----------|----------|-----|----------|---|---------|
| Personnel Services Enhancements | 965S | \$19,155 | \$0 | \$19,155 | \$19,404 | \$0 | \$19,404 | Y | Remarks |
|---------------------------------|------|----------|-----|----------|----------|-----|----------|---|---------|

| 965s Details - Minimum Wage for County State Aid (SAL) | | 2022 | | | |
|--|--|-------------------|---|-----------------------|-----------------------------|
| County | Saratoga | <---Select County | | | |
| Values | | | | | |
| Provider Co | PV_Name | Program | Program | Sum of SumOfTotal SAL | Sum of SumOfTotal Annulized |
| 40620 | Unlimited Possibilities, Inc. | 0380 | Transitional Employment | 1,491 | 1,510 |
| 40620 | Unlimited Possibilities, Inc. | 0770 | Psychosocial Club | 4,596 | 4,656 |
| 40620 | Unlimited Possibilities, Inc. | 3340 | Work Program | 2,481 | 2,513 |
| 40620 | Unlimited Possibilities, Inc. | 380 | (blank) | 271 | 274 |
| 40620 | Unlimited Possibilities, Inc. | 4340 | Ongoing Integrated Supported Employment Services | 1,759 | 1,782 |
| 40620 | Unlimited Possibilities, Inc. | 5340 | Supported Education | 1,184 | 1,199 |
| 40620 | Unlimited Possibilities, Inc. | (blank) | (blank) | 59 | 60 |
| 44140 | Saratoga Center for the Family, Inc. | 1760 | Advocacy/Support Services | 9 | 9 |
| 50300 | Mechanicville Area Community Services Cent | 1760 | Advocacy/Support Services | 284 | 288 |
| 50590 | RISE Housing and Support Services, Inc. | 0650 | Respite Services | 885 | 897 |
| 50590 | RISE Housing and Support Services, Inc. | 2850 | Health Home Care Management Service Dollar Administration | 204 | 207 |
| 50590 | RISE Housing and Support Services, Inc. | 3340 | Work Program | 5,930 | 6,007 |
| Grand Total | | | | 19,154 | 19,402 |

Thank you,

Marshall Gioia

Associate Budgeting Analyst

Hudson River Field Office - Office of Mental Health

10 Ross Circle, Suite 5 North, Poughkeepsie, New York 12601

(T) 845-483-3568 | (F) 845-454-8218 | Marshall.Gioia@omh.ny.gov

www.omh.ny.gov



From: Banden, Lisa <LBanden@saratogacountyny.gov>

Sent: Wednesday, March 23, 2022 4:46 PM

To: Huang, Songyun (OMH) <Songyun.Huang@omh.ny.gov>

Subject: 965 Cola calculation

ATTENTION: This email came from an external source. Do not open attachments or click on links from unknown senders or unexpected emails.

Hi Songyun, everyone now knows you're it! Constance is moving on. So, I am trying to figure out how the total calculation was arrived at under FC 965S? The total is \$5,421 and for the life of me I cannot figure it out. Can you help me? Should I have gotten a worksheet from you or something else I should be looking at? Thank you for your help.

Lisa Banden

Fiscal Manager

Saratoga County Mental Health & Addiction Services

135 South Broadway

Saratoga Springs, NY 12866

(518) 584-9030 x1061

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SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 296 - 2021

Introduced by Supervisors O’Connor, Barrett, Connolly, Grasso, Lant, Winney and Wood

AUTHORIZING ONGOING MENTAL HEALTH CONTRACTS FOR 2022 - 2024

WHEREAS, the Community Services Board assists our Commissioner of Mental Health and Addiction Services in administrating the County’s many varied mental health programs; and

WHEREAS, contracts with certain mental health service providers will expire on December 31, 2021; and

WHEREAS, our Health and Human Services Committee has recommended that said expiring contracts be renewed for a term of three years; now, therefore, be it

RESOLVED, that the Chair of the Board is authorized to execute renewal agreements for a term of three years commencing on January 1, 2022 and terminating on December 31, 2024 with the following agencies to provide for the indicated funding per year for their services, subject to State appropriations therefor:

| <u>ORGANIZATION</u> | <u>TOTAL</u> | <u>FUNDING LINE</u> |
|---|--------------|--|
| Albany Diocesan School Board aka/Roman Catholic Diocese of Albany | \$ 37,304 | NYS OASAS-\$27,849 Saratoga County-\$9,455 |
| The Alcohol and Substance Abuse Prevention Council of Saratoga, Inc. | \$ 683,931 | NYS OASAS-\$658,151 Saratoga County-\$25,780 |
| Captain Community Human Services Corp. | \$ 41,301 | NYS OMH - \$30,836 Saratoga County- \$10,465 |
| Center for Disability Services, Inc. aka/United Cerebral Palsy of the Tri-Counties, Inc. | \$ 10,264 | Saratoga County-\$10,264 |
| Community, Work and Independence, Inc. | \$ 8,646 | NYS OMH-\$8,646 |
| Franklin Community Center, Inc. | \$ 75,932 | NYS OASAS - \$56,687 Saratoga County-\$19,245 |

| | | |
|--|-------------|--|
| Mechanicville Area Community Services Center, Inc. | \$ 14,992 | NYS OMH-\$10,084 NYS OASAS-\$1,486 Saratoga County-\$3,422 |
| Unity House of Troy, Inc. | \$ 14,039 | NYS OMH-\$14,039 |
| Northeast Parent and Child Society, Inc. | \$ 12,961 | NYS OMH-\$12,961 |
| Rehabilitation Support Services, Inc. | \$ 132,018 | NYS OMH-\$132,018 |
| Saratoga Bridges, NYS Association for Retarded Citizens, Inc., Saratoga County Chapter | \$ 64,311 | NYS OMH-\$8,544 Saratoga County-\$55,767 |
| Saratoga Center for the Family, Inc. | \$ 18,705 | NYS OMH-\$7,620 Saratoga County-\$11,085 |
| Shelters of Saratoga, Inc. | \$ 52,003 | NYS OMH-\$38,823 Saratoga County-\$13,180 |
| Rise Housing and Support Services, Inc. | \$1,481,506 | NYS OMH-\$1,215,739 NYS OASAS-\$265,767 |
| Unlimited Possibilities, Inc. d/b/a Unlimited Potential | \$ 716,389 | NYS OMH-\$679,966 Saratoga County-\$36,423 |

and, be it further

RESOLVED, that the Health and Human Services Committee is hereby authorized to accept additional grant funds from the State of New York in support of the services provided by the foregoing agencies in an amount not to exceed 10% of amounts stated above per year; and be it further

RESOLVED, that each renewal agreement authorized herein shall provide that the amount stated above may be increased by up to 10% per year of said amount to include additional State grant funding received for the services provided by the agency without further amendment; and, be it further

RESOLVED, that the form and content of such contracts shall be subject to the approval of the County Attorney; and be it further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: Funding for these contracts has been placed in the 2022 Tentative Budget.



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

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CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Mental Health and Addiction Services

DATE: 10/03/22

COMMITTEE: Health and Human Services

RE: Authorizing a 3 year agreement with Qualtrics, LLC to provide services for digital services navigator software.

1. Is a Resolution Required:

Yes, Contract Approval

2. Proposed Resolution Title:

Authorizing a 3 year agreement with Qualtrics, L

3. Specific Details on what the resolution will authorize:

This resolution will authorize the agreement with Qualtrics, LLC to expand access to a variety of health and human services resources, in connection with care at the Department of Mental Health and Addiction Services.

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|----------------------|----------|
| A.43-2770 | Unclassified Revenue | \$14,500 |

Expense

| Account Number | Account Name | Amount |
|----------------|--------------|----------|
| A.43.434-8520 | Software | \$14,500 |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|-------------------|-----------|-------------|-------|
| Opioid Settlement | | | |

5. Identify Budget Impact:

The budget will be amended to accept these funds and authorize the related

- a. G/L line impacted A.43-2770 & A.43.434-8520
- b. Budget year impacted 2022
- c. Details
 - Year 1- \$14,500
 - Year 2- \$16,500
 - Year 3- \$18,500
 - Total Contract- \$49,500

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

Human Resources Consulted

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation Sole Source

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term: October 18, 2022

f. Termination of contract date:

g. Contract renewal and term: 3 year term

h. Contact information: Qualtrics, LLC
333 W. River Park Dr.
Provo, UT 84604

i. Is the vendor/contractor an LLC, PLLC or partnership: LLC

j. State of vendor/contractor organization: Utah

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Purchasing Office Consulted

County Administrator's Office
Consulted

8. Is a grant being accepted: YES or NO
- a. Source of grant funding:
 - b. Agency granting funds:
 - c. Amount of grant:
 - d. Purpose grant will be used for:
 - e. Equipment and/or services being purchased with the grant:
 - f. Time period grant covers:
 - g. Amount of county matching funds:
 - h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other _____

10. Remarks:

This contract will be paid for by Opioid Settlement Funds.



qualtrics^{XM}

+



Proposal to Saratoga County, NY

Yasmine Syed
Account Executive, State and Local Government
ysyed@qualtrics.com
518-951-0567

SOFTWARE: CX DIGITAL - SERVICES NAVIGATOR

Based on our understanding of your requirements, we are proposing the below costs on an annual pricing model. This offer will remain valid for 90 days from the reception of this proposal. Glossary of terms below included in this proposal on Page 5.

| Features | CX Digital - Services Navigator |
|---|---------------------------------|
| Email & SMS Distribution | ✓ |
| Role-based Dashboards | ✓ |
| XM Solutions | ✓ |
| XM Directory | ✓ |
| Text IQ | ✓ |
| Driver iQ | ✓ |
| Basic Stats iQ | ✓ |
| Expert Review & Sensitive Data Handling | ✓ |
| Language Translation | ✓ |
| Single Sign-On (SSO) | ✓ |
| CRM Integration | ✓ |
| Help Desk & Support Integrations | ✓ |
| xFlow / Workflow Engine | ✓ |
| Action Planning | ✓ |
| API Developer Tools | ✓ |
| Experience Journeys | ✓ |
| Basic Digital Feedback | |
| CustomerXM for Digital | ✓ |
| Product specific XM Solutions | ✓ |
| In-app feedback (Mobile SDK) | ✓ |
| Frontline Feedback | |
| Review Management & Social Listening* | |
| IVR* | |
| Discover* | |

*Optional offerings, additional scoping and pricing required & not included herein

IMPLEMENTATION

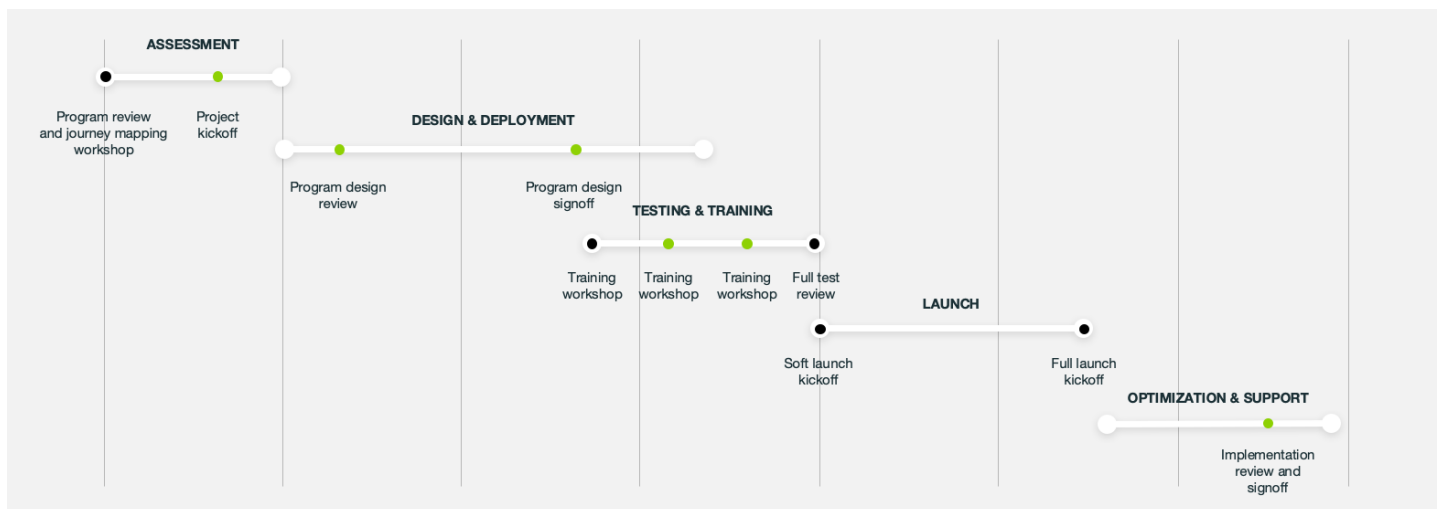
Implementation includes the following delivered over 8-12 weeks (see example timeline below). **Implementation is a year 1 only cost** and is typically fulfilled by a certified member of the Qualtrics Partner Network (QPN). An in-depth Statement of Work will be provided and agreed upon before contract execution.

Project Management: management of the entire implementation process to ensure all work streams are completed in the agreed upon time frame.

1 Standard Survey Support: advise on survey creation, final survey review and validation, and survey mapping to dashboard.

1 Standard Dashboard Build: advise on dashboard build and perform dashboard review and validation.

Basic Feature Training: training and set up of functionality included in your Qualtrics license.



3-YEAR PLAN

Implementation by Red Pepper Software to be billed separately (Year 1 cost only): \$7,250

| | |
|--------------|---|
| Year 1 | CX Digital - Services Navigator 5 Users, 10 Million Digital Page Views, 50,000 SMS Text Reserve \$35,140 \$14,500 |
| Year 2 | CX Digital - Services Navigator 5 Users, 10 Million Digital Page Views \$35,140 \$16,500 |
| Year 3 | CX Digital - Services Navigator 5 Users, 10 Million Digital Page Views \$35,140 \$18,500 |
| TOTAL | \$49,500 |

*Costs shown do not include reseller markup (if applicable)

**Additional scoping may be required

GLOSSARY OF TERMS

Action Planning: Functionality built directly into the dashboard that allows users to create action plans based off project data. In addition to action plans, managers can view reports for their teams and the teams that roll up to them.

Admin Users: A login to create surveys, manage projects, analyze/report on data, etc. Does not include user seat for role-based dashboards (see Dashboard Viewers).

API Developer Tools: Access to Qualtrics Open API using api.qualtrics.com

Basic Stats iQ (Describe, Relate, Regression):

Describe: Describes, visualizes and summarizes a variable, enabling you to get a feel for how your data is structured, examine any issues with your data, and think up hypotheses to explore later. If you have multiple variables selected when you Describe, one analysis will be produced for each variable, and they'll be ordered as they are on the left-side variable pane.

Relate: Explore the relationships between variables by choosing the appropriate statistical test based on the structure of the data and allow the program to run that test, then translate the results into plain English. Dozens of variables can be selected at a time.

Regression: Estimates a mathematical formula that relates one or more input variables to one output variable.

Basic Digital Feedback: 2 projects and 4 intercepts allowed. Responsive dialogue (pop-up modal) and persistent feedback (always on tab on website) can be used. Limited set of targeting conditions (i.e. device type, user agent, browser, current URL, cookie). The advanced capability is called "CustomerXM for Digital".

CustomerXM for Digital: Full Digital capabilities including 50 projects and 100 intercepts, plus all types of intercept types and creatives (embedded feedback, mobile embedded feedback, pop-over, sliders, custom HTML, infobar, mobile prompt, mobile notifications).

Discover: Qualtrics Discover is a way to run analytics on call center recordings and uncover X-data without ever sending a survey.

Driver iQ: Explains trends in data by analyzing patterns and surfacing the experience and operational factors that matter most.

Experience Journeys: Experience Journeys empower you to visualize, measure, and monitor the cumulative customer journey across multiple touchpoints so you can better understand where to take action to improve customer satisfaction and loyalty.

ExpertReview: Suggests best practices in surveys, turning first-time survey-builders into survey methodology experts based on the cumulative knowledge of 1,000+ experts. Helps to ensure a better user-experience with the survey and help with a better response.

ExpertReview – Compliance Assist: Builds on ExpertReview and helps in identifying if your question will collect highly sensitive or personal data, as outlined by your organization, as well as tracking patterns to ensure that you are collecting the highest quality of data and warning if the data may be from a bot.

Frontline Feedback: Frontline feedback activates employees to provide customer experience feedback in structured ways

Professionally Developed Theme: Qualtrics' engineering team will develop a survey theme specific to a company

Role-Based Dashboards: Ability to filter and slice and dice operational and experience data and assign different views based on role.

Single Sign-On (SSO): Allows users to log into Qualtrics using their organization's internal login system. (requires paid configuration service for the customer to be activated)

Text iQ: Qualtrics' text analysis tool that measures qualitative data by applying advanced natural language processing over raw text to transform thoughts and conversations into meaningful and actionable insights.

Vanity URL: A feature that allows the user to rebrand their URL, removing Qualtrics' name entirely

Website Feedback: A tool that allows the user to embed links and surveys on your visitors' experience. Also users can help users navigate to services more efficiently.

xFlow / Workflow Engine: Receive alerts and notifications for key events and integration with Actions framework, that help you understand what is important and take relevant action. The ability to raise alerts and send email / in-app notifications when important events occur.

XM Directory: A single system of record for every interaction. Qualtrics iQ Directory is an easy way to see all your respondents' interactions, opinions and contact information in one place. It makes it easier than ever to customize their experience, control global opt outs, contact frequency and automate rewards for engagement.

XM Solutions: Pre-built and validated surveys and dashboards allowing you to be an "editor" rather than an "author" of projects.

Qualtrics Experience Management

Qualtrics created the Experience Management (XM) category and enables organizations to design and improve customer experiences, employee experiences, program/service experiences, and brand experiences—in a single, secure platform. Qualtrics is the only platform that can measure every experience throughout citizen/resident and employee journeys and tie them all together to produce automated actions to close gaps.

Qualtrics is the Market's XM Thought Leader

Understanding and acting on stakeholder experiences enables governments to better serve their communities, optimize programs and services, and retain top talent. This is achieved by infusing pragmatic, scientific thinking into day-to-day operations and informing long-term planning. However, this creates several challenges for leaders, including determining how to 1) turn stakeholder feedback into evidence-based policy and decision-making, 2) measure and improve program efficiency and optimize tax dollars, and 3) address IT governance and data security issues.

Qualtrics provides a secure, out-of-the-box solution that fully addresses these challenges and integrates seamlessly with key systems for a streamlined view of all data. Qualtrics empowers leaders and staff to drive meaningful improvements through better, data-driven decisions—and that's one of many reasons why Qualtrics is the trusted choice of 16,000+ organizations globally, including 88% of the Fortune 100, 99 of the top 100 US business schools, and 800+ government agencies.

Fastest Pace of Technological Innovation

We can scale to Saratoga County's future XM programs at a pace unmatched by our competitors because of our single, agile technology platform and unparalleled operational infrastructure. **Qualtrics owns and developed all leading-edge technology modules built into our XM stack.** Our 800+ product engineers—the total size of some of our competitor's entire workforce—continually enhance and develop Qualtrics' proprietary solution capabilities and release new, user-friendly features.

Lowest Total Cost of Ownership

Other vendors provide minimal visibility into what drives program costs and what future development/expansion costs look like. The pain is often experienced after the initial contract is signed when unbudgeted fees are added to account for program changes (e.g. dashboards, closed-loop, hierarchies—both simple and complex changes). With Qualtrics, Saratoga County can add as many surveys, dashboards, touchpoints, etc. as needed without worrying about unknown program costs.

Our Best-in-Class Platform

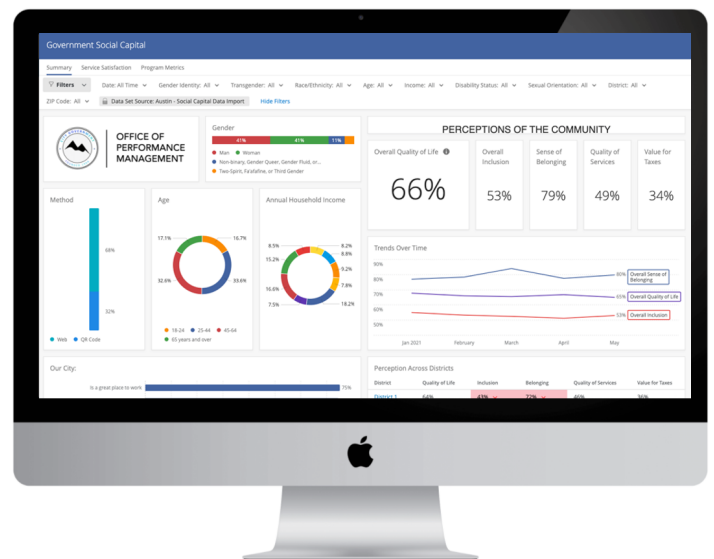
Qualtrics XM encompasses four core solutions: Customer Experience (CX), Employee Experience (EX), Product Experience (PX), and Brand Experience (BX). All of our solutions are built on our robust CoreXM platform, enabling a unified approach to experience management.

Other platforms on the market are fragmented and create data silos, trust and governance issues, and a culture of inaction. Our platform connects and correlates operational data (hard numbers like cost, accounting, sales) with experience data (human emotions, thoughts, sentiment) on a single system of interpretation to understand, prioritize, and take action that drives your business toward key outcomes and goals.

With our platform, your organization can seamlessly:

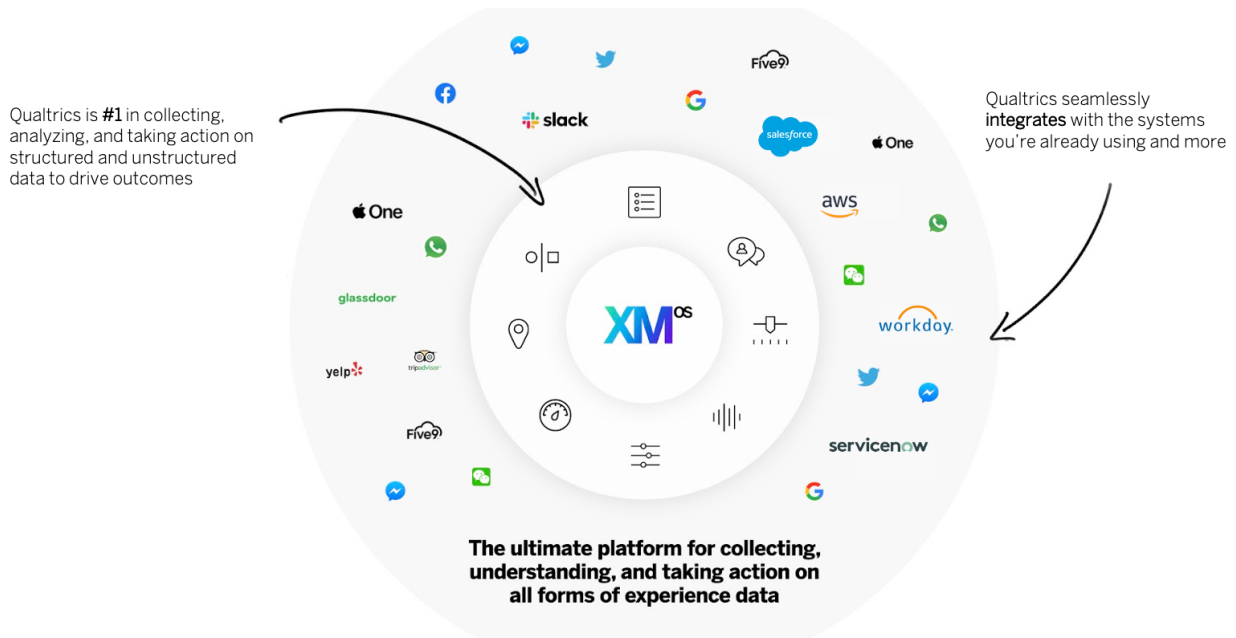
Enable a holistic feedback view.

- Build a unified view of all stakeholder interactions with their feedback, channels, preferences and profile records—all in one place.
- Manage stakeholder profiles, preferences, and identities across departments.
- Listen across all channels where people are leaving feedback—whether direct (surveys, chats), indirect (online reviews), or ambient (generated in the moment)—and build a view of journeys across all touchpoints and listening channels.
- Deliver personalized experiences at scale with insights around stakeholder behavior and preferences.



Integrate experience data in business workflows.

- Drive action and improvement by integrating experience data with your operational systems and business workflows.
- Automate any task and workflow connecting experience data. Raise a ticket, share a result, create an event, send a follow up, schedule an upload and any number of tasks.
- Develop custom apps, plugins, visualizations, and automations with a vast API surface.
- Leverage an extensive ecosystem of partners to extend your reach and integrate with existing systems such as [Salesforce](#).



Ensure data security.

- Ensure compliance with a platform that meets gold standard security standards, including FedRAMP, GDPR, HITRUST, ISO 27001/17/18, SOC 2 Type 2, HIPAA and more.
- Implement controls on user and data access, and sensitive data handling.
- Remove data silos with a single system of record.
- Reduce data entropy and ensure governance of data quality, reporting, and analytics.



Uncover patterns and trends.

- Capture signals across channels—such as chat, phone calls, and Outlook—and view visualizations of emotion, effort, and intensity of both the agent and the citizen/resident.
- Arrive at insights faster with automatic topic categorization, including surfacing trending topics to the people that need to see them and recommended focus areas.
- Use 150+ out-of-the-box models to automatically interpret and categorize issues, making it easier to close the loop and resolve pain points proactively.
- Track and streamline each individual's interactions with your agency in one directory (xID)

AI with iQ.

Qualtrics iQ is a collection of features built on artificial intelligence, machine learning and advanced analytics to help leaders predict and prioritize key drivers of employee engagement and unlock the “why” behind employee data.

- Stats iQ: Enables everyone, from beginners to expert analysts, to uncover meaning in data, identify trends, and produce predictive models without spending days in SPSS or Excel - no training required.
- Text iQ: With artificial intelligence and natural language processing, Text iQ analyzes it all so Saratoga County can see what matters most with added sentiment analysis.
- Driver iQ: Use financial impact and advanced regression analyses to automatically recommend improvements Saratoga County can make for the highest ROI.
- Predict iQ: Predicts which elements of the employee experience will have the most impact on engagement.

Our platform pairs radical flexibility with world-class scalability so that you can listen to stakeholders, analyze their feedback, and close experience gaps in one place. We believe our XM solutions will drive value for Saratoga County with the ability to easily mature and expand your programs to meet all of your current and future needs in a single, streamlined platform.

Unlimited APIs.

Qualtrics offers a robust set of APIs that allows for outbound (from Qualtrics) data exports to an external system on a recurring basis. Alternatively, recurring custom exports can be built using Qualtrics' engineering services. In addition, Qualtrics allows for the email distribution of dashboards on a regular basis (e.g. on Mondays at 8am, a dashboard page export can be generated and sent to an end user or end users).

Multiple data exports.

PDF, MS Word, Excel, CSV, TSV, XML, SPSS, HTML, Fixed Field Text, Tableau, JSON, Open Data Protocol

Customization with ease.

Qualtrics survey look and feel can be customized on a "per survey" basis. The Qualtrics design team can create a custom branded survey template for each client. Survey administrators also have this capability, which allows for quick and easy branding of Qualtrics' surveys. Our "look & feel" editor makes it easy for administrators to create their own templates and themes with just a few clicks. With this tool, you can increase your admin productivity, comply with brand guidelines, and provide engaging experiences for your survey respondents.

In addition to survey questions being fully customizable, Saratoga County can also customize the survey form by section headers or competencies. You can customize the question flow for different factors using skip logic and display logic functionality.

Languages.

Qualtrics has multilingual survey delivery capabilities in over 70 languages with the ability to translate into 200+ languages, including Spanish, French, and Chinese. Survey participants will be able to toggle back-and-forth to take the survey in a particular language.

About Qualtrics

Qualtrics was founded in 2002 with a belief that we could revolutionize the way people did research. In March 2017, we declared our vision for how future industry leaders will measure the strength of their organization: experience management. We unveiled Qualtrics Experience Management (XM), a revolutionary software that allows organizations to tie all of their customer, employee, brand, and product experience research together with operational data to direct their trajectory.

Today, our platform collects over 3 billion responses annually in support of customer, employee, product, brand, and every other kind of research. Over 16,000 enterprises worldwide, including 88% of the Fortune 100, 800+ government organizations, and 99 of the top 100 U.S. business schools, rely on Qualtrics. They partner with us not only because of our industry-leading technology, but because of the innovations our 800+ software engineers are adding to the platform daily to save organizations time, money, and help them do research and analysis to understand experiences scale.

Our enterprise platform has enabled our customers to deploy projects that survey millions of respondents and deliver thousands of analytical reports. Some of our County government clients include:

| | |
|--------------------------------------|---|
| Hennepin County Public Health, MN | Milwaukee County, WI |
| San Francisco County, CA | Ocean County, NJ |
| San Diego County, CA | Allegheny County, PA |
| Los Angeles County Public Health, CA | Chester County, PA |
| Ventura County, CA | Harris County Public Health, TX |
| Miami-Dade County, FL | Sacramento County, CA |
| Lake County Health Department, IL | Dallas County Health & Human Services, TX |
| St. Louis County, MO | Winnebago County, IL |
| Oakland County, MI | Austin-Travis County Mental Health, TX |
| Atlantic County, NJ | Salt Lake County, UT |
| Maricopa County, AZ | Ottawa County, MI |
| Kent County, MI | ...and many more |

Among various awards, Qualtrics is recognized as the leader in experience management by Forrester and Gartner.

- In 2022, [Qualtrics was named a leader in the Forrester Wave: People-Oriented Text Analytics](#) and received the highest scores possible in product vision, omnichannel data integration and partner ecosystem.
- Qualtrics was named a [Leader in Gartner's 2021 Magic Quadrant for the Voice of the Customer](#). Qualtrics was the highest positioned vendor for Ability to Execute, and one of the highest placed vendors in Completeness of Vision.

To whom this may concern,

This letter serves to notify you that Qualtrics, LLC is the sole provider of the leading research and insights platform available on www.qualtrics.com, offering the unique combination of technology and expertise as detailed below:

- **Advanced website targeting:** website feedback software to pinpoint web visitors with targeted messaging using over 20 behavioral, location, and device-type variables.
- **Data Ownership:** Customers own and control all data entered in or collected by Qualtrics technology. This includes survey definitions, questions, response data, panel data, and uploaded content such as graphics, user information, and report results/analysis from such data.
- **Data analysis:** Real-time reporting, flexible dashboards, text analytics, Bain Certified NPS and benchmarking, can all be gauged and generated within the insight platform.
- **Collaboration:** The platform allows surveys, messages, and libraries to be collaborated or shared only within the 1.2 million users of Qualtrics.
- **Employee Insights:** Qualtrics provides multi-rater assessments, employee engagement surveys, hierarchical reporting, and onboarding feedback and exit surveys.
- **Integration:** The platform supports integrations with external systems (CRM platforms, email service providers, analytics and reporting platforms, HRMS/HRIS systems, and more). Other integrations include Microsoft Dynamics, Salesforce, Adobe Sitecatalyst, Oracle CRM, SAS, Twitter, Facebook, SQL server, PeopleSoft, Google Analytics, PayPal, YouTube, Marketo, Tableau, among others.
- **Security:** All Qualtrics products enable customers to control individual permissions for their accounts, web intercepts, dashboards and surveys.
- **Web Intercepts:** These can be completely customized with images, text and logos and provides a built-in rich text editor and HTML view. Said web intercepts can only be integrated in and used with the Qualtrics survey platform.
- **Libraries:** The platform offers a unique global resource library of surveys, questions, and images that can be used for survey creation only within the Qualtrics platform.
- **Duplication Management:** The platform automates de-duplication within distribution lists for more targeted outreach.
- **Subject matter expertise:** In addition to market-leading technology, Qualtrics provides subject matter expertise to optimize each unique project with the best industry and research resources available.
- **SMS:** The platform supports surveys taken through Short Message Services (SMS).
- **Administration:** The platform allows administrators and sub-administrators to manage the various user accounts. The platform also has a built-in survey approval process that requires surveys to be previewed and approved before distribution. This is unique to Qualtrics technology.
- **Vocalize:** This dashboard product integrates with the Insights Platform to visualize data in real time, filter results for permission-based access, and allow for text analytics and closed-loop case management.
- **Conversational Analytics:** This engine, which is a hybrid of rules and machine learning techniques, performs full, native deep linguistic analysis on every sentence that is ingested into the platform to yield meaningful outputs which can be used in reporting and analysis. Not all enrichments are available in all languages.

Best regards,



Mark Creer, Managing Counsel
Qualtrics, LLC



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board
Stephanie Hodgson, Director of Budget

CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Public Health Services

DATE: September 29, 2022

COMMITTEE: Health and Human Services

RE: Potential Substance Use Prevention and Control Initiatives

1. Is a Resolution Required:

2. Proposed Resolution Title:

3. Specific Details on what the resolution will authorize:

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

| |
|---|
| County Administrator's Office Consulted <input type="checkbox"/> |
|---|

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Expense

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|--------------|-----------|-------------|-------|
| | | | |

5. Identify Budget Impact:

| |
|--|
| |
|--|

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

| |
|---|
| County Administrator's Office Consulted <input type="checkbox"/> |
|---|

a. Source of grant funding:

b. Agency granting funds:

c. Amount of grant:

d. Purpose grant will be used for:

e. Equipment and/or services being purchased with the grant:

f. Time period grant covers:

g. Amount of county matching funds:

h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other _____

10. Remarks:
Discussion only.



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board
Stephanie Hodgson, Director of Budget

CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Department of Social Services

DATE: September 29, 2022

COMMITTEE: Health and Human Services

RE: Acceptance of Adult Protective Services Grants - American Rescue Plan Act (ARPA 1 and ARPA 2)

1. Is a Resolution Required:

Yes, Grant Acceptance

2. Proposed Resolution Title:

Adult Protective Services Grant - American Rescue Plan Act (ARPA 1 and ARPA 2)

3. Specific Details on what the resolution will authorize:

The Resolution will allow Department of Social Services to accept an allocation of federal funds through the American Rescue Plan Act (ARPA 1 and ARPA 2) , to improve and expand the ability of the LDSS's Adult Protective Services to investigate allegations of abuse, neglect and exploitation and provide associated services to Clients.

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

| |
|--|
| County Administrator's Office Consulted <input checked="" type="checkbox"/> |
|--|

- Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|-----------------------|--------------|
| A.60-4610 | Social Services Admin | \$119,997.00 |

Expense

| Account Number | Account Name | Amount |
|---|--------------|--------|
| See Attachment 1 - ARPA 1,2 Expense Lines | | |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|--------------|-----------|--------------|-------|
| | | \$119,997.00 | |

5. Identify Budget Impact:

| |
|---|
| The budget will be amended to accept these funds and authorize the related expenses |
|---|

- a. G/L line impacted See Attachment 1 - ARPA 1,2 Expense Lines
- b. Budget year impacted 2022
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

Human Resources Consulted

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office
Consulted

a. Source of grant funding:

Federal

b. Agency granting funds:

Office of Children and Family Services

c. Amount of grant:

\$119,997.00

d. Purpose grant will be used for:

Support APS staff and provide goods and services to APS clients.

e. Equipment and/or services being purchased with the grant:

Enhance legal interventions including improved awareness and training for community partners, stakeholders and for APS staff; goods and services for APS clients to enhance their safety and ability secure emergency housing, obtain alternative housing or

f. Time period grant covers:

ARPA-1: August 1, 2021 to May 31, 2023; ARPA-2: August 1, 2022 to September 30, 2024.

g. Amount of county matching funds:

\$0.00

h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other _____

10. Remarks:

It is possible the time period for each allocation may be extended.

Attachments:

1- Attachment 1: ARPA 1,2 Expense Lines

2- 22-OCFS-LCM-04 Administration for Community Living (ACL) – American Rescue Plan Act Adult Protective Services (APS) Grant and submitted Attestation.

3- 22-OCFS-LCM-25 Administration for Community Living (ACL) – American Rescue Plan Act Adult Protective Services Grant and submitted Attestation.

4- Resolution 80-2022

5- Draft Resolution for ARPA 1, 2

Attachment 1
 ARPA 1,2 Expense Lines

| Item | Account | Amount | | Total |
|--------------------|---------------|-------------|-------------|------------------|
| | | ARPA 1 | ARPA 2 | |
| Training | A.60.610-8512 | \$3,000 | \$3,000 | \$6,000 |
| Office Equipment | A.60.610.7020 | \$0 | \$4,371 | \$4,371 |
| Office Supplies | A.60.610.8550 | \$0 | \$4,372 | \$4,372 |
| Homemaker Supplies | A.60.610.8261 | \$1,000 | \$2,000 | \$3,000 |
| BICS Payments | A.60.610.7601 | \$36,093 | \$66,161 | \$102,254 |
| ARPA 1 | | \$40,093.00 | | |
| ARPA 2 | | | \$79,904.00 | |
| Total | | | | \$119,997 |



Office of Children and Family Services

Kathy Hochul
Governor

52 WASHINGTON STREET
RENSELAER, NY 12144

Sheila J. Poole
Commissioner



Local Commissioners Memorandum

| | |
|---------------------------------|---|
| Transmittal: | 22-OCFS-LCM-04 |
| To: | Local District Commissioners Directors of Services Adult Protective Supervisors |
| Issuing Division/Office: | Division of Child Welfare and Community Services Division of Administration |
| Date: | March 17, 2022 |
| Subject: | Administration for Community Living – American Rescue Plan Act Adult Protective Services Grant |
| Contact Person(s): | Shelly Fiebich Shelly.Aubertine-Fiebich@ocfs.ny.gov ; 518-402-1639 |
| Attachments: | Attachment A: <i>District Allocation Amounts</i> Attachment B: <i>Attestation of Use of Administration for Community Living – American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services</i> Attachment C: <i>Request for Approval of Equipment Expenditure Exceeding \$5,000</i> Attachment D: <i>Tribes of New York State and County of Residence</i> Attachment E: <i>Annual Program Report Template and Instructions</i> Attachment F: <i>For U.S. Administration for Community Living Grants</i> |

I. Purpose

The purpose of this Local Commissioners Memorandum (LCM) is to advise local departments of social services (LDSSs) of the availability of federal funds through the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services administered by the Administration for Community Living (ACL). The federal ACL has made available one-time funding in the amount of \$4,864,372 to New York State for use from August 1, 2021, through May 31, 2023. This LCM provides information on each LDSS's allocation (Attachment A) from the remaining funds, how the funds can be used, and annual reporting and claiming requirements.

II. Background

These funds are being made available to states to provide resources to enhance, improve and expand adult protective services' (APS) ability to investigate allegations of abuse, neglect and

exploitation. New York State Office of Children and Family Services (OCFS) recently surveyed the districts to ascertain the current needs and services of vulnerable adults in their LDSSs as well as their staff's needs. The survey identified the following needs and services: the need for additional/temporary staff; additional personal protection equipment; the use of tele-health services; and tangible services for clients, such as rental assistance, transportation, and food and meal delivery.

III. Program Implications

LDSSs can only use the funds for the allowable expenditures noted below. LDSSs will be required to sign an attestation (Attachment B) indicating how they will use the funds in accordance with the allowable identified expenditures of the federal grant. LDSSs must also attest that they will not use their allocation to supplant any New York State (NYS) APS funds and that the funds will only be used to supplement existing state and LDSS APS resources. OCFS may reallocate any unspent funds from an LDSS to other LDSSs that have claims that exceed their allocations. Funds can be used from August 1, 2021, through May 31, 2023.

Completed attestations (Attachment B) are due to Shelly Fiebich (Shelly.Aubertine-Fiebich@ocfs.ny.gov) by **April 11, 2022**.

The funds may be used for the following purposes:

- Establishing or enhancing the availability for elder shelters and other emergency, short-term housing and accompanying "wraparound" services for APS clients
- Establishing, expanding or enhancing state-wide and local-level elder justice networks to remove bureaucratic obstacles and improve coordination across the many state and local agencies interacting with APS clients who have experienced abuse, neglect or exploitation
- Working with tribal APS efforts, such as conducting demonstrations on state-tribal APS partnerships to better serve tribal elders who experience abuse, neglect and exploitation; partnering with tribes within the state to include tribal elder abuse data in the state's National Adult Maltreatment Reporting System (NAMRS); and undertaking demonstrations to better understand elder abuse experienced by Tribal individuals living in non-tribal communities and served by state APS programs
- Improving or enhancing existing APS processes for receiving reports, conducting intakes and investigations, planning/providing for services, making case determinations, documenting and closing cases, and continuous quality improvement
- Improving and supporting remote work, such as the purchase of communications and technology hardware, software or infrastructure to provide adult protective services such as
 - laptops
 - smartphones
 - electronic tablets
 - Wi-Fi hotspots and
 - software to facilitate secure video conferencing and virtual meetings.
- Improving data collection and reporting at the caseworker, local and state levels in a manner that is consistent with (NAMRS)
- Costs associated with establishing new or improving existing processes for responding to alleged scams and frauds
- Costs associated with community outreach
- Costs associated with providing goods and services to APS clients

- Acquiring personal protection equipment and supplies
- Paying for extended hours/overtime for staff, hiring temporary staff and associated personnel costs
- Training costs
- Costs associated with assisting APS clients to secure the least restrictive option for emergency or alternative housing, and with obtaining, providing or coordinating with care transitions as appropriate; these funds can be used to temporally assist an APS client in securing housing services with a Family-Type Home for Adults

Any prospective equipment purchases \$5,000 or more **per unit** must receive **prior** approval from OCFS and ACL per 45 CFR 75.320(a)(2). Equipment refers to tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes, or \$5,000. Each district is required to forward to OCFS any proposed equipment purchase costing \$5,000 per unit or more using Attachment C.

When submitting equipment purchase requests using Attachment C, the following information is required:

- Identification of and cost of purchase
- Purpose and intended use of the proposed purchase
- Market research completed (i.e., obtaining bids, assessment of lease vs. purchase)
- Efforts to adhere to "Buy American"

Equipment purchase requests (Attachment C) should be submitted directly to OCFS. OCFS will review and approve or disapprove the purchase request. If approved, then OCFS will provide the purchase request to ACL for review. Once OCFS receives the response from ACL, the LDSS will be contacted immediately by OCFS. Once prior approval is received, districts should then follow their own procurement policies.

IV. Annual Reporting Requirements

LDSSs awarded funding need to submit an annual programmatic report that details how the funds were used in accordance with the federal requirements and what challenges and successes they encountered in using the funds. A template and instructions are provided in Attachment E.

Additionally, LDSSs with tribes residing within the LDSS must work collaboratively with the tribes to provide support to those individuals age 60 or older who have an APS need. A list of the tribes and the LDSS they reside in is in Attachment D.

Completed programmatic reports must be emailed to Shelly Fiebich at Shelly.Aubertine-Fiebich@ocfs.ny.gov as instructed in Attachment E.

V. Claiming Requirements

There is \$4,044,272 in federal funds for expenditures related to the implementation of the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services. Claims for these funds must be submitted as described below. These funds are to be used only to

reimburse expenditures beginning August 1, 2021, and ending May 31, 2023, and final accepted in the Automated Claiming System (ACS) by July 29, 2023.

Expenditures for the Adult Protective ARPA project should be claimed through the RF17 claim package for special project claiming. These costs are first identified on the RF2A claim package as F17 functional costs and reported in the F17 column on the LDSS-923, *Cost Allocation Schedule of Payments Administrative Expenses Other Than Salaries* and the LDSS-2347, *Schedule D DSS Administrative Expenses Allocation and Distribution by Function and Program*. After final acceptance of the RF2A claim package, the individual project costs are then reported under the project label Adult Protective ARPA on the LDSS-4975A, RF17 Worksheet, *Distribution of Allocated Costs to Other Reimbursable Programs*.

Non-salary administrative costs are reported with the appropriate object of expense(s) on the LDSS-923B, Summary-Administrative (page 1), *Schedule of Payments for Expenses Other Than Salaries for Other Reimbursable Programs*. Program costs should be reported as object of expense 37 - Special Project Program Expense on the LDSS-923B, Summary-Program (page 2), *Schedule of Payments for Expenses Other Than Salaries for Other Reimbursable Programs*.

Total project costs should be reported on the LDSS-4975, *Monthly Statement of Special Project Claims Federal and State Aid (RF-17)* as 100% federal share. For each LDSS, the expenditures reported for the Adult Protective ARPA will be reimbursed up to the amount of the district's allocation.

Further instructions for completing the time studies, Schedule D, and RF17 claim package are found in Chapters 4, 7 and 18, respectively, of the *Fiscal Reference Manual (FRM)*, Volume 3. The FRM is available online at <http://otda.state.ny.net/bfdm/finance/>.

VI. Contacts

Questions pertaining to the allocations may be directed to:

Shonna Clinton, Local Operations Manager, Bureau of Budget Management
(518) 474-1361
Shonna.Clinton@ocfs.ny.gov

Any ACS claiming questions should be directed to the OTDA Bureau of Financial Services by email or telephone:

Lauren Horn (Regions I-V) at (518) 474-7549
otda.sm.Field_Ops.I-IV@otda.ny.gov

Michael Simon (Region VI) at (212) 961-8250
Michael.Simon@otda.ny.gov

/s/ Lisa Gharthey Ogundimu, Esq.

Issued by:

Name: Lisa Gharthey Ogundimu, Esq.

Title: Deputy Commissioner

Division/Office: Division of Child Welfare and Community Services

/s/ Derek J. Holtzclaw

Issued by:

Name: Derek J. Holtzclaw

Title: Deputy Commissioner

Division/Office: Division of Administration

**Attachment A:
District Allocation Amounts**

| District | Allocation | District | Allocation |
|-----------------|-------------------|------------------------|--------------------|
| Albany | \$66,403 | Ontario | \$16,457 |
| Allegany | \$13,156 | Orange | \$57,049 |
| Broome | \$39,342 | Orleans | \$4,702 |
| Cattaraugus | \$7,178 | Oswego | \$23,686 |
| Cayuga | \$16,332 | Otsego | \$13,706 |
| Chautauqua | \$35,915 | Putnam | \$19,458 |
| Chemung | \$22,710 | Rensselaer | \$40,718 |
| Chenango | \$3,177 | Rockland | \$54,148 |
| Clinton | \$8,429 | Saratoga | \$40,093 |
| Columbia | \$17,357 | Schenectady | \$25,336 |
| Cortland | \$11,830 | Schoharie | \$5,077 |
| Delaware | \$31,714 | Schuyler | \$9,729 |
| Dutchess | \$51,622 | Seneca | \$4,552 |
| Erie | \$231,050 | St. Lawrence | \$29,137 |
| Essex | \$6,478 | St. Regis | \$1,951 |
| Franklin | \$8,654 | Steuben | \$41,117 |
| Fulton | \$17,108 | Suffolk | \$105,020 |
| Genesee | \$11,905 | Sullivan | \$22,860 |
| Greene | \$8,529 | Tioga | \$12,080 |
| Hamilton | \$1,275 | Tompkins | \$20,309 |
| Herkimer | \$18,383 | Ulster | \$15,506 |
| Jefferson | \$18,708 | Warren | \$9,129 |
| Lewis | \$4,051 | Washington | \$13,055 |
| Livingston | \$14,456 | Wayne | \$5,478 |
| Madison | \$7,929 | Westchester | \$72,831 |
| Monroe | \$109,447 | Wyoming | \$4,927 |
| Montgomery | \$9,629 | Yates | \$2,176 |
| Nassau | \$71,706 | | |
| Niagara | \$55,223 | NYC | \$2,327,885 |
| Oneida | \$26,836 | | |
| Onondaga | \$99,568 | Statewide Total | \$4,044,272 |

Attachment B:
Attestation of Use of Administration for Community Living (ACL)
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services

This is to certify that _____ local department of social services (LDSS) will use the allocation of the American Rescue Plan Act funds authorized in the amount of \$ _____ to enhance, improve and expand the ability of the LDSS's Adult Protective Services ability to investigate allegations of abuse, neglect and exploitation, as indicated below. Additionally, we will work collaboratively with any tribe residing within our district to implement this funding, as warranted.

Such funds will not be used to supplant any other state or local funds and the funds will only be used to supplement existing New York State and LDSS APS resources. Claims for reimbursement under this appropriation will not be submitted for the same type and level of funding covered by any other state or locally authorized appropriation.

Plan for use of funds – check all that apply:

- 1. Establishing or enhancing the availability of elder shelters or other emergency, short-term housing and accompanying "wrap-around" services for APS clients
- 2. Establishing or expanding/enhancing the state-wide and local-level elder justice networks
- 3. Working with tribal adult protective services efforts
- 4. Improving or enhancing existing APS processes
- 5. Improving and supporting remote work, such as purchasing communications and technology hardware, software or infrastructure (equipment \$5,000 or more needs OCFS and ACL approval)
- 6. Improving data collection and reporting at the case worker, local and state levels in a manner consistent with the National Adult Maltreatment Reporting System (NAMRS)
- 7. Establishing new or improving existing processes for responding to alleged scams and frauds
- 8. Conducting community outreach
- 9. Providing goods and services to APS clients
- 10. Acquiring personal protection equipment and supplies
- 11. Paying for extended hours/overtime for staff, hiring temporary staff and associated personnel costs
- 12. Training costs
- 13. Assisting APS clients with securing the least restrictive option for emergency or alternative housing and with obtaining, providing or coordinating with care transitions as appropriate

NOTE: On the following page, LDSSs **must identify which project goals the above selected strategies** will support and **the dollar amount** of the grant allocation that will be **devoted to that project(s)**.

LDSS's must project 2022 ARPA 2 funding allocations to completion of the chart on the following page. **LDSS's should plan on receiving approximately 80%** of the total dollar amount of the two 2021 ACL grant allocations for their 2022 ARPA 2 allocation. **(ARPA 2 = 80% of COVID-19 + ARPA 1). The minimum LDSS allocation for ARPA 2 funding is \$25,000.** The LDSS then must designate that dollar amount to be expended for those project goals that will be supported by each ARPA grant allocation.

**Attachment B:
Attestation of Use of Administration for Community Living
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services**

| List the number of each strategy selected from previous page next to the ARPA Project Goal(s) the LDSS intends to impact with these funds (At least one Goal and one row must be selected and completed) | ARPA Project Goal | ARPA Grant #1 Funding Amount designated for each Project Goal selected | ARPA Grant #2 Funding Amount (projected) designated for each Project Goal selected | Selection aligns with current county plan Y/N |
|--|---|--|--|---|
| | Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected, or exploited by others. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Enhance/improve use of legal interventions including improved awareness and training for legal systems partners and stakeholders. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Improve/enhance effective utilization of multidisciplinary teams and community resources to improve investigations, assessments and service delivery to reduce risk and protect vulnerable adults. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Youth aging out of foster care or other child welfare services who could benefit from Adult Protective Services as they reach adulthood will be identified, have their needs assessed and be protected. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |

| | |
|-------------------------------------|-------------------|
| Name of person completing the form: | Date: / / |
| Name of commissioner: | |
| Commissioner's signature: X | Date: / / |

Email completed attestations to Shelly.Aubertine-Fiebich@ocfs.ny.gov by **April 11, 2022**.

**Attachment B:
Strategies and Goal Guide**

The chart below is included as a reference tool to assist in strategy and goal selection for the required attestation.

| ACL Project Goal | Matching ACL Strategies |
|---|---|
| <p>Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected or exploited by others. Lack of staffing resources Enhance data system/technology Identifying LDSS training specific to APS and clients Improve/enhance inter-agency collaborations Improve/enhance communications with systems/providers/agencies</p> | <p><i>Training, Equipment, Temp staff, Response to fraud/scams, Community outreach, PPE, Travel, Improved data collections, System enhancements, enhancing existing processes, Working with Tribal APS partners, enhancing elder justice networks, Establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Enhance/improve use of legal interventions including improved advocacy, awareness, and training for legal systems partners and stakeholders. Better engagement/ training/ understanding with legal/court system</p> | <p><i>Response to fraud/scams, Training, Enhancing existing processes, Temp staff</i></p> |
| <p>Improve/enhance effective utilization of multidisciplinary teams and community partners and resources to improve investigations, assessments, and service delivery to reduce risk and protect vulnerable adults. Improve/enhance inter-agency collaborations Improve/enhance communications with systems/providers/agencies Partner with agencies to increase awareness Improved partnerships with financial institutions Increasing Rep Payee cases/limited supports Identify strategies to better support underserved populations</p> | <p><i>Response to fraud/scams, PPE, travel, goods and services, working with Tribal APS partners, establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults. Lack of resources perpetuate/increase client risks</p> | <p><i>Emergency housing and care transitions, goods and services, community outreach, working with Tribal APS partners, establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect. Misunderstanding of APS roles/authority Identify strategies to better support underserved populations Partner with agencies to increase awareness of practicality of APS role Improved partnerships with financial institutions/appropriate referral</p> | <p><i>Community outreach, training, response to fraud/scams</i></p> |

**Attachment C:
Large Purchase Request for Expenditure Exceeding \$5,000 Form**

Email equipment requests costing \$5,000 or more per unit to
Shelly Aubertine-Fiebich at Shelly.Aubertine-Fiebich@ocfs.ny.gov

| | |
|--|------------------------------|
| Date: | / / |
| Grantee Organization: | (LDSS) |
| Grantee Contact Name: | |
| Grantee Email: | |
| Grant Number: | 2101NYAPC6-00 |
| Attach three cost estimates for the piece of equipment you are requesting and indicate here which bid you are choosing. Cost estimates can be bids from vendors/dealerships or print outs of cost from sellers. | |
| Describe the purpose/intended use of the equipment and how the equipment will benefit the program: | |
| What percentage of the total cost of the equipment/supply will these grant funds cover? If other funding is available, please identify the source and amount. For instance, if the total cost of the item is \$10,000, and the grant program is responsible for \$5,000, and state/territory funds will be used for the remaining \$5,000 write 50% in this space. If grant funds will be used to for the full cost of the purchase, write 100% in this space. | % Source Amount \$ |
| What is the estimated percentage of time the equipment will be used by the APS program? If this purchase is being shared with other programs, indicate the percentage of time that the program will use this item. For instance, if you're purchasing a vehicle partially with APS grant funds and partially with state/territory funds, and your program will only have access to the vehicle 50% of the time, write 50% in this space. If the APS program will have access to the purchase 100% of the time, write 100% in this space. | % |
| Include an analysis of lease and purchase alternatives to determine which would be the most economical and practical procurement of the recipient and the federal government. | |
| Buy American Requirement: Attach information indicating the equipment is produced in the United States. | |

**Attachment D:
Tribes in New York State and County of Residence**

Cayuga Nation of Indians – Seneca and Cayuga Counties

Oneida Indian Nation – Madison County

Onondaga Nation – Onondaga County

St. Regis Mohawk Tribe – Franklin County

Seneca Nation of Indians – Erie, Cattaraugus and Chautauqua Counties

Tonawanda Band of Seneca – Genesee County

Tuscarora Nation – Niagara County

Unkechaug and Shinnecock Indian Nations – Suffolk County

ATTACHMENT E:
Annual Program Report Template and Instructions
New York State ACL Grant Report
REPORTING PERIOD: August 1, 2021-July 31, 2022 (One) DUE DATE August 10, 2022
August 1, 2022-July 31, 2023 (Two) DUE DATE August 10, 2023
Final Report DUE DATE October 30, 2023

Name of Local District:
 Name and Title of Reporter:

Strategy Selected:

Overall Goal: List the Project Goal that was selected on page 2 of the LDSS attestation.

| Objective/Activities Updated | APS Process Model Topic | APS Process Model Topic | APS Process Model Topic | APS Process Model Topic |
|--|--|--|---|---|
| List the specific strategy selected on page 1 of the LDSS attestation that supports the goal noted above and the actual activity completed. | APS Process Model Topic Select the corresponding Input/Resource and stage of the case process. | List what was accomplished with implementing the strategy/activity. List any significant partners and their role in the activity. | List services purchased, goods or staff acquired and total expenditure . List the number of APS clients who received the service or activity. List the number of those who were age 60 or older. | Describe the impact the activity had on the goal. Are there measurable outcomes that can be included to support the impact? Have risks been decreased and safety increased? |
| | | | | |

Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.

Empty space for reporting challenges, barriers, and alterations.

Instructions:

The LDSS must complete and submit an Annual Program Performance Report to OCFS using the attached Reporting Form.

Due Dates: OCFS must submit two (2) statewide reports to ACL by August 31, 2022, and August 31, 2023. To meet that deadline, the **LDSS must submit the annual report to OCFS no later than August 10 of each year. The LDSS must submit the final report to OCFS no later than October 30, 2023.**

The following charts provide examples of report completion, linking activities with stages in the APS process and definitions services.

| Objective/Activity Updated | | | | |
|---|---|--|---|---|
| <p>Establish/enhance elder shelters or other emergency housing and wrap-around services with the development of a new contract(s) for emergency shelter</p> | <p>Community and interagency partnerships</p> | <p>Local government approved several contractual agreements with local motels.</p> <p>Identification of three new emergency housing locations, spread out throughout the county, closer to shopping areas.</p> | <p>Current expenditures for emergency housing for this reporting period are \$30,600.</p> <p>Twelve clients have received this service, 8 of whom are age 60 or older</p> | <p>Twelve clients were removed from unsafe and unsanitary conditions to locations near their current neighborhoods where they could continue to use the same shopping areas and maintain existing social and professional relationships while long-term housing issues were addressed. Such placements allow for independence and dignity to remain intact.</p> |
| <p>Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.</p> | | | | |

| Objectives/Activities Updated | APS Product | APS Product | APS Product | APS Product |
|---|---|---|--|---|
| <p>Improve/support remote work through the purchase laptops and cell phones for case workers</p> | <p>Create New/Enhance Existing Operational Supports</p> | <p>Ten laptops with MiFi and 10 cell phones were purchased for eight case workers and two supervisors</p> | <p>Current equipment and contract expenditures total \$20,000. The equipment has been used for 10 months on 40 APS investigations/cases. Thirty of those cases involved clients age 60 or older.</p> | <p>Initial and follow up visits for all 40 cases were conducted and documented timely. Service availability is confirmed more expeditiously as this can be verified while in the field. Case notes are completed while in the field and are detailed, concise and timely.</p> |
| <p>Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.</p> | | | | |

ATTACHMENT F: FOR U.S. ADMINISTRATION FOR COMMUNITY LIVING GRANTS

Title 45 U.S. Code of Federal Regulations Part 75 (45 CFR 75), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*, section 354(a) states "all pass-through entities must ensure that every subaward is clearly identified to the subrecipient as a subaward and includes the following information at the time of the subaward and if any of these data elements change, includes the changes in subsequent subaward identification."

| | | |
|--------|---|---|
| (i) | Subrecipient Name | Attachment A |
| (ii) | Subrecipient's unique entity identifier | Local Social Service Districts |
| (iii) | Federal Award Identification Number (FAIN) | 2101NYAPC6 |
| (iv) | Federal award date to the recipient by the HHS awarding agency | August 3, 2021 |
| (v) | Subaward period of performance start and end dates | August 1, 2021 – September 30, 2023 |
| (vi) | Amount of federal funds obligated to the subrecipient by this action by the pass-through entity to the subrecipient | Attachment A |
| (vii) | Total amount of the federal funds obligated to the subrecipient by the pass-through entity including the current obligation | Attachment A |
| (viii) | Total amount of the award committed to the subrecipient by the pass-through entity | Attachment A |
| (ix) | Federal award project description | American Rescue Plan for Adult Protective Services under SSA Title XX Section 2042(b) |
| (x) | Name of the HHS awarding agency, pass-through entity and contact information for awarding official of the pass-through entity | Administration for Community Living: Shonna Clinton – (518) 474-2812 Shonna.Clinton@ocfs.ny.gov |
| (xi) | CFDA number and name | 93.747 – American Rescue Plan for Adult Protective Services under SSA Title XX Section 2042(b) |
| (xii) | Identification of whether the award is research and development (R&D) | N |
| (xiii) | Indirect cost rate for the federal award (including if the de minimum rate is charged per section 75.414) | Please see uniform guidance 45 CFR 75 |

Attachment B:
Attestation of Use of Administration for Community Living (ACL)
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services

This is to certify that Saratoga County local department of social services (LDSS) will use the allocation of the American Rescue Plan Act funds authorized in the amount of \$ 40,093 to enhance, improve and expand the ability of the LDSS's Adult Protective Services ability to investigate allegations of abuse, neglect and exploitation, as indicated below. Additionally, we will work collaboratively with any tribe residing within our district to implement this funding, as warranted.

Such funds will not be used to supplant any other state or local funds and the funds will only be used to supplement existing New York State and LDSS APS resources. Claims for reimbursement under this appropriation will not be submitted for the same type and level of funding covered by any other state or locally authorized appropriation.

Plan for use of funds – check all that apply:

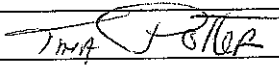
- 1. Establishing or enhancing the availability of elder shelters or other emergency, short-term housing and accompanying "wrap-around" services for APS clients
- 2. Establishing or expanding/enhancing the state-wide and local-level elder justice networks
- 3. Working with tribal adult protective services efforts
- 4. Improving or enhancing existing APS processes
- 5. Improving and supporting remote work, such as purchasing communications and technology hardware, software or infrastructure (equipment \$5,000 or more needs OCFS and ACL approval)
- 6. Improving data collection and reporting at the case worker, local and state levels in a manner consistent with the National Adult Maltreatment Reporting System (NAMRS)
- 7. Establishing new or improving existing processes for responding to alleged scams and frauds
- 8. Conducting community outreach
- 9. Providing goods and services to APS clients
- 10. Acquiring personal protection equipment and supplies
- 11. Paying for extended hours/overtime for staff, hiring temporary staff and associated personnel costs
- 12. Training costs
- 13. Assisting APS clients with securing the least restrictive option for emergency or alternative housing and with obtaining, providing or coordinating with care transitions as appropriate

NOTE: On the following page, LDSSs must identify which project goals the above selected strategies will support and the dollar amount of the grant allocation that will be devoted to that project(s).

LDSS's must project 2022 ARPA 2 funding allocations to completion of the chart on the following page. LDSS's should plan on receiving approximately 80% of the total dollar amount of the two 2021 ACL grant allocations for their 2022 ARPA 2 allocation. (ARPA 2 = 80% of COVID-19 + ARPA 1). The minimum LDSS allocation for ARPA 2 funding is \$25,000. The LDSS then must designate that dollar amount to be expended for those project goals that will be supported by each ARPA grant allocation.

**Attachment B:
Attestation of Use of Administration for Community Living
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services**

| List the number of each strategy selected from previous page next to the ARPA Project Goal(s) the LDSS intends to impact with these funds (At least one Goal and one row must be selected and completed) | ARPA Project Goal | ARPA Grant #1 Funding Amount designated for each Project Goal selected | ARPA Grant #2 Funding Amount (projected) designated for each Project Goal selected | Selection aligns with current county plan Y/N |
|--|---|--|--|--|
| 1,4,5,8,10 | Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected, or exploited by others. | \$27,069.75 | \$47,153.25 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 12 | Enhance/improve use of legal interventions including improved awareness and training for legal systems partners and stakeholders. | \$3,000 | \$3,000 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 9 | Improve/enhance effective utilization of multidisciplinary teams and community resources to improve investigations, assessments and service delivery to reduce risk and protect vulnerable adults. | \$1,000 | \$2,000 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1,9,13 | Youth aging out of foster care or other child welfare services who could benefit from Adult Protective Services as they reach adulthood will be identified, have their needs assessed and be protected. | \$9,023.25 | \$17,837.95 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| | Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect. | \$ | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No |

| | |
|---|------------------|
| Name of person completing the form: Concetta Hmura | Date: 04/08/2022 |
| Name of commissioner: Tina Potter | |
| Commissioner's signature: X  | Date: 4/11/2022 |

Email completed attestations to Shelly.Aubertine-Fiebich@ocfs.ny.gov by April 11, 2022.



Office of Children and Family Services

Kathy Hochul
Governor

52 WASHINGTON STREET
RENSELAER, NY 12144

Sheila J. Poole
Commissioner

Local Commissioners Memorandum

| | |
|---------------------------------|--|
| Transmittal: | 22-OCFS-LCM-25 |
| To: | Local Departments of Social Services Commissioners Directors of Services Adult Protective Supervisors |
| Issuing Division/Office: | Division of Child Welfare and Community Services Division of Administration |
| Date: | September 8, 2022 |
| Subject: | Administration for Community Living – American Rescue Plan Act Adult Protective Services Grant FFY 22 |
| Contact Person(s): | See section IV. |
| Attachments: | Attachment A: <i>District Allocation Amounts</i> Attachment B: <i>Attestation of Use of Administration for Community Living – American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services</i> Attachment C: <i>Large Purchase Request for Expenditure Exceeding \$5,000</i> Attachment D: <i>Tribes in New York State and County of Residence</i> Attachment E: <i>Annual Program Report Template and Instructions</i> Attachment F: <i>For U.S. Administration for Community Living Grants</i> |

I. Purpose

The purpose of this Local Commissioners Memorandum (LCM) is to advise local departments of social services (LDSSs) of the availability of federal funds through the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services administered by the Administration for Community Living (ACL). The federal ACL has made available one-time funding in the amount of \$9,195,346 to New York State for use from August 1, 2022, through September 30, 2024. This LCM provides information on each LDSS's allocation (Attachment A) from the remaining funds, how the funds can be used, and annual reporting and claiming requirements.

II. Background

These funds are being made available to states to provide resources to enhance, improve and expand adult protective services' (APS) ability to investigate allegations of abuse, neglect and exploitation. The New York State Office of Children and Family Services (OCFS) recently surveyed the districts to ascertain the current needs and services of vulnerable adults in their LDSSs as well as their staff's needs. The survey identified the following needs and services: the need for additional/temporary staff; additional personal protection equipment; the use of tele-

health services; and tangible services for clients, such as rental assistance, transportation, and food and meal delivery.

III. Program Implications

LDSSs can only use the funds for the allowable expenditures noted below. LDSSs will be required to sign an attestation (Attachment B) indicating how they will use the funds in accordance with the allowable identified expenditures of the federal grant. LDSSs must also attest that they will not use their allocation to supplant any New York State (NYS) APS funds and that the funds will only be used to supplement existing state and LDSS APS resources. OCFS may reallocate any unspent funds from an LDSS to other LDSSs that have claims that exceed their allocations. Funds can be used from August 1, 2022, through September 30, 2024.

Completed attestations (Attachment B) are due to Shelly Fiebich (Shelly.Aubertine-Fiebich@ocfs.ny.gov) by **September 20, 2022**.

The funds may be used for the following purposes:

- Establishing or enhancing the availability for elder shelters and other emergency, short-term housing and accompanying "wraparound" services for APS clients
- Establishing, expanding or enhancing statewide and local-level elder justice networks to remove bureaucratic obstacles and improve coordination across the many state and local agencies interacting with APS clients who have experienced abuse, neglect or exploitation
- Working with tribal APS efforts, such as conducting demonstrations on state-tribal APS partnerships to better serve tribal elders who experience abuse, neglect, and exploitation; partnering with tribes within the state to include tribal elder abuse data in the state's National Adult Maltreatment Reporting System (NAMRS); and undertaking demonstrations to better understand elder abuse experienced by tribal individuals living in non-tribal communities and served by state APS programs
- Improving or enhancing existing APS processes for receiving reports, conducting intakes and investigations, planning/providing for services, making case determinations, documenting and closing cases, and continuous quality improvement
- Improving and supporting remote work, such as the purchase of communications and technology hardware, software or infrastructure to provide adult protective services such as:
 - laptops,
 - smartphones,
 - electronic tablets,
 - Wi-Fi hotspots and
 - software to facilitate secure video conferencing and virtual meetings.
- Improving data collection and reporting at the caseworker, local and state levels in a manner that is consistent with NAMRS
- Costs associated with establishing new or improving existing processes for responding to alleged scams and frauds
- Costs associated with community outreach
- Costs associated with providing goods and services to APS clients
- Acquiring personal protection equipment and supplies
- Paying for extended hours/overtime for staff, hiring temporary staff, and associated personnel costs
- Training costs
- Costs associated with assisting APS clients to secure the least restrictive option for emergency or alternative housing, and with obtaining, providing or coordinating with

care transitions as appropriate; these funds can be used to temporarily assist an APS client in securing housing services with a Family-Type Home for Adults.

Any prospective equipment purchases of \$5,000 or more **per unit** must receive **prior** approval from OCFS per 45 CFR 75.320(a)(2). Equipment refers to tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000. Each district is required to forward to OCFS any proposed equipment purchase costing \$5,000 per unit or more using Attachment C.

When submitting equipment purchase requests using Attachment C, the following information is required:

- Identification of and cost of purchase
- Purpose and intended use of the proposed purchase
- Market research completed (i.e., obtaining bids, assessment of lease vs. purchase)
- Efforts to adhere to recommended requirements of the "Buy American Act" which requires federal agencies to procure domestic products and materials when consistent with public interest and reasonable costs (<https://www.gao.gov/products/105519>).

Equipment purchase requests (Attachment C) should be submitted directly to OCFS. OCFS will review and approve or disapprove the purchase request and will contact the LDSS immediately upon approval. Once prior approval is received, districts should then follow their own procurement policies.

IV. Annual Reporting Requirements

LDSSs awarded funding need to submit an annual programmatic report that details how the funds were used in accordance with the federal requirements and what challenges and successes they encountered in using the funds. A template and instructions are provided in Attachment E.

Additionally, LDSSs with tribes residing within the LDSS must work collaboratively with the tribes to provide support to those individuals aged 60 or older who have an APS need. A list of the tribes and the LDSS they reside in is in Attachment D.

Completed programmatic reports must be emailed to Shelly Fiebich at Shelly.Aubertine-Fiebich@ocfs.ny.gov as instructed in Attachment E.

V. Claiming Requirements

There is \$7,577,396 in federal funds for expenditures related to the implementation of the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services. Claims for these funds must be submitted as described below. These funds are to be used only to reimburse expenditures beginning August 1, 2022, and ending September 20, 2024, and final accepted in the Automated Claiming System (ACS) by October 31, 2024.

Expenditures for the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services project should be claimed through the RF17 claim package for special project claiming. These costs are first identified on the RF2A claim package as F17 functional costs and reported in the F17 column on the LDSS-923, *Cost Allocation Schedule of Payments Administrative*

Expenses Other Than Salaries and the LDSS-2347, *Schedule D DSS Administrative Expenses Allocation and Distribution by Function and Program*. After final acceptance of the RF2A claim package, the individual project costs are then reported under the project label Adult Protective ARPA 2 on the LDSS-4975A, RF17 Worksheet, *Distribution of Allocated Costs to Other Reimbursable Programs*.

Salaries, fringe benefits, staff counts, and central services costs are directly entered on the RF17 Worksheet while overhead costs are automatically brought over from the RF-2A, Schedule D, and distributed based upon the proportion of the number of staff assigned to this project. Employees not working all their time on this project must maintain time studies to support the salary and fringe benefit costs allocated to the program.

Non-salary administrative costs are reported with the appropriate object of expense code(s) on the LDSS-923B, Summary-Administrative (page 1), *Schedule of Payments for Expenses Other Than Salaries for Other Reimbursable Programs*. Program costs should be reported as object of expense code 37 - Special Project Program Expense on the LDSS-923B, Summary-Program (page 2), *Schedule of Payments for Expenses Other Than Salaries for Other Reimbursable Programs*.

Total project costs should be reported on the LDSS-4975, *Monthly Statement of Special Project Claims Federal and State Aid (RF-17)* as 100% federal share. For each LDSS, the expenditures reported for the Adult Protective ARPA 2 will be reimbursed up to the amount of the district's allocation.

Further instructions for completing time studies, the LDSS-923 and the Schedule D, and the RF17 claim package are found in Chapters 4, 7 and 18, respectively, of the *Fiscal Reference Manual (FRM)*, Volume 3. The FRM is available online at <http://otda.state.ny.net/bfdm/finance/>.

VI. Contacts

Questions pertaining to the attestations and reports may be directed to:

Shelly Fiebich, Director, Bureau of Adult Services
518-402-1639
Shelly.Aubertine-Fiebich@ocfs.ny.gov

Questions pertaining to the allocations may be directed to:

Shonna Clinton, Local Operations Manager, Bureau of Budget Management
(518) 474-1361
Shonna.Clinton@ocfs.ny.gov

Any ACS claiming questions should be directed to the OTDA Bureau of Financial Services by email or telephone:

Lauren Horn (Regions I-V) at (518) 474-7549
otda.sm.Field_Ops.I-IV@otda.ny.gov

22-OCFS-LCM-25

September 8, 2022

Michael Simon (Region VI) at (212) 961-8250

Michael.Simon@otda.ny.gov

Issued by:

Name: Lisa Gharthey Ogundimu, Esq.

Title: Deputy Commissioner

Division/Office: Division of Child Welfare and Community Services

Issued by:

Name: Brian Bagstad

Title: Director, Bureau of Budget Management

Division/Office: Division of Administration

**Attachment A:
District Allocation Amounts**

| District | Allocation | District | Allocation |
|-----------------|-------------------|------------------------|--------------------|
| Albany | \$125,945 | Ontario | \$31,007 |
| Allegany | \$26,322 | Orange | \$102,121 |
| Broome | \$75,888 | Orleans | \$25,000 |
| Cattaraugus | \$28,463 | Oswego | \$42,250 |
| Cayuga | \$29,133 | Otsego | \$25,000 |
| Chautauqua | \$64,913 | Putnam | \$35,780 |
| Chemung | \$40,509 | Rensselaer | \$75,353 |
| Chenango | \$25,000 | Rockland | \$96,588 |
| Clinton | \$25,000 | Saratoga | \$79,904 |
| Columbia | \$38,859 | Schenectady | \$53,804 |
| Cortland | \$25,000 | Schoharie | \$25,000 |
| Delaware | \$57,106 | Schuylar | \$25,000 |
| Dutchess | \$98,819 | Seneca | \$25,000 |
| Erie | \$412,142 | St. Lawrence | \$51,975 |
| Essex | \$25,000 | St. Regis | \$25,000 |
| Franklin | \$25,000 | Steuben | \$73,836 |
| Fulton | \$30,516 | Suffolk | \$187,333 |
| Genesee | \$25,000 | Sullivan | \$40,777 |
| Greene | \$25,000 | Tioga | \$25,000 |
| Hamilton | \$25,000 | Tompkins | \$36,226 |
| Herkimer | \$35,736 | Ulster | \$27,660 |
| Jefferson | \$33,906 | Warren | \$25,000 |
| Lewis | \$25,000 | Washington | \$25,000 |
| Livingston | \$25,786 | Wayne | \$25,000 |
| Madison | \$25,000 | Westchester | \$129,915 |
| Monroe | \$195,230 | Wyoming | \$25,000 |
| Montgomery | \$25,000 | Yates | \$25,000 |
| Nassau | \$127,908 | | |
| Niagara | \$104,351 | NYC | \$4,152,425 |
| Oneida | \$47,870 | | |
| Onondaga | \$186,040 | Statewide Total | \$7,577,396 |

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES

Attachment B:

**Attestation of Use of Administration for Community Living (ACL)
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services (FFY22)
ARPA 2**

This is to certify that _____ department of social service (LDSS) will use the allocation of the American Rescue Plan Act funds authorized in the amount of \$_____ to enhance, improve and expand the ability of the LDSS's Adult Protective Services to investigate allegations of abuse, neglect and exploitation, as indicated below. Additionally, we will work collaboratively with any tribe residing within our district to implement this funding, as warranted.

Such funds will not be used to supplant any other state or local funds and the funds will only be used to supplement existing New York State and LDSS APS resources. Claims for reimbursement under this appropriation will not be submitted for the same type and level of funding covered by any other state or locally authorized appropriation.

Plan for use of funds – check all that apply:

- 1. Establishing or enhancing the availability of elder shelters or other emergency, short-term housing and accompanying "wrap-around" services for APS clients
- 2. Establishing or expanding/enhancing the state-wide and local-level elder justice networks
- 3. Working with tribal adult protective services efforts
- 4. Improving or enhancing existing APS processes
- 5. Improving and supporting remote work, such as purchasing communications and technology hardware, software or infrastructure (equipment \$5,000 or more needs OCFS and ACL approval)
- 6. Improving data collection and reporting at the case worker, local and state levels in a manner consistent with the National Adult Maltreatment Reporting System (NAMRS)
- 7. Establishing new or improving existing processes for responding to alleged scams and frauds
- 8. Conducting community outreach
- 9. Providing goods and services to APS clients
- 10. Acquiring personal protection equipment and supplies
- 11. Paying for extended hours/overtime for staff, hiring temporary staff, and associated personnel costs
- 12. Training costs
- 13. Assisting APS clients with securing the least restrictive option for emergency or alternative housing and with obtaining, providing or coordinating with care transitions as appropriate

NOTE: On the following page, LDSSs must identify which project goals the above selected strategies will support and the dollar amount of the grant allocation that will be devoted to that project(s).

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES

Attachment B:

**Attestation of Use of Administration for Community Living
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services**

| List the number of each strategy selected from previous page next to the ARPA Project Goal(s) the LDSS intends to impact with these funds (At least one Goal and one row must be selected and completed) | ARPA Project Goal | ARPA Grant #2 Funding Amount designated for each Project Goal selected | Selection aligns with current county plan Y/N |
|--|---|--|---|
| | Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected, or exploited by others. | | |
| | Enhance/improve use of legal interventions including improved awareness and training for legal systems partners and stakeholders. | | |
| | Improve/enhance effective utilization of multidisciplinary teams and community resources to improve investigations, assessments and service delivery to reduce risk and protect vulnerable adults. | | |
| | Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults. | | |
| | Youth aging out of foster care or other child welfare services who could benefit from Adult Protective Services as they reach adulthood will be identified, have their needs assessed and be protected. | | |
| | Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect. | | |

Name of person completing the form:

Date:

Name of Commissioner:

Commissioner's signature:

Date:

Email completed attestations to Shelly.Aubertine-Fiebich@ocfs.ny.gov by **September 20, 2022.**

**Attachment B:
Strategies and Goal Guide**

The chart below is included as a reference tool to assist in strategy and goal selection for the required attestation.

| ACL Project Goal | Matching ACL Strategies |
|--|---|
| <p>Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected or exploited by others.</p> <ul style="list-style-type: none"> Lack of staffing resources Enhance data system/technology Identifying LDSS training specific to APS and clients Improve/enhance inter-agency collaborations Improve/enhance communications with systems/providers/agencies | <p><i>Training, Equipment, Temp staff, Response to fraud/scams, Community outreach, PPE, Travel, Improved data collections, System enhancements, Enhancing existing processes, Working with Tribal APS partners, Enhancing elder justice networks, Establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Enhance/improve use of legal interventions including improved advocacy, awareness, and training for legal systems partners and stakeholders.</p> <ul style="list-style-type: none"> Better engagement/ training/ understanding with legal/court system | <p><i>Response to fraud/scams, Training, Enhancing existing processes, Temp staff</i></p> |
| <p>Improve/enhance effective utilization of multidisciplinary teams and community partners and resources to improve investigations, assessments, and service delivery to reduce risk and protect vulnerable adults.</p> <ul style="list-style-type: none"> Improve/enhance inter-agency collaborations Improve/enhance communications with systems/providers/agencies Partner with agencies to increase awareness Improved partnerships with financial institutions Increasing Rep Payee cases/limited supports Identify strategies to better support underserved populations | <p><i>Response to fraud/scams, PPE, Travel, Goods and services, Working with Tribal APS partners, Establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults.</p> <ul style="list-style-type: none"> Lack of resources perpetuate/increase client risks | <p><i>Emergency housing and care transitions, Goods and services, Community outreach, Working with Tribal APS partners, Establishing/enhancing elder shelters or other emergency housing and wraparound services</i></p> |
| <p>Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect.</p> <ul style="list-style-type: none"> Misunderstanding of APS roles/authority Identify strategies to better support underserved populations Partner with agencies to increase awareness of practicality of APS role Improved partnerships with financial institutions/appropriate referral | <p><i>Community outreach, Training, Response to fraud/scams</i></p> |

**Attachment C:
Large Purchase Request for Expenditure Exceeding \$5,000 Form**

Email equipment requests costing \$5,000 or more per unit to Shelly Fiebich at Shelly.Aubertine-Fiebich@ocfs.ny.gov

| | |
|---|--|
| Date: | |
| Grantee Organization: | NYS Office of Children and Family Services |
| Grantee Contact Name: | |
| Grantee Email: | |
| Grant Number: | |
| <p>Attach three cost estimates for the piece of equipment you are requesting and indicate here which bid you are choosing.</p> <p>Cost estimates can be bids from vendors/dealerships or print outs of cost from sellers.</p> | |
| <p>Describe the purpose/intended use of the equipment and how the equipment will benefit the program.</p> | |
| <p>What percentage of the total cost of the equipment/supply will these grant funds cover? If other funding is available, please identify the source and amount.</p> <p>For instance, if the total cost of the item is \$10,000, and the grant program is responsible for \$5,000, and state/territory funds will be used for the remaining \$5,000 write 50% in this space. If grant funds will be used to for the full cost of the purchase, write 100% in this space.</p> | |

| | |
|---|--|
| <p>What is the estimated percentage of time the equipment will be used by the APS program?</p> <p>If this purchase is being shared with other programs, indicate the percentage of time that the program will use this item. For instance, if you're purchasing a vehicle partially with APS grant funds and partially with state/territory funds, and your program will only have access to the vehicle 50% of the time, write 50% in this space. If the APS program will have access to the purchase 100% of the time, write 100% in this space.</p> | |
| <p>Include an analysis of lease and purchase alternatives to determine which would be the most economical and practical procurement of the recipient and the federal government.</p> | |
| <p>Buy American Requirement: Attach information indicating the equipment is produced in the United States.</p> | |

**Attachment D:
Tribes in New York State and County of Residence**

Cayuga Nation of Indians – Seneca and Cayuga Counties

Oneida Indian Nation – Madison County

Onondaga Nation – Onondaga County

St. Regis Mohawk Tribe – Franklin County

Seneca Nation of Indians – Erie, Cattaraugus and Chautauqua Counties

Tonawanda Band of Seneca – Genesee County

Tuscarora Nation – Niagara County

Unkechaug and Shinnecock Indian Nations – Suffolk County

**ATTACHMENT E:
Annual Program Report Template and Instructions**

| | | | | |
|--|---|---|--|---|
| <p>New York State ACL ARPA 2 Grant Report REPORTING PERIOD: August 1, 2022-July 31, 2023 (One) <u>DUE DATE August 10, 2023</u> August 1, 2023-July 31, 2024 (Two) <u>DUE DATE August 10, 2024</u> Final Report <u>DUE DATE October 30, 2024</u></p> | | | | |
| <p>Name of Local District: Name and Title of Reporter:</p> | | | | |
| <p>Strategy Selected:</p> | | | | |
| <p>Overall Goal: List the Project Goal that was selected on page 2 of the LDSS attestation.</p> | | | | |
| <p>Objectives/Activities Updated MM/DD/YY List the specific strategy selected on page 1 of the LDSS attestation that supports the goal noted above and the actual activity completed.</p> | <p>APS Process Model Topic Select the corresponding Input/Resource and stage of the case process.</p> | <p>Description of Accomplishments(Q1) List what was accomplished by implementing the strategy/activity. List any significant partners and their role in the activity.</p> | <p>Outputs (Q4) List services purchased, goods or staff acquired and total expenditure. List the number of APS clients who received the service or activity. List the number of those who were age 60 or older.</p> | <p>Description of Impact (Q3) Describe the impact the activity had on the goal. Are there measurable outcomes that can be included to support the impact? Have risks been decreased and safety increased?</p> |
| | | | | |
| <p>Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.</p> | | | | |
| | | | | |

Instructions: The LDSS must complete and submit an Annual Program Performance Report to OCFS using the attached Reporting Form.

Due Dates: OCFS must submit two (2) statewide reports to ACL by August 31, 2022, and August 31, 2023. To meet these deadlines, the **LDSS must submit the annual report to OCFS no later than August 10 of each year. The LDSS must submit the final report to OCFS no later than October 30, 2023.**

The following charts provide examples of report completion, linking activities with stages in the APS process and definitions of services.

| <p>Establish/enhance elder shelters or other emergency housing and wrap-around services with the development of a new contract(s) for emergency shelter</p> | <p>Community and interagency partnerships</p> | <p>Local government approved several contractual agreements with local motels. Identification of three new emergency housing locations, spread out throughout the county, closer to shopping areas.</p> | <p>Current expenditures for emergency housing for this reporting period are \$30,600. Twelve clients have received this service, 8 of whom are age 60 or older</p> | <p>Twelve clients were removed from unsafe and unsanitary conditions to locations near their current neighborhoods where they could continue to use the same shopping areas and maintain existing social and professional relationships while long-term housing issues were addressed. Such placements allow for independence and dignity to remain intact.</p> |
|---|--|---|--|---|
| <p>Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.</p> | | | | |
| | | | | |
| <p>Objectives/Activities Updated MM/DD/YY</p> | <p>APS Process Model Topic</p> | <p>Description of Accomplishments (Q1)</p> | <p>Outputs (Q4)</p> | <p>Description of Impact (Q3)</p> |
| <p>Improve/support remote work through</p> | <p>Create New/Enhance Existing Operational</p> | <p>Ten laptops with MiFi and 10 cell phones</p> | <p>Current equipment and contract</p> | <p>Initial and follow up visits for all 40</p> |

| | | | | |
|---|-----------------|--|---|---|
| <p>the purchase of laptops and cell phones for case workers</p> | <p>Supports</p> | <p>were purchased for eight case workers and two supervisors</p> | <p>expenditures total \$20,000. The equipment has been used for 10 months on 40 APS investigations/cases. Thirty of those cases involved clients age 60 or older.</p> | <p>cases were conducted and documented timely. Service availability is confirmed more expeditiously as this can be verified while in the field. Case notes are completed while in the field and are detailed, concise and timely.</p> |
| <p>Challenges, Barriers, Alterations (Q2): Describe what if any challenges or barriers were encountered during the reporting period, what actions were taken to address them and if there were any changes to the goals, objectives or activities because of the challenges.</p> | | | | |

Mapping to the APS Process Model and Annual Report

The simplified map includes the sample activities ACL outlined in the Federal Register Notice.

| Inputs/Resources | Intake | Investigation | Post-Investigation | Quality Assurance |
|--|---|--|---|---|
| <p>APS Staff</p> <ul style="list-style-type: none"> • Training/education • Personnel costs, including hazard pay • Travel for in-person investigations • Costs for PPE and supplies for in-person visits <p>Community/ Interagency Partnerships</p> <ul style="list-style-type: none"> • Public awareness and community outreach • Costs for and associated with establishing new or improving existing processes for responding to COVID-19 scams and frauds <p>Consult Support</p> <p>Create New/ Enhance Existing Operational Supports Purchase of equipment and associated technologies that will allow for secure remote work and enhance APS workers' ability to interview and investigate while they cannot physically visit during to COVID-19 crisis.</p> <p>Legal and Ethical processes</p> | <p>Screening and Assessment Tools</p> <p>Case Planning Tools</p> <p>Create New/ Enhance Reporting Systems</p> <ul style="list-style-type: none"> • Purchase of new or improvements to existing data systems and/or technology infrastructure related to REPORTING | <p>Assessment</p> <p>Interviews</p> <p>Collecting Physical Evidence</p> <p>Consult Support</p> <p>Determinations and Services Recommendations</p> | <p>Obtaining Client Agreement and Implementing Service Plan</p> <p>Referring Clients to Community Partners or Services:</p> <ul style="list-style-type: none"> • Purchasing goods and services • Purchase/provision of PPE for clients and/or expenses for COVID-related clean-up/sanitation services • Paying for the least restrictive option for emergency or alternative housing <p>Monitor Status of Victim and Services</p> | <p>Documentation of Investigation/ Services</p> <ul style="list-style-type: none"> • Purchase of new or improvements to existing data systems and/or technology infrastructure related to case management <p>Expand Data Capacity</p> <p>Customer Satisfaction</p> <p>Quality Assurance Review</p> |

The following table contains existing service categories and definitions for a range of home- and community-based services. This list is provided to help track and report goods and services purchased/obtained for APS clients being served by COVID-19-related funding. Grantees are encouraged to use this table to facilitate analysis and reporting.

| SERVICE NAME | SERVICE DEFINITION | UNIT NAME | UNIT DEFINITION |
|--|---|-------------------------------------|--|
| Assistive Technology /Durable Equipment | <p>Durable medical equipment (chair lifts, wheelchairs, walkers, emergency response systems) or anything given to or lent on a short-term basis, including technology or equipment, such as tablet computers, cellphones, or other devices, for a client to use in their home to maintain safety, allow for socialization and/or promote participation in activities from the older adult's home</p> <p>Note: Please report any expenditures related to cell phone or internet <i>access plans</i> under Consumable Supplies</p> | <p>1) Expenditure 2) Units</p> | <p>Cost and quantity of items of assistance.</p> |
| Care/Case Management Services | <p>Development and implementation of a service plan to mobilize the formal and informal resources and services identified in the assessment to meet the client's needs. Includes the development and oversight of a plan to ensure the client's safety and well-being; developing a safety plan with a person's support network; referring and arranging support services; etc.</p> | <p>1) Expenditure 2) Hours</p> | <p>The cost and amount of time(measured in hours) to provide assistance.</p> |
| Caregiver Support Services | <p>Assistance to family and other informal caregivers to improve or sustain capacity for caring for the older adult or adult with disabilities. Includes counseling, support groups, training, respite, etc.</p> | <p>1) Expenditures 2) Units</p> | <p>The cost and number of units or sessions.</p> |
| Community Day Services | <p>Services or activities provided to adults who require care and supervision in a protective setting for part of a 24-hour day. Includes out-of-home supervision, health care, recreation and/or independent living skills training offered in centers most commonly known as adult day, adult day health, senior centers and disability day programs.</p> | <p>1) Expenditure 2) Hours</p> | <p>The cost and amount of time(measured in hours) to provide assistance.</p> |

ATTACHMENT F: FOR U.S. ADMINISTRATION FOR COMMUNITY LIVING GRANTS

Title 45 U.S. Code of Federal Regulations Part 75 (45 CFR 75), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*, section 354(a) states "all pass-through entities must ensure that every subaward is clearly identified to the subrecipient as a subaward and includes the following information at the time of the subaward and if any of these data elements change, includes the changes in subsequent subaward identification."

| | | |
|--------|---|---|
| (i) | Subrecipient Name | Attachment A |
| (ii) | Subrecipient's unique entity identifier | Local Social Service Districts |
| (iii) | Federal Award Identification Number (FAIN) | 2101NYAPC6 |
| (iv) | Federal award date to the recipient by the HHS awarding agency | July 27, 2022 |
| (v) | Subaward period of performance start and end dates | August 1, 2022 – September 30, 2024 |
| (vi) | Amount of federal funds obligated to the subrecipient by this action by the pass-through entity to the subrecipient | Attachment A |
| (vii) | Total amount of the federal funds obligated to the subrecipient by the pass-through entity including the current obligation | Attachment A |
| (viii) | Total amount of the award committed to the subrecipient by the pass-through entity | Attachment A |
| (ix) | Federal award project description | American Rescue Plan for Adult Protective Services under SSA Title XX Section 2042(b) |
| (x) | Name of the HHS awarding agency, pass-through entity and contact information for awarding official of the pass-through entity | Administration for Community Living: Shonna Clinton - (518) 474-2812 Shonna.Clinton@ocfs.ny.gov |
| (xi) | CFDA number and name | 93.747 – American Rescue Plan for Adult Protective Services under SSA Title XX Section 2042(b) |
| (xii) | Identification of whether the award is research and development (R&D) | N |
| (xiii) | Indirect cost rate for the federal award (including if the de minimum rate is charged per section 75.414) | Please see uniform guidance 45 CFR 75 |

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES

Attachment B:

**Attestation of Use of Administration for Community Living (ACL)
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services (FFY22)
ARPA 2**

This is to certify that Saratoga County department of social service (LDSS) will use the allocation of the American Rescue Plan Act funds authorized in the amount of \$ 79,904 to enhance, improve and expand the ability of the LDSS's Adult Protective Services to investigate allegations of abuse, neglect and exploitation, as indicated below. Additionally, we will work collaboratively with any tribe residing within our district to implement this funding, as warranted.

Such funds will not be used to supplant any other state or local funds and the funds will only be used to supplement existing New York State and LDSS APS resources. Claims for reimbursement under this appropriation will not be submitted for the same type and level of funding covered by any other state or locally authorized appropriation.

Plan for use of funds – check all that apply:

- 1. Establishing or enhancing the availability of elder shelters or other emergency, short-term housing and accompanying "wrap-around" services for APS clients
- 2. Establishing or expanding/enhancing the state-wide and local-level elder justice networks
- 3. Working with tribal adult protective services efforts
- 4. Improving or enhancing existing APS processes
- 5. Improving and supporting remote work, such as purchasing communications and technology hardware, software or infrastructure (equipment \$5,000 or more needs OCFS and ACL approval)
- 6. Improving data collection and reporting at the case worker, local and state levels in a manner consistent with the National Adult Maltreatment Reporting System (NAMRS)
- 7. Establishing new or improving existing processes for responding to alleged scams and frauds
- 8. Conducting community outreach
- 9. Providing goods and services to APS clients
- 10. Acquiring personal protection equipment and supplies
- 11. Paying for extended hours/overtime for staff, hiring temporary staff, and associated personnel costs
- 12. Training costs
- 13. Assisting APS clients with securing the least restrictive option for emergency or alternative housing and with obtaining, providing or coordinating with care transitions as appropriate

NOTE: On the following page, LDSSs **must identify which project goals the above selected strategies** will support and **the dollar amount** of the grant allocation that will be **devoted to that project(s)**.

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES

Attachment B:

**Attestation of Use of Administration for Community Living
American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services**

| List the number of each strategy selected from previous page next to the ARPA Project Goal(s) the LDSS intends to impact with these funds (At least one Goal and one row must be selected and completed) | ARPA Project Goal | ARPA Grant #2 Funding Amount designated for each Project Goal selected | Selection aligns with current county plan Y/N |
|--|---|--|---|
| 1,4,5,8,10 | Improve/enhance identification and investigation of vulnerable adults who self-neglect or are abused, neglected, or exploited by others. | \$56,706 | |
| 12 | Enhance/improve use of legal interventions including improved awareness and training for legal systems partners and stakeholders. | \$3,000 | Yes |
| 9 | Improve/enhance effective utilization of multidisciplinary teams and community resources to improve investigations, assessments and service delivery to reduce risk and protect vulnerable adults. | \$2,000 | |
| | Enhance provision of protective and residential services in the least restrictive manner that will effectively protect and support self-determination of vulnerable and dependent adults. | | |
| 1,9,13 | Youth aging out of foster care or other child welfare services who could benefit from Adult Protective Services as they reach adulthood will be identified, have their needs assessed and be protected. | \$18,198 | Yes |
| | Promote the safety and dignity of vulnerable adults by improving awareness of APS authority and of incidences of abuse, injury, exploitation, violence, and neglect. | | |

Name of person completing the form: Concetta Hmura

Date: 09/20/2022

Name of Commissioner: Tina Potter

Date: 09/20/2022

Commissioner's signature: 

Date: 9/20/2022

Email completed attestations to Shelly.Aubertine-Fiebich@ocfs.ny.gov by September 20, 2022.

2/15/22



SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 80 - 2022

Introduced by Supervisors Barrett, Butler, Connolly, Edwards, Lant, Schopf and Wood

AUTHORIZING THE ACCEPTANCE OF AN ADULT PROTECTIVE SERVICES GRANT FROM THE NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES AND AMENDING THE 2022 BUDGET IN RELATION THERETO

WHEREAS, grant funds in the amount of \$47,846 are available from the New York State Office of Children and Family Services ("OCFS") through Grants to Enhance Adult Protective Services to Respond to COVID-19 administered by Administration for Community Living; and

WHEREAS, our Department of Social Services intends to utilize said funds to enhance, improve, and expand the ability of its Adult Protective Services to investigate allegations of abuse, neglect, and exploitation of adults in the context of the COVID-19 pandemic and to purchase laptops, mifi, printers, headsets, ear buds and scanners for Adult Protective staff as well as goods and services for their clients to enhance their safety and ability to secure emergency housing obtain alternative housing or maintain current housing; and

WHEREAS, the acceptance of these grant funds requires this Board's approval and an amendment to the 2022 County Budget; now, therefore, be it

RESOLVED, that the Chair of the Board and/or the Commissioner of Social Services are hereby authorized to execute any and all documents required to accept from the New York State Office of Children and Family Services Administration for Community Living Adult Protective Services Grant in the amount of \$47,846 for the term April 1, 2021 through May 31, 2022; and it is further

RESOLVED, that the form and content of said documents and agreements shall be subject to the approval of the County Attorney; and it is further

RESOLVED, the 2022 Saratoga County Budget is amended as follows:

DEPARTMENT OF SOCIAL SERVICES:

Appropriations:

| | |
|--|----------|
| Increase Acct.: A.60.610-7033 Personal Computers | \$11,695 |
| Increase Acct.: A.60.610-8535 Internet Monthly Service | \$ 912 |
| Increase Acct.: A.60.610-7020 Office Equipment | \$ 1,667 |

| | |
|---|-----------------|
| Increase Acct.: A.60.610-8540 Minor Office Furniture and Equip. | \$ 1,681 |
| Increase Acct.: A.60.610-8550 Office Supplies | \$ 5,525 |
| Increase Acct.: A.60.610-8261 Homemaker Supplies | \$ 2,750 |
| Increase Acct.: A.60.610-7601 Bics Payments | <u>\$23,616</u> |
| Total | <u>\$47,846</u> |
| <u>Revenues:</u> | |
| Increase Acct.: A.60-4610 Federal Aid | <u>\$47,846</u> |

; and it is further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: No Budget Impact. 100% State Aid.

-2/15/22



SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 80 - 2022

Introduced by Supervisors ~~Barrett, Butler, Connolly, Edwards, Lant, Schopf and Wood~~

AUTHORIZING THE ACCEPTANCE OF AN ADULT PROTECTIVE SERVICES GRANT FROM THE NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES AND AMENDING THE 2022 BUDGET IN RELATION THERETO

WHEREAS, grant funds in the amount of ~~\$47,846~~ ^{\$119,997} are available from the New York State Office of Children and Family Services ("OCFS") through Grants to Enhance Adult Protective Services to ~~Respond to COVID-19~~ administered by Administration for Community Living; and

WHEREAS, our Department of Social Services intends to utilize said funds to enhance, improve, and expand the ability of its Adult Protective Services to investigate allegations of abuse, neglect, and exploitation of adults in the context of the COVID-19 pandemic and to ^{As well} ~~purchase laptops, mifi, printers, headsets, ear buds and scanners for Adult Protective staff as well~~ as goods and services for their clients to enhance their safety and ability to secure emergency housing obtain alternative housing or maintain current housing; and

WHEREAS, the acceptance of these grant funds requires this Board's approval and an amendment to the 2022 County Budget; now, therefore, be it

RESOLVED, that the Chair of the Board and/or the Commissioner of Social Services are hereby authorized to execute any and all documents required to accept from the New York State Office of Children and Family Services Administration for Community Living Adult Protective Services Grant in the amount of ~~\$47,846~~ ^{\$119,997} for the term ~~April 1, 2021 through May 31, 2022~~ ^{August 1, 2021 through September 30, 2021}; and it is further

RESOLVED, that the form and content of said documents and agreements shall be subject to the approval of the County Attorney; and it is further

RESOLVED, the 2022 Saratoga County Budget is amended as follows:

DEPARTMENT OF SOCIAL SERVICES:

| | | |
|--|--|--|
| Appropriations: | <i>(See ATTACHED Expenditure "ATT 1" ARAA 1, 2 Expense LINES</i> | |
| Increase Acct.: A.60.610-7033 Personal Computers | \$11,695 | |
| Increase Acct.: A.60.610-8535 Internet Monthly Service | \$ 912 | |
| Increase Acct.: A.60.610-7020 Office Equipment | \$ 1,667 | |

| | |
|---|---------------------|
| Increase Acct.: A.60.610-8540 Minor Office Furniture and Equip. | \$ 1,681 |
| Increase Acct.: A.60.610-8550 Office Supplies | \$ 5,525 |
| Increase Acct.: A.60.610-8261 Homemaker Supplies | \$ 2,750 |
| Increase Acct.: A.60.610-7601 Bics Payments | \$23,616 |
| Total | \$47,846 |

Revenues:

| | |
|---------------------------------------|---------------------|
| Increase Acct.: A.60-4610 Federal Aid | \$47,846 |
| | \$119,997 |

; and it is further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: No Budget Impact. 100% State Aid.



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board
Stephanie Hodgson, Director of Budget

CC: Jason Kemper, Director of Planning and Economic Development
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office
Audra Hedden, County Administrator's Office

DEPARTMENT: Department of Social Services

DATE: September 29, 2022

COMMITTEE: Health and Human Services

RE: 2018-2023 Saratoga County Children and Family Services Plan-
Annual Update

1. Is a Resolution Required:

Yes, Other

2. Proposed Resolution Title:

Approving the 2022 Annual Plan Update to the Saratoga County Children and Family Services Plan

3. Specific Details on what the resolution will authorize:

The Resolution will authorize the Chairman of the Board to sign the 2022 Annual Plan Update to the Saratoga County Children and Family Services Plan.

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

| |
|---|
| County Administrator's Office Consulted <input type="checkbox"/> |
|---|

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Expense

| Account Number | Account Name | Amount |
|----------------|--------------|--------|
| | | |

Source of Revenue

| Fund Balance | State Aid | Federal Aid | Other |
|--------------|-----------|-------------|-------|
| | | | |

5. Identify Budget Impact:

| |
|---|
| No Budget Impact. Funds are included in the Department Budget |
|---|

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

Human Resources Consulted

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office
Consulted

- a. Source of grant funding:
- b. Agency granting funds:
- c. Amount of grant:
- d. Purpose grant will be used for:
- e. Equipment and/or services being purchased with the grant:
- f. Time period grant covers:
- g. Amount of county matching funds:
- h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other Copy of 2022 Children and Family Services Plan

10. Remarks:

Local Departments of Social Services (LDSS) and county youth bureaus are required by statute to develop and submit to New York State Office of Children and Family Services (OCFS) local, multi-year plans for the provision of services and the allocation of resources, including the required Persons in Needs of Supervision (PINS) Diversion Plan that is developed by LDSSs and county probation departments. The resolution will authorize the Chairman of the Board to sign the annual plan update to the Saratoga County Children and Family services Plan. (See attached documentation for additional information.)

12/15/21



SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 322 - 2021

Introduced by Supervisors O'Connor, Barrett, Connolly, Grasso, Lant, Winney and Wood

APPROVING THE 2018 - 2023 SARATOGA COUNTY CHILD AND FAMILY SERVICES PLAN ANNUAL UPDATE

WHEREAS, the Saratoga County Department of Social Services, Saratoga County Probation Department and Saratoga County Youth Bureau provide services to children and families throughout Saratoga County; and

WHEREAS, the New York State Office of Children and Family Services requires the preparation of a Child and Family Services Plan, annual updates and funding applications for provision of listed services; and

WHEREAS, the Department of Social Services has submitted its Annual Update to the 2018-2023 Saratoga County Child and Family Services Plan for approval; and

WHEREAS, our Health and Human Services Committee and the Commissioner of Social Services have recommended that the Annual Update be approved; now, therefore, be it

RESOLVED, that the 2018-2023 Saratoga County Child and Family Services Plan Annual Update is hereby approved and ratified; and it is further

RESOLVED, that the Chair of the Board of Supervisors is authorized to sign the 2018-2023 Saratoga County Child and Family Services Plan Annual Update; and it is further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: No budget impact.

3/16/22



SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 128 - 2022

Introduced by Law and Finance: Supervisors Schopf, Barrett, Grasso, Lant, Raymond, Tollisen and M. Veitch

AMENDING RESOLUTION 322-2021 TO AUTHORIZE NECESSARY SUBCONTRACTS FOR MANDATED SERVICES FOR THE DEPARTMENT OF SOCIAL SERVICES TO IMPLEMENT THE 2018 – 2023 CHILD AND FAMILY SERVICES PLAN

WHEREAS, Resolution 322-2021 approved and ratified the 2018 – 2023 Child and Family Services Plan yearly update and authorized the Chair of the Board to execute the update for submission to the NYS Office of Children and Family Services; and

WHEREAS, the implementation of the 2018 – 2023 Child and Family Services Plan requires the execution of various subcontracts and agreements with state approved providers for services mandated by the Family Court Act, Social Services Law, and Title 18, Chapter II of the New York Codes, Rules and Regulations; and

WHEREAS, the mandated services provided under the Child and Family Services Plan are provided through state model contracts at standardized rate schedules promulgated by the NYS Office of Children and Family Services and/or the NYS Office of Temporary Disability Assistance; and

WHEREAS, the adopted 2022 County Budget provided appropriations to the Department of Social Services for any anticipated local share expenses associated with the mandated services to be provided under the 2018 – 2023 Child and Family Services Plan, as updated; and

WHEREAS, our Law and Finance Committee and the County Attorney have recommended that Resolution 322-2021 be amended to provide authority to the Chair of the Board and/or the Commissioner of Social Services to execute any subcontracts or necessary agreements for mandated services to implement the 2018 – 2023 Child and Family Services Plan or any update thereof; now, therefore, be it

RESOLVED, that Resolution 322-2021 is amended to add a RESOLVED paragraph to state:

RESOLVED, that the Chair of the Board and/or the Commissioner of Social Services is authorized to execute any subcontracts or necessary agreements for mandated services to implement the 2018 – 2023 Child and Family Services Plan or any update thereof; and it is further

RESOLVED, that the provisions of Resolution 322-2021, not inconsistent with the terms of this Resolution shall remain in full force and effect; and it is further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: No Budget Impact. Funds for anticipated local share costs of any agreements are included in the 2022 Department of Social Services budget.

March 16, 2022 Regular Meeting

Motion to Adopt: Supervisor(s): Supervisor Connolly

Second: Supervisors(s): Supervisor Hammond

| | |
|----------|--------|
| Ayes: | 216062 |
| Noes: | 0 |
| Abstain: | 0 |
| Absent: | 3545 |

Proposed Draft

~~12/15/21~~



SARATOGA COUNTY BOARD OF SUPERVISORS

RESOLUTION 322-²⁰²²~~2021~~

Introduced by Supervisors ~~O'Connor, Barrett, Connolly, Grasso, Lant, Winney and Wood~~

→ 2022 ANNUAL Plan UPDATE to
**APPROVING THE 2018 - 2023 SARATOGA COUNTY
CHILD AND FAMILY SERVICES PLAN ANNUAL UPDATE**

WHEREAS, the Saratoga County Department of Social Services, Saratoga County Probation Department and Saratoga County Youth Bureau provide services to children and families throughout Saratoga County; and

WHEREAS, the New York State Office of Children and Family Services requires the preparation of a Child and Family Services Plan, ~~annual updates~~ and funding applications for provision of listed services; and

WHEREAS, the Department of Social Services has submitted its Annual Update to the 2018-2023 Saratoga County Child and Family Services Plan for approval; and

WHEREAS, our Health and Human Services Committee and the Commissioner of Social Services have recommended that the Annual Update be approved; now, therefore, be it

RESOLVED, that the ~~2018-2023 Saratoga County Child and Family Services Plan Annual Update~~ ^{ANNUAL UPDATE TO E} is hereby approved and ratified; and it is further

RESOLVED, that the Chair of the Board of Supervisors is authorized to sign the 2018-2023 Saratoga County Child and Family Services Plan ~~Annual Update~~; and it is further

RESOLVED, that this Resolution shall take effect immediately.

BUDGET IMPACT STATEMENT: No budget impact.

AN
Annual
Plan
update
TO THE

2022
Annual
Plan
Update
TO THE

Signature Page and Attestation

We hereby approve and submit the Child and Family Services Plan for Saratoga County Department of Social Services and Youth Bureau 2022 Annual Plan Update.

We also attest to our commitment to maintain compliance with the Legal Assurances outlined below.

Legal Assurances

All signatures must be included, along with the date(s). The signatures on this page attest to the district's compliance with assurances A through H (below), which are incorporated by reference into your plan. The legal assurances are statutorily mandated; districts must indicate that they are complying with these standards or must provide a remediation plan if they are not.

A. General

1. All providers of service under this plan operate in full conformance with applicable federal, state, and local fire, health, safety and sanitation, and other standards prescribed in law or regulations. Where the county is required to provide licensure for provision of services, agencies providing such services shall be licensed.
2. All recipients of funds are required to operate each program or activity so that, when viewed in its entirety, the program or activity is readily accessible to and usable by persons who are handicapped to the extent required by law.
3. Benefits and services available under the state plan are provided in a non-discriminatory manner as required by Title VI of the *Civil Rights Act of 1964* (as amended).
4. The activities covered by this plan serve only those individuals and groups eligible under the provisions of the applicable state and federal statutes.
5. No requirements as to duration of residence or citizenship will be imposed as a condition of the participation in the State's program for the provision of services.
6. There is in operation a system of fair hearings and grievances under which applicants for or recipients of services and care may appeal denial, exclusion, reduction, termination, or choice of services/care; mandatory nature of service/care; or failure to take timely action upon an application for services/care.
7. Adequate and timely notice is provided to applicants for and recipients of services and care as required by NY 18 NYCRR 407.5(h) (2) (l).
8. Title XX-funded services are available to eligible individuals in every geographic area within the district. Where different services are made available to a specific category of individuals in different geographic areas, services are available to all eligible individuals in that category who reside in that area.
9. Title XX reporting and fiscal systems includes level of care, maintenance, and services provided to children and families and costs of services provided.

B. Child Protective Services

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

C. Preventive Services for Children

1. Children and families in need of the core preventive services have these services provided to them in a timely manner. Core services include day care, homemaker, transportation, 24-hour access to emergency services, parent aide or parent training, clinical services, crisis respite care,

services for families with AIDS/HIV+, and housing services.

2. The district maintains efforts to coordinate services with service agencies and other public and private agencies within the district that provide services to children including the use of referral procedures with these agencies and formal and informal agreements.
3. The district has prepared plans and procedures for providing or arranging for 24-hour access to emergency services for children who are at risk of foster care as specified in 18 NYCRR 423.4. Staff is aware of such plans and procedures.

D. Youth Development

1. Where the county receives state funds pursuant to Executive Law 420, the municipality's youth development program maintains an organizational structure and staffing, policies, and practices that comply with Article 19-A of the Executive Law and 9 NYCRR Subpart 165-1.
2. Executive Law section 420(1)(c) sets forth statutory options for RHYA services in Executive Law 420(2). This information is located in the RHYA/Youth Bureau Administrative Component.

E. Adult Protective Services

1. The district has established a process that enables the commissioner to act as a guardian and representative or protective payee on behalf of a client in need of adult protective services (APS) when no one else is available or willing and capable of acting in this capacity.
2. In providing protective services for adults, the district will implement each responsibility contained in 18 NYCRR Part 457.
3. The district attests that following has been established for PSA:
 - Financial management system with written procedures;
 - The roles and responsibilities have been defined and written for the delivery of protective services for adults for the various divisions and offices of the social services district, including accounting, income maintenance, medical assistance, protective services for adults, and all relevant services; and
 - An interagency service delivery network has been developed with other appropriate agencies including, but not limited to, the Office for the Aging, the Department of Health, community mental health services, psychiatric center(s), legal services and appropriate law enforcement agencies.

F. Domestic Violence Services

1. Domestic violence victims seeking non-residential services are provided with all needed core services directly from the provider in a timely manner and as otherwise specified in 18 NYCRR Part 462.
2. Non-residential services are provided regardless of the person's financial eligibility; must provide services in a manner that addresses ethnic composition of the community; must provide services in a manner that addresses needs of victims who are disabled, hearing impaired, or non-English speaking, and must provide services in a safe and confidential location.

G. Child Care

The district assures that when providing child care services under the New York State Child Care Block Grant (NYSCCBG), the Social Services Block Grant (Title XX), and other child care services funded with state or federal funds, it is in compliance with all pertinent state and federal laws, regulations, and policies, which include but are not limited to the following:

1. Providing parents or other eligible caretakers with information about the full range of providers eligible for payment with child care subsidy funds.
2. Offering child care certificates to assist parents in accessing care.
3. Informing clients of criteria to consider when selecting a child care provider.
4. Allowing parents or other eligible caretakers to select any legal, eligible child care provider (districts may disapprove providers chosen by families with a preventive or protective case under certain circumstances).
5. Establishing at least one method of paying for child care provided by caregivers who do not have

- a contract with the county.
6. Determining that legally exempt child care providers are operating in compliance with any additional state-approved local standards.
 7. Giving priority for child care subsidies to children of families with very low income, to families that have children with special needs, and to families experiencing homelessness.
 8. Guaranteeing child care services to families that have applied for or are in receipt of public assistance when such services are needed for children under 13 years of age in order to enable custodial parents or caretaker relatives to participate in activities required by a social services official including orientation, assessment, or work activities as defined in 18 NYCRR Part 385.
 9. Guaranteeing child care services to families who are in receipt of public assistance when such services are needed for children under 13 years of age in order to enable the parents or caretaker relatives to engage in work as defined by the social services district.
 10. Guaranteeing child care services to applicants for or recipients of public assistance who are employed and would otherwise be financially eligible for public assistance benefits that choose to receive child care subsidies for children under 13 years of age in lieu of public assistance benefits for such period of time as the applicants/recipients continue to be financially eligible for public assistance.
 11. Guaranteeing child care services to families transitioning from public assistance whose cases have been closed or who voluntarily close their public assistance cases, and who are no longer financially eligible for public assistance due to an increase in earned income or child support. The family must include an eligible child under the age of 13 who needs child care in order for the parent to be engaged in work, and the family's gross income must be at or below 200 percent of the state income standard. For transitional child care, the eligibility period begins with the first month in which a family becomes ineligible for public assistance or "child care in lieu of public assistance" and is limited to 12 months in duration.
 12. Informing recipients of public assistance and former public assistance recipients of the child care guarantees for eligible families.
 13. Informing families in receipt of public assistance of their responsibility to locate child care.
 14. Informing families in receipt of public assistance of the criteria the district will use to determine that a family has demonstrated an inability to obtain needed child care because of the following reasons:
 - Unavailability of appropriate child care within a reasonable distance from the individual's home or work site;
 - Unavailability or unsuitability of informal child care by a relative or under other arrangements; or
 - Appropriate and affordable regulated child care arrangements.
 15. Offering two choices of legal child care, at least one of which must be a licensed or registered provider, to recipients of public assistance who have requested assistance in locating child care for a required work activity and who have demonstrated an inability to obtain care.
 16. Informing recipients of public assistance that their public assistance benefits cannot be reduced or terminated when they demonstrate that they are unable to work due to the lack of available child care for a child under the age of 13.
 17. Advising recipients of public assistance that the time during which they are exempted from their required activity due to the lack of available child care will still count toward the families' time limit on public assistance.
 18. Providing payment for the actual cost of care (rate charged by the provider to non-subsidized families unless a lower payment rate has been established in a negotiated contract) up to the applicable market rate.
 19. Allocating NYSCCBG subsidy funds in a manner that provides eligible families equitable access to child care assistance funds.
 20. Providing child care to families who are eligible, as long as funds are available, and to other families that are eligible if funds are available and if the social services district has listed such families as eligible in the Child and Family Services Plan (CFSP).
 21. Not requiring a contract with child care providers as a condition for payment when providing child care subsidies under the NYSCCBG. The district provides parents or other eligible caretakers the option to either enroll the child with an eligible provider who has a contract with the district or to receive a child care certificate to arrange child care services with any eligible provider.
 22. Obtaining approval from the New York State Office of Children and Family Services (OCFS) as

part of the district's CFSP before imposing any additional requirements on child care providers that serve subsidized children.

H. Staffing

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

The Preventive Services Planning requirements will be met by the social services district's assurance that names and addresses of agencies providing purchased preventive services entered into the CONNECTIONS system or the Benefits Issuance and Control System (BICS) is current.

I attest to our commitment to maintain compliance with these legal assurances.

Commissioner County Department of Social Services

Name / Signature:

Date:

As the PINS Diversion Service lead, I hereby approve and submit the PINS Diversion Service section of the Child and Family Services Plan for Saratoga County 2022 Annual Plan Update.

PINS Diversion Service Lead

(Director/Commissioner County Probation Department or Commissioner County Department of Social Services)

Name / Signature:

Date:

I hereby approve and submit the Youth and Young Adult section of the Child and Family Services Plan for Saratoga County Youth Bureau 2022 Annual Plan Update.

Executive Director County Youth Bureau

Name / Signature:

Date:

Enclosed is the Child and Family Services Plan for Saratoga County. My signature below constitutes approval of this report.

Chief Elected Officer (or Chairperson of the legislative body if the county does not have a Chief Elected Officer)

Name / Signature:

Date:

Public Hearing Requirements

No updates required in Annual Plan Update years

The law requires that at least one public hearing must be held during the development of and prior to the submission of the plan. Such public hearing(s) shall be held only after at least a 15-day notice is provided in a newspaper of general circulation in the district. Such notice must specifically identify the times during the public hearing when child protective services, adult services, and family and children's services components of the plan are to be considered.

One goal of the public hearing is to inform the community of the services available in the district and how they can be accessed. The public hearing also allows the public to raise issues and offer ways to improve delivery and provision of services in the district. Comments and issues raised at the hearing must be incorporated into the planning process if they are deemed to be valid. Implementing strategies that provide for meaningful public input can help to enhance the local planning process. The plan should not be completed prior to the public hearing and should be considered a draft until after the public hearing.

The plan is not to be submitted until 15 days after the public hearing.

Complete the form below to provide information on the required elements of the public hearing.

Date Public Hearing held:

March 13, 2018

(at least 15 days prior to submittal of Plan)

Date Public Notice published:

February 26, 2018

(at least 15 days in advance of Public Hearing)

Name of Newspaper:

The Saratogian

Number of Attendees:

0

Topics and Comments Addressed at Hearing:

Areas represented at the Public Hearing:

- Health
- Legal
- Child Care
- Adolescents
- Mental Health
- Law Enforcement
- Aging
- General Public
- Other

Please specify:

Other
Please specify:

Other
Please specify:

Issues identified at the Public Hearing:

Public hearing was held from 2pm-4pm. No attendees present. Child Protective/Preventive, Foster Care, Adult and Family Services and Daycare programs were represented.

MOU Between DA's Office and CPS

No updates required in Annual Plan Update years

Please upload a copy of your signed MOU to this system or include a narrative summary of the cooperative procedures to be followed by both parties in the investigation of incidents of child abuse and maltreatment, consistent with their respective obligations for the investigation or prosecution of such incidents, or as otherwise required by law.

- A copy of our MOU has been uploaded to the system
- A narrative summary of our MOU is below and a copy of the signed MOU is on file with OCFS

If providing a narrative summary, please enter it here:

County Overview

1. If the district has one, please enter the district's mission or vision.

It is the mission of the Saratoga County Department of Social Services to provide and facilitate the delivery of an appropriate mix of supportive services to meet the unmet financial and social needs of those who are unable to do so on their own.

This is accomplished by educational outreach, direct services, referral to services or purchase of services.

The goals of the Department are rooted in our mission statement.

Self Support to prevent, reduce or eliminate dependency.

Self Sufficiency - the achievement or maintenance thereof.

Protection - preventing or remedying neglect, abuse or exploitation of children or adults who are unable to protect themselves.

Prevention of inappropriate institutional care by providing community based or home care.

It is our dedicated philosophy and mission to treat all individuals with whom we interact in a courteous and professional manner.

2. Describe the district's demographic, economic, and social characteristics.

Saratoga County is made up of nineteen (19) towns, two cities and nine villages. It is one of the faster growing areas in the state and certainly the Capital District. In 2018 the population was 230,163. The Capital District Regional Planning Commission estimates the population in Saratoga County will increase to 235,358 by 2020. The county is considered suburban due to its nearly equal distribution of population between urban and rural areas that encompasses 844 square miles and having a population density of 271.1/square mile. The county's population is 92.9% White Non-Hispanic, 1.9% Black or African American, 0.2% American Indian, 3.0% Asian/Pacific Islander and 1.9% two or more races. 20.1% of the population is less than 18 years of age, 56.7% is 18-64 and 18.1% is 65 or older. Our demographic data identifies only a very small number of Native Americans in its population. In the event a family or child comes to the department for services we will provide appropriate services paying special attention to the needs of Native American children and adults cited in Title IV Federal Goals of the Social Security Act, Subpart 1, Goal 5. This will include our continued use of the Indian Child Welfare Act and the Office of Intergovernmental and Indian Affairs.

The County overall demonstrates a strong economy with nine (9) major employers with greater than 1000 employees, five (5) employers with greater than 500, and twenty (20) more with greater than 200. With a labor force participation rate of 66.2 percent Saratoga County residents experience a median household income of \$80,839 which increased from the year prior. That figure was higher than the Capital Region, New York state (\$65,323), and the U.S. (\$60,293). In December 2016, the county unemployment rate was estimated to be a 6.3%. Overall 6.3% of the persons in Saratoga County are below the poverty level as compared to 6.9% in the Capital District and 13.6% in New York State.

The percentage of children and youth living below the poverty in Saratoga has decreased from 7.7% in 2016 to 7.2% in 2019 (3540 to 3359.) The percentage of children and youth in receipt of Supplemental Nutrition Assistance Program benefits has decreased from 10.8% in 2010 to 9.9% in 2016 (5362 to 4651.)

Between 2017 and 2018 the department's number of Public Assistance (PA), Medicaid (MA) and Food Stamps (FS) eligibles have experienced some change. PA recipients have remained stable at 327, MA recipients have decreased slightly from 30,031 to 29,852 and SNAP recipients have decreased slightly

from 13,325 to 12,551.

Saratoga County as a whole is recognized for the quality of its school districts. There are fourteen (14) school districts serving Saratoga with a 4% annual dropout rate as compared to the New York State rate of 6% rate. 85% of Saratoga County high school graduates receive a Regents Diploma compared to 75% of all NYS graduates. The department has developed several very good collaborations with school districts within the county.

Saratoga County benefits from a year around tourist trade with four main convention facilities all located in Saratoga Springs. Within the county there are numerous opportunities for residents and visitors to enjoy and participate in recreational activities. These opportunities include thoroughbred and harness racing, cross country and downhill skiing mineral baths, numerous golf courses stock car racing, polo, tennis, swimming, skating, horseback riding and sailing. There are three major public parks and many lakes with public access. The Saratoga Performing Arts Center hosts the New York City Ballet, the New York City Opera and the Philadelphia Orchestra each year. Additionally there are other numerous music festivals, art galleries and museums with varying themes throughout the year within the county.

The leadership provided by Saratoga County's government is one of its greatest strengths in meeting the current and future varying needs of the community. This leadership emanates from the Board of Supervisors and other elected officials through the County Administrator's office down to the various department heads in such a manner that it elicits a spirit of teamwork and cooperation focused on the efficient provision of critical services for at risk populations. Such a focus prevents the development of bureaucratic barriers to service provision that could otherwise evolve.

The interaction between Youth Bureau, DSS and Probation in development of their respective state plans is an example of the teamwork and cooperation referred to above working at the interdepartmental level. Numerous discussions have taken place over the past years around the best ways to address the variety of issues facing children and their families including placement and delinquency prevention, juvenile detention, runaway and homeless youth, and child abuse and neglect. As a result the county contributes to the support a variety of human service agencies aimed at developing a continuum of programs which can provide youth, children and their families with opportunities to meet their needs for physical, social, moral and economic growth in addition to programs that can assure their needs for safety and protection.

Within DSS the same spirit can be observed in the interaction and cooperation between the eligibility and services divisions. DSS leadership encouraged the efficient and effective use of staff by shifting functions as caseloads and programs have changed over the years. This approach has led to the better ability of services staff to meet the growing needs of their traditional programs such as Child Protective Services, Foster Care and Adoption Assistance and Adult Protective Services. Within the Services Division teamwork and cooperation has been evident among the unit supervisors and staff when a need to cross train staff was required due to rising caseloads, increasing CPS reports, staff turnover and medical leaves have resulted in critical staff shortages.

As can be seen from the above county profile, Saratoga County has many strengths which afford its families a relatively good quality of life in comparison to other areas. As a result the county has experienced significant growth and is expected to experience similar growth into the distant future. This growth has created many challenges in terms of service provision for the department that can be seen in the assessment of trends experienced by the Services Division that follows. The conclusions that can be drawn from these trends will determine the direction the department will take in the next five years in its efforts to meet the mandates for which it is responsible.

2a. OCFS is committed to addressing disparity among all populations. There is evidence that disparities in race / ethnicity and gender identity, sexual orientation, and expression (SOGIE) exist throughout the social services system.

i. Racial disparities can include: a disproportionate number of youth who are people of color coming in contact with the child welfare / Juvenile Justice systems, disproportionately removing children away from families of color, foster youth of color aging out of foster care without a permanent adult resource, and other negative outcomes for youth who identify as a person of

color and their families. People / persons of color include those who identify as Black, Indigenous or Native American, Latinx or Hispanic, Asian American, Native Hawaiian or Pacific Islander, Middle Eastern or of Northern African descent (MENA), or of more than once race.

What efforts is the district taking to address racial disparities in the child welfare / Juvenile Justice system?

ii. Sexual orientation, gender identity, and expression (SOGIE) disparities can include: SOGIE as a factor related to why youth entered the child welfare / Juvenile Justice system, youth who identify as LGBTQ+ are often undercounted because youth choose to hide their identities out of fear, LGBTQ+ youth have an increased likelihood of being placed in congregate care settings and are disproportionately represented in youth homeless shelters and in street homelessness, etc.

What efforts is the district taking to address sexual orientation, gender identity, and expression disparities in the child welfare / Juvenile Justice system?

2b. Would you like TA from OCFS in any or all of the following areas?

Race and Ethnicity Equity

LGBTQ Cultural Awareness and Affirmation

3. Describe the district's successes and achievements in the last five years.

By providing preventive services and utilizing preventive contracts with voluntary agencies such as Berkshire Farm, St. Anne Institute, and Northeast Parent and Child Society, Saratoga County has been successful in reducing the number of children in foster care and maintaining that number between 55-65 in the last 5 years. 31 youth were adopted between 2014-2019. We have also drastically reduced the number of detention bed days used. In 2016 Saratoga County was given a 5 year Safe Harbor grant. The money has been used to host a conference each year which brings together more than 200 participants from many disciplines to learn about the impact of human trafficking. The money is also used to help victims of human trafficking directly by providing lodging, food, airfare, and counseling, specifically training a therapy dog and paying for EMDR (Eye Movement Desensitization and Reprocessing).

Despite an increasing SCR reports, the department has been able to maintain a very low rate of overdue investigations and safety assessments.

The department continues to have a very good working relationship with the two Domestic Violence Programs in the county. The Adult and Family Services unit has had all its staff trained in the dynamics of domestic violence and there is a specific staff member assigned to act as Domestic Violence Liaison who works with clients screened by the department's eligibility. In their absence, other member's of the unit have had the necessary training to assist these clients. The APS staff have assured that all referrals are responded to in a timely manner and that notes are contemporaneously placed in the ASAP program. Supervisors in the unit review the case files and have had meetings on a regular basis with Saratoga County Mental health to discuss services for clients. The APS staff have regularly sought out family members to assist clients with needed legal interventions such as guardianships and representative payees. Reviews conducted by the Office of Children and Family Services have resulted in favorable findings regarding APS case practice.

The Youth Bureau continues to work toward achieving our outcomes. By adjusting our strategies and objectives we are able to respond to the changing conditions and needs of our youth. Through collaboration with Saratoga County Social Services and Probation Departments, as well as, our community based organizations and ongoing needs assessment and monitoring activities, we continue

to strengthen our relationships with our youth serving programs and agencies.

We have been able to participate in the Regional Youth Justice Reintegration team to assist with building an action plan for Raise the Age initiatives. In addition, we have joined coalitions that offer awareness, training and resources that address youth mental health, suicide prevention and postvention, substance abuse and the opioid epidemic, Safe Harbour/human trafficking, etc. Wes Carr, Youth Bureau Director serves as Saratoga County RHYA Coordinator. The Youth Bureau works closely with CAPTAIN Community Human Services, which operates a youth shelter in the Town of Malta. The agency serves many demographic populations in the County. Its Outreach team has been trained to identify youth that may be at risk for homelessness or sexual exploitation. Any youth identified in this process will have individual needs met per a service plan and continuum of care.

4. Describe the financing for the district's services. Include general information about the types of funds used (e.g. federal, State, local, TANF, or innovative funding approaches). Include new uses of TANF or Flexible Funds for Family Services for program services. Include any innovative approaches to funding or new uses of funds to support the service delivery system.

The complex array of funding streams used to support the overall DSS service delivery system, includes but is not limited to federal funds for Medicaid (Title XIX), Title XX, Temporary Assistance to Needy Families (TANF) and the Child Care Block Grant. State provided allocations of additional federal funds include TANF Non-residential Domestic Violence allocations and Flexible Funds for Family Services. The department receives additional state funds allocated through a Foster Care Block Grant, Supervision and Treatment Services for Juveniles Program, and Community Optional Preventive Services. Dependent upon the funding stream there may be a local share required to access the federal or state funds. Once these various funding streams are exhausted the DSS must utilize county funds to continue to provide the required mandated services.

The County initially pays for most expenses related to DSS services. These expenses are primarily for child welfare services, public assistance and administration. The significant exception is the payment of Medicaid for which the State pays medical providers directly for most medical services. The local share for those medical expenses is paid by DSS through a weekly wire transfer of 100 percent county funds to the State's Medicaid account.

5. If purchase of service agreements are used, describe the criteria and procedures used by the district for selecting providers for all child welfare, adult protective, and non-residential domestic violence purchase of services (e.g. RFP process, news releases on availability of funds, sister agencies panel).

- St. Anne's Sexual Abuse Prevention Program - A purchase of service contract with St. Anne's Institute that provides for services to sexual abuse victims and their families. This is a specialized service in that the target population includes the perpetrator who is a family member. The program works with both the victim and the perpetrator to understand the dynamics of the abuse. Generally, this is accomplished without the need to remove the child victim from the home setting. Five families can be served at any given time.
- Placement Prevention Program - Via a purchase of service agreement between Berkshire Farm and the department, adjudicated youth placed in the custody of the Commissioner that would otherwise require residential placement are able to remain in their homes with intensive case management services. Contacts are a minimum of two times per week that includes family and individual counseling. Additionally, the family specialist is in contact with school personnel, mental health, substance abuse, domestic violence counselors, probation and employers or other significant others as the family/child treatment plan may require.
- Expanded Placement Prevention Program - Whereas the Placement Prevention Program generally serves post-adjudicated youth and their families, the Expanded Placement Prevention Program serves pre-adjudicated youth who have been referred to Probation. This is an intensive short-term crisis intervention program with the goal of diverting the filing of the PINS petition. Under this purchase of service agreement, also with Berkshire Farm, two social workers are co-located in the Probation Department and respond immediately to referrals from the

probation department intake worker on families that are deemed as in need of additional family services to avoid the filing of the petition with the family court. Each worker handles five to seven families at a time for a period of sixty days and the possibility of a sixty-day extension if needed.

- Enhanced Stepping Stones Program - Via a purchase of service agreement between Berkshire Farm and the department. Enhanced Stepping Stones is an alternative-to-detention program, offering intensive family-based in-home case management services to Saratoga County youth at risk in order to reduce and prevent the placement of 16 and 17 year old juvenile delinquents and adolescent offenders in secure detention and specialized secure detention facilities.
- Intensive Aftercare/Prevention Program - Through a contract with Northeast Parent and Child Society intensive prevention services are provided to families whose children are at the highest risk of foster care placement/replacement. Services are provided in the home up to 10 hours per week. Case managers are available to families twenty-four hours per day, seven days per week. Services also can be provided to accelerate return to home for children currently in foster care.
- Domestic Violence Services - Through a contract with Domestic Violence / Rape Crisis in Saratoga Springs and Domestic Violence Advocacy Program in Mechanicville, non-residential domestic violence services are provided to clients in need of services as outlined in the non-residential domestic violence services section of this plan.
- Supervision and Treatment Services for Juvenile Program - DSS, as the lead agency has a public purchase of service contract with the County Probation Department to implement case management and electronic monitoring services aimed at reducing detention and residential placement for youth in the juvenile justice system.

6. Describe procedures that will be used to ensure that the services being purchased are effective in meeting the outcomes as outlined in the contract and your plan. Include the frequency of monitoring, tools that will be used, and who will be involved.

Depending on the specific contract regular case monitoring meetings; monthly, quarterly and annual provider reports; Family and Assessment Service Plans; Child Care Review System and internal DSS reports are used to track and inform DSS administration regarding progress achieved in meeting DSS outcomes. Dependent upon the specific contract staff at various levels and in various units within DSS are responsible for the monitoring of the progress made toward accomplishing the outcomes indicated in the contracts.

7. Describe any existing situations where child protective services information is shared with service providers or coordinators of services and the agreements whereby such disclosure of Child Protective Services information is allowed. Disclosure of Child Protective Services information with providers or coordinators of services is unlawful unless the county documents herein any such existing agreements (SSL 422(4)(A)(o)).

MDT/MOU CAC

Relationship Between County Outcomes and Title IV-B Federal Goals

Each district seeks to improve outcomes that support the achievement of the Federal Safety, Permanency and Well-Being goals. The outcomes, identified in the New York State Child Welfare Practice Model, are listed below and the strategies to reach these outcomes are located throughout this county's Child and Family Services Plan.

- Through effective intervention, parent, caregivers, and families improve their ability to develop and maintain a safe, stable environment for themselves and their children.
- Children are safely maintained in their own home, families and communities with connections, culture and relationships preserved.
- When it is necessary to place children in out-of-home care, it is a safe, short and stable experience concluding with permanent attachments to caring adults.
- Parents and caregivers have the capacity to provide for their children's needs. Children are cared for in safe, permanent, and nurturing environments that meet their needs and develop their physical,

cognitive, behavioral/emotional and social functioning. As youth transition to adulthood, they benefit from services that promote health development, academic success and/or self-sustainability and safe living conditions.

- Organizations are diverse, flexible, professionally and culturally competent and use child-centered, family-focused practice, and demonstrate partnership at all levels.

Safety

Safety Plan Update

The 2022 Annual Plan Update is the final year of the district's 2018-2023 five-year Child and Family Services Plan. Since 2018, OCFS has asked that your district implement, and monitor strategies designed to improve the CFSR Safety Outcome as measured by the Federal Safety metric.

Using your Recurrence Indicator as a performance monitor, please evaluate the effectiveness of your implemented strategy(s) (described in your most recent APU) in improving child safety.

Safety Outcome—Children are safely maintained in their own home, families and communities with connections, culture and relationships preserved. (*Child Welfare Practice Model*)

Federal Recurrence Indicator—Children with at least one indicated report in a FFY with another indicated report within 12 months of the initial report.

1. Document your district's Performance on the Recurrence Indicator in Waves 6–8.

Using [the attached table](#), please enter your districts' rates for the Recurrence Indicator. Note: OCFS has identified the national average as the NYS target.

| | Indicator | Wave 6 | Wave 7 | Wave 8 |
|-------------------------|------------------|---------------|---------------|---------------|
| District | Recurrence (S2) | | | |
| National Average | Recurrence (S2) | 10.0% | 9.9% | 9.7% |

2. What was the trend of your recurrence rate over Waves 6, 7, and 8?

3. Of the strategies you have implemented throughout the life of the 2018–2023 Plan, which strategy do you believe has had the biggest impact (positive or negative) on your recurrence rate?

a. What was the strategy you implemented?

b. What key underlying factor(s) was the strategy intended to address? Did the strategy impact the underlying factor(s) in the way it was intended?

c. Did the strategy ultimately impact the recurrence rate in the way you expected?

d. Why / Why not? Were there additional emerging factors that supported or inhibited the effectiveness of the strategy?

4. How will you adjust or continue the strategy to continuously support improvement on the Child Safety Outcome?

Looking Ahead to the 2023-2028 Child and Family Services Plan - Systemic Factor Self-Assessment

What Are Systemic Factors?

Systemic Factors—The Child and Family Services Review (CFSR) is a national review of each state's child welfare system. This federal-state collaborative effort is designed to help promote quality child welfare services and improve outcomes.

One component of the CFSR is a determination of whether NYS is in substantial conformity with systemic factors. Systemic factors represent key operating systems within a state that have the capacity to support positive child safety, permanency, and well-being outcomes.

The Safety section of the 2023–2028 County Plan will focus on the following six systemic factors:

- Statewide Information Systems: Agency Access to Data
- Documentation
- Case Review System
- Quality Assurance / Continuous Quality Improvement
- Staff and Provider Training
- Supervision

Why Are We Focusing on Systemic Factors?

Understanding the functioning of these systemic factors at the local level will serve two purposes:

1. **Support local strategic planning efforts:** Local districts engage in focused, data driven strategic planning through the development of the Annual Child and Family Services Plan (County Plan). This 2022 County Plan Update will lay the foundation for the 2023-2028 County Plan by using evidence, both qualitative and quantitative, to assess current performance on the identified systemic factors. Throughout the next five-year County Plan cycle (2023–2028), in accordance with the continuous quality improvement model, districts will explore underlying factors impacting performance, identify and implement strategies to improve practice, and monitor the effectiveness of those strategies.
2. **Assist OCFS in understanding areas that are functioning well on a routine basis and those areas needing improvement:** Through a Statewide analysis of County Plan submissions, OCFS will be better positioned to understand and impact systemic factor functioning from the State level. Data collected from the local self-assessments will be incorporated into the federally required CFSR Statewide Assessment.

How Will We Understand Functioning of Systemic Factors?

In preparation for the 2023–2028 County Plan, this section of the 2022 Annual Plan Update will be a ***self-assessment of the systemic factors, as they function in your jurisdiction***. OCFS considers a systemic factor to be “functioning” if it is occurring or is being met consistently and on an ongoing basis across the district for all relevant populations. Each systemic factor contains a statement of performance that constitutes a well-functioning systemic factor. To assess the functioning of the area in your district, you are asked to answer the following questions:

1. **Assess your current performance in the area**

To assess the functioning of the area in your district, you are asked to complete either:

Saratoga County: Safety

a. *Worksheet Questions:* OCFS has prepared a file with case specific information for you to use to assess some of the questions below. To request the case specific file, please click the link in the yellow box on this form. Each of the tabs in the Excel file contains up to 10 records that require specific a review in Connections. As you review each of the records, please document your findings in the Excel file. A score will calculate on the bottom right side of the Excel sheet. This is the data you will report on this form.

OR

b. *Scaling Questions:* Some of the questions ask you to rate your performance on a scale of 1–10, one being the lowest and 10 being the highest. This rating should be based on your assessment of the overall functioning of the area in the district. This is based on your district's determination, and a justification for the rating will be required.

2. Self-determine if this is an area of Strength or an Area for Development

Based on the score received either from the Excel worksheet or the answer provided from the scaling question, decide if that represents and strength or area needing improvement for your district. OCFS has not identified a minimum score or rating for the items. Your determination should be based on the strengths and needs of your district.

3. Provide a rationale for your rating

Please explain why you chose to rate the area as a strength or area needing development. What is working well in your district to support this area and what still needs improvement.

4. Identify potential underlying factors contributing to your performance

If this is an area of strength, please describe the practice or processes that support the functioning of this area. If this is an area needing development, please describe the barriers that you believe are impacting performance. As planning for the 2023-2028 County Plan begins, spending time understanding the barriers impacting performance will be essential in identifying areas to target for improvement.

Statewide Information System

Agency Access to Data

- The agency is readily able to pull CONNECTIONS data from Data Warehouse or another CONNECTIONS-based repository

1. Assess Performance: Is there a person(s) within your agency that has the capacity / knowledge to pull CONNECTIONS information from Data Warehouse or another CONNECTIONS-based data repository?

- Yes
- No

2. How do you rate Agency Access to Data?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating of Agency Access to Data:

4. Identify potential underlying factors contributing to your performance:

Documentation

Progress Notes

Progress notes are entered in a timely manner and are concise, professional, and include information about the:

- Purpose of the casework contact and who / where / when information
- Presence or absence of risk and / or safety concerns and any needed action related to concerns
- Family's level of progress toward their goals
- Case planning next steps, where appropriate

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The "CPS Progress Notes" tab in the "CFSP Safety Systemic Factor Worksheet" Excel file includes a list of up to 10 Investigation Report IDs. In CONNECTIONS, please review at least one recent Progress Note of a caseworker visit with a family member for each of the investigations listed in the Excel file to determine if the required components above are included in each of the entries.

In the Excel spreadsheet, please rate the quality of each component for each case. Record your review of the progress notes by using the dropdown options in each cell. Copy the percentages from the "Quality Score Progress Notes" column located in cells J20–J25 to the corresponding items below.

| Documented Component of a Quality Progress Note | Quality Score for All Investigations |
|---|---|
| Progress note included a clear purpose for the visit, who was present, and the location | % |
| Progress note clearly documented the presence or absence of risk and / or safety concerns and any needed action related to concerns | % |
| Progress note included the level of family's progress, documentation of what was discussed, and an observation of the home and the parent's and children's interactions | % |
| Progress note clearly documents next steps, if needed | % |
| Progress note is concise and professional | % |
| Progress note is entered timely (for this purpose, in the Excel file, timely is within 30 days) | % |

2. How do you rate Progress Note Documentation?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Progress Note Documentation:

4. Identify potential underlying factors contributing to your performance:

Case Review System

Written Safety Plans

Safety Plans, when needed, are adequate to protect children and includes key components.

- The safety plan is consistent with case circumstances
- The safety plan is adequate to fully protect the children
- The safety plan lists specific actions taken or to be taken and persons responsible
- The safety plan includes appropriate controlling interventions, initiated by the caseworker, to address safety
- The safety plan includes details about duration of the plan and how the plan will be monitored
- The safety plan has supervisory input

(New York State Child Protective Services Manual, Chapter 6, Section D-2)

1. Assess Performance

The "CPS Safety Plans" tab in the "CFSP Safety Systemic Factor Worksheet" Excel file includes a list of up to 10 Investigation Report IDs. In CONNECTIONS, please review the safety plan associated with the 7-day safety assessment in each of the investigations listed in the Excel file to determine if the required components above are included in each of the safety plans.

Please complete the Excel spreadsheet by using the dropdown options in each cell. Copy the percentages from the "Quality Score for Written Case Plan" column located in cells J21–J26 to the corresponding items below.

Documented Component of a Quality Safety Plan

Quality Score for Safety Plans

| | |
|---|---|
| Safety plan is consistent with case circumstances | % |
| Safety plan is adequate to fully protect the children | % |
| Safety plan lists specific actions taken or to be taken and persons responsible | % |

| | |
|--|---|
| Safety plan includes appropriate controlling interventions, initiated by the caseworker, to address safety | % |
| Safety plan includes details about duration of the plan and how the plan will be monitored | % |
| Documentation of supervisory input is present | % |

2. How do you rate Written Safety Plans?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Written Safety Plans:

4. Identify potential underlying factors contributing to your performance:

Quality Assurance / Continuous Quality Improvement Process

Quality Assurance System

The agency has a robust CPS quality assurance system that:

- Includes a regularly occurring process for reviewing casework practice
- Has standards to evaluate the quality of services
- Identifies strengths and needs of the service delivery system
- Provides relevant reports
- Evaluates implemented program improvement strategies

1. Assess Performance

Rating (1–10)

On a scale from 1 being “we don't have a quality assurance system in place for CPS” to 10 being “our quality assurance system is robust and meets / exceeds the standards listed above,” how would you describe the strength of your CPS quality assurance system?

2. How do you rate Quality Assurance System?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Quality Assurance System:

4. Identify potential underlying factors contributing to your performance:

Staff and Provider Training

Ongoing Staff Training

The agency assesses training needs and provides for or arranges training that addresses the skills and knowledge base needed for all staff, including supervisors to carry out duties.

1. Assess Performance

On a scale from 1 being “our agency needs significant improvement in providing and / or arranging training for staff” to 10 being “our training process is robust,” how would you describe the strength of your ability to: **Rating (1–10)**

- 1) Assess the ongoing training needs of all staff?
- 2) Address the ongoing training needs of all staff (internal and external training)?

(Note: “Ongoing staff needs” excludes initial staff training, such as Child Welfare Foundations Program and Child Protection Services Response Training)

2. How do you rate Ongoing Staff Training?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Ongoing Staff Training:

4. Identify potential underlying factors contributing to your performance:

Supervision

The agency supports an organizational culture that values and demonstrates support for the vital role supervisors play in ensuring positive outcomes for children, youth, and families.

The agency has a child welfare supervision model that:

- 1. Articulates in writing the organization's practice philosophy and approach
- 2. Identifies the functions and specific job responsibilities of child welfare supervisors
- 3. Recognizes the centrality of building and maintaining relationships with supervisees and

- others to carrying out supervisory responsibilities effectively
4. Defines expectations with regard to the frequency and format for supervision of frontline practitioners
 5. Clarifies expectations for ongoing evaluation of frontline practitioners
 6. Supports supervisors in their roles as unit leaders and change agents

Source: Building a Model and Framework for Child Welfare Supervision; Hess, Peg, Kanak, Susan, Atkins, Julie. National Resource Center for Organizational Development and National Resource Center for Family-Centered Practice and Permanency Planning, 2009.

1. Assess Performance

This item should be rated for the agency, not specific to Permanency or Safety. If this item has been answered in the Permanency section, please indicate that below.

Rating (1–10)

On a scale from 1 being “the agency doesn't have a framework for supervision” to 10 being “our supervision framework and practice is robust and meets / exceeds the standards listed above,” how would you describe the strength of your supervision framework?

2. How do you rate Supervision Framework?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Supervision Framework:

4. Identify potential underlying factors contributing to your performance:

Note: The document referenced above provides useful supports to agencies interested developing a model for supervision.

Planning Team and Technical Assistance

Is your planning team still meeting? If yes, how frequently and what stakeholders attend?

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

Permanency

Permanency Plan Update

The 2022 Annual Plan Update is the final year of the district's 2018–2023 five-year Child and Family Services Plan. Since 2018, OCFS has asked that your district implement, and monitor strategies designed to improve the CFSR Permanency Outcome(s) as measured by the four Federal Permanency metrics.

Using the Permanency Indicators as a performance monitor, please evaluate the effectiveness of your implemented strategy(s) (described in your most recent APU) in improving permanency.

Permanency Outcome— When it is necessary to place children in out-of-home care, it is a safe, short, and stable experience concluding with permanent attachments to caring adults. (*Child Welfare Practice Model*)

Identify which CFSR Round 3 Permanency Indicator your District chose to impact:

- Permanency Indicator 1**— Percentage of children who entered foster care in a FFY and discharged within 12 months of the entry.
- Permanency Indicator 2**— Of all children in care 12–23 months on a designated date, percentage of children who discharged within 12 months of that date.
- Permanency Indicator 3**— Of all children in care 24+ months on a designated date, percentage of children who discharged within 12 months of that date.
- Permanency Indicator 4**— Of all the children in Permanency Indicator 1 who discharged, the percentage of children who reentered foster care within 12 months.

1. Document your district's performance on the chosen CFSR Permanency Indicator in your most recent APU for Waves 5.5–8.

Below is the national average for each of the permanency indicators over 4 Wave time periods. Using [the attached table](#), please enter your districts' rates for your chosen Permanency Indicator. Note: OCFS has identified the national average as the NYS targets.

| | Indicator | Wave 5.5 | Wave 6 | Wave 7 | Wave 8 |
|-------------------------|-----------|----------|--------|--------|--------|
| District | P1 | | | | |
| National Average | P1 | 39.1% | 38.6% | 38.7% | 38.5% |
| | P2 | 46.5% | 47.2% | 47.1% | 42.7% |
| | P3 | 37.8% | 38.5% | 39.3% | 35.4% |
| | P4 | 7.3% | 7.2% | 7.5% | 6.8% |

2. What was the trend of your permanency rate over Waves 5.5, 6, 7, 8?

3. Of the strategies you have implemented throughout the life of the 2018–2023 Plan, which strategy do you believe has had the biggest impact (positive or negative) on your permanency rate?

a. What was the strategy you implemented?

b. What key underlying factor(s) was the strategy intended to address? Did the strategy impact the underlying factor(s) in the way it was intended?

c. Did the strategy ultimately impact the permanency rate in the way you expected?

d. Why/Why not? Were there additional emerging factors that supported or inhibited the effectiveness of the strategy?

4. How will you adjust or continue the strategy to continuously support improvement on Permanency Outcomes?

Looking Ahead to the 2023-2028 Child and Family Services Plan - Systemic Factor Self-Assessment

What Are Systemic Factors?

Systemic Factors—The Child and Family Services Review (CFSR) is a national review of each state's child welfare system. This federal-state collaborative effort is designed to help promote quality child welfare services and improve outcomes.

One component of the CFSR is a determination of whether NYS is in substantial conformity with systemic factors. Systemic factors represent key operating systems within a state that have the capacity to support positive child safety, permanency, and well-being outcomes.

The Permanency section of the 2023–2028 County Plan will focus on the following six systemic factors:

- Statewide Information Systems: Data Quality and Agency Access to Data
- Documentation
- Case Review System
- Quality Assurance / Continuous Quality Improvement
- Staff and Provider Training
- Supervision

Why Are We Focusing on Systemic Factors?

Understanding the functioning of these systemic factors at the local level will serve two purposes:

1. **Support local strategic planning efforts:** Local districts engage in focused, data-driven strategic planning through the development of the Annual Child and Family Services Plan (County Plan). This 2022 County Plan Update will lay the foundation for the 2023–2028 County Plan by using evidence, both qualitative and quantitative, to assess current performance on the identified systemic factors. Throughout the next five-year County Plan cycle (2023–2028), in accordance with the continuous

quality improvement model, districts will explore underlying factors impacting performance, identify and implement strategies to improve practice, and monitor the effectiveness of those strategies.

- 2. Assist OCFS in understanding areas that are functioning well on a routine basis and those areas needing improvement:** Through a Statewide analysis of County Plan submissions, OCFS will be better-positioned to understand and impact systemic factor functioning from the State level. Data collected from the local self-assessments will be incorporated into the federally required CFSR Statewide Assessment.

How Will We Understand Functioning of Systemic Factors?

In preparation for the 2023–2028 County Plan, this section of the 2022 Annual Plan Update will be a **self-assessment of the systemic factors, as they function in your jurisdiction**. OCFS considers a systemic factor to be “functioning” if it is occurring or is being met consistently and on an ongoing basis across the district for all relevant populations. Each systemic factor contains a statement of performance that constitutes a well-functioning systemic factor. To assess the functioning of the area in your district, you are asked to answer the following questions:

- 1. Assess your current performance in each systemic factor**

To assess the functioning of the area in your district, you are asked to complete either:

- a. *Worksheet Questions:* OCFS has prepared a file with case specific information for you to use to assess some of the questions below. To request the case specific file, please click the link in the yellow box below. Each of the tabs in the Excel file contains up to 10 records that require specific a review in Connections. As you review each of the records, please document your findings in the Excel file. A score will calculate on the bottom right side of the Excel sheet. This is the data you will report on this form.

OR

- b. *Scaling Questions:* Some of the questions ask you to rate your performance on a scale of 1 10, one being the lowest and 10 being the highest. This rating should be based on your assessment of the overall functioning of the area in the district. This is based on your district's determination, and a justification for the rating will be required.

- 2. Self-determine if this is an area of Strength or an Area for Development**

Based on the score received either from the Excel worksheet or the answer provided from the scaling question, decide if that represents and strength or area needing improvement for your district. OCFS has not identified a minimum score or rating for the items. Your determination should be based on the strengths and needs of your district.

- 3. Provide a rationale for your rating**

Please explain why you chose to rate the area as a strength or area needing development. What is working well in your district to support this area and what still needs improvement.

- 4. Identify potential underlying factors contributing to your performance**

If this is an area of strength, please describe the practice or processes that support the functioning of this area. If this is an area needing development, please describe the barriers that you believe are impacting performance. As planning for the 2023–2028 County Plan begins, spending time understanding the barriers impacting performance will be essential in identifying areas to target for improvement.

Statewide Information System

Data Quality and Agency Access to Data

- The agency accurately documents the demographic characteristics, placement status / location, and goals for every child who is (or within the immediately preceding 12 months, has been) in foster care
- The LDSS is readily able to pull CONNECTIONS data from Data Warehouse or another CONNECTIONS-based repository

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The “Data Quality” tab in the “CFSP Permanency Systemic Factor Worksheet” Excel file includes child-level information that is documented in CONNECTIONS.

Please check the accuracy of this data that OCFS pulled from CONNECTIONS and identify which items are correct using the dropdown options in each cell. Please base your assessment of accuracy of the data on your staff’s direct knowledge of the children / youth or written documentation outside of CONNECTIONS.

The cell containing “Score for Data Quality” is a calculation of the percentage of information that you identify as accurate (total accurate / total items assessed). Please enter that score below.

| | |
|---------------------|-------------------------------|
| | Score for Data Quality |
| % of Matching Items | % |

2. How do you rate Data Quality?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating of Data Quality:

4. Identify potential underlying factors contributing to your performance:

5. Assess Performance: Is there a person(s) within your agency that has the capacity / knowledge to pull CONNECTIONS information from Data Warehouse or another CONNECTIONS-based data repository?

- Yes
- No

6. How do you rate Agency Access to Data?

- Strength
- Area for Development

7. Rationale for Self-Determined Rating of Agency Access to Data:

8. Identify potential underlying factors contributing to your performance:

Documentation

Progress Notes

Progress notes are entered in a timely manner, are concise and professional, and include information about the:

- Purpose of the casework contact and who / where / when information
- Presence or absence of risk and / or safety concerns and any needed action related to concerns
- Family's level of progress toward their goals
- Case planning next steps, where appropriate

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The "Progress Notes" tab in the "CFSP Permanency Systemic Factor Worksheet" Excel file includes a list of up to 10 CIN numbers. In CONNECTIONS, please review at least one recent Progress Note of a caseworker visit with a family member for each of the children (CIN numbers) listed in the Excel file to determine if the required components above are included in each of the entries.

In the Excel spreadsheet, please rate the quality of each component for each case. Record your review of the progress notes by using the dropdown options in each cell. Copy the percentages from the "Quality Score Progress Notes" column located in cells L18–L23 to the corresponding items below.

Documented Component of a Progress Note Documentation

Quality Score Progress Notes

| | |
|---|---|
| Progress note included a clear purpose for the visit, who was present, and the location | % |
| Progress note clearly documented the presence or absence of risk and / or safety concerns and any needed action related to concerns | % |
| Progress note included the level of family's progress, documentation of what was discussed, and an observation of the home and the parent's and children's interactions | % |
| Progress note includes documentation of next steps, if any were needed | % |
| Progress note is concise and professional | % |
| Progress note is entered timely (for this purpose, in the Excel file, timely is within 30 days) | % |

2. How do you rate Progress Note Documentation?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Progress Note Documentation:

4. Identify potential underlying factors contributing to your performance:

Case Review System

Written Case Plans

Each child has a written case plan that:

- Is completed timely
- Is developed jointly with parents
- Includes the required provisions

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The "FASP—Written Case Plan" tab in the "CFSP Permanency Systemic Factor Worksheet" Excel file includes a list of up to 10 CIN numbers. In CONNECTIONS, please review *the most recent approved FASP* for each of the children (CIN numbers) listed in the Excel file to determine if the required components above are included in each of the cases.

Please complete the Excel spreadsheet by using the dropdown options in each cell. Copy the percentages from the "Quality Score for Written Case Plan" column located in cells K18–K20 to the corresponding items below.

| | Quality Score for Written Case Plans |
|---|---|
| Written Case Plans (FASP) are completed within regulatory timeframes | % |
| Written Case Plans (FASP) developed jointly with parents | % |
| Written Case Plans (FASP) have congruency between the family's strengths, needs, and services | % |

2. How do you rate Written Case Plans?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Written Case Plans:

4. Identify potential underlying factors contributing to your performance:

Periodic Reviews, Notice of Hearings, and Reviews to Caregivers

A court or administrative review (Permanency Hearing) occurs at least once every six months. Parents, foster parents, foster adoptive parents, and relative caregivers:

- Are notified of any review or hearing being held with respect to the child
- Have a right to be heard in any review or hearing being held with respect to the child

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The "Periodic Review" tab in the "CFSP Permanency Systemic Factor Worksheet" Excel file includes a list of up to 10 CIN numbers. In CONNECTIONS, please review *the most recent Permanency Hearing Information* for each of the children (CIN numbers) listed in the Excel file to determine if the required components above are included in each of the cases.

Please complete the Excel spreadsheet by using the dropdown options in each cell. Copy the percentages from the "Quality Score for Periodic Reviews" column located in cells H24–H25 to the corresponding items below.

| | Quality Score for Periodic Reviews |
|--|---|
| Permanency Hearings are completed within 182 days (6 months) | % |
| Evidence of Notice of the hearing is in the record | % |

2. How do you rate Periodic Review and Notice to Caregivers?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Periodic Review and Notice to Caregivers:

4. Identify potential underlying factors contributing to your performance:

Termination of Parental Rights

- Termination of parental rights (TPR) petitions are filed when the child has been in foster care 15 of the most recent 22 months
- When the TPR petition has not been filed in the ASFA timelines, there are documented compelling reasons

1. Assess Performance

Please use the Excel file, requested above in the yellow box, for the following questions.

The "TPR" tab in the "CFSP Permanency Systemic Factor Worksheet" Excel file includes a list of up to 10 CIN numbers. In CONNECTIONS, please review *the most recent FASP and / or Permanency Hearing Report* for each of the children (CIN numbers) listed in the Excel file to determine if the required components above are included in each of the cases.

Please complete the Excel spreadsheet by using the dropdown options in each cell. Copy the percentages from the "Quality Score for TPR" column located in cell F24 to the corresponding item below.

| | Quality Score for TPR |
|--|------------------------------|
| TPRs were filed timely or there was an exception | % |

2. How do you rate TPR?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for TPR:

4. Identify potential underlying factors contributing to your performance:

Quality Assurance / Continuous Quality Improvement Process

Quality Assurance System

The agency has a robust quality assurance system that:

- Includes a regularly occurring process for reviewing casework practice
- Has standards to evaluate the quality of services
- Identifies strengths and needs of the service delivery system
- Provides relevant reports
- Evaluates implemented program improvement strategies

1. Assess Performance

Rating (1–10)

On a scale from 1 being “we don't have a quality assurance system in place for foster care” to 10 being “our quality assurance system is robust and meets / exceeds the standards listed above,” how would you describe the strength of your foster care quality assurance system?

2. How do you rate Quality Assurance System?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Quality Assurance System:

4. Identify potential underlying factors contributing to your performance:

Staff and Provider Training

Ongoing Staff Training

The agency assesses training needs and provides for or arranges training that addresses the skills and knowledge base needed for all staff, including supervisors to carry out duties.

1. Assess Performance

On a scale from 1 being “our agency needs significant improvement in assessing training needs and / or providing / arranging training for all staff” to 10 being “our training process is robust,” how would you describe the strength of your ability to:

Rating (1–10)

- 1) Assess the ongoing training needs of all staff?
- 2) Address the ongoing training needs of all staff (internal and external training)?

2. How do you rate Ongoing Staff Training?

- Strength

Area for Development

3. Rationale for Self-Determined Rating for Ongoing Staff Training:

4. Identify potential underlying factors contributing to your performance:

Foster and Adoptive Parent Training

The district's foster parent training system addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children.

Note: If the district does not recruit and certify its own foster homes, this section is not applicable.

1. Assess Performance

When assessing performance, consider evolving needs of children in light of FFPSA, as more are expected to be placed in home-based settings.

**Rating (1–10)
or N/A**

On a scale from 1 being “we need to significantly improve our foster parent training” to 10 being “our foster parent training(s) is robust and meets the standard,” how would you describe the strength of your ability to meet the initial and ongoing training needs of your prospective foster and adoptive parents?

2. How do you rate Foster and Adoptive Parent Training?

Strength

Area for Development

3. Rationale for Self-Determined Rating for Foster and Adoptive Parent Training:

4. Identify potential underlying factors contributing to your performance:

Supervision

The agency supports an organizational culture that values and demonstrates support for the vital role supervisors play in ensuring positive outcomes for children, youth, and families.

The agency has a child welfare supervision model that:

1. Articulates in writing the organization's practice philosophy and approach
2. Identifies the functions and specific job responsibilities of child welfare supervisors
3. Recognizes the centrality of building and maintaining relationships with supervisees and others to carrying out supervisory responsibilities effectively
4. Defines expectations with regard to the frequency and format for supervision of frontline practitioners
5. Clarifies expectations for ongoing evaluation of frontline practitioners
6. Supports supervisors in their roles as unit leaders and change agents

Source: Building a Model and Framework for Child Welfare Supervision; Hess, Peg, Kanak, Susan, Atkins, Julie. National Resource Center for Organizational Development and National Resource Center for Family-Centered Practice and Permanency Planning, 2009.

1. Assess Performance

This item should be rated for the agency, not specific to Permanency or Safety. If this item has been answered in the Safety section, please indicate that below.

Rating (1–10)

On a scale from 1 being “the agency doesn't have a framework for supervision” to 10 being “our supervision framework and practice is robust and meets / exceeds the standards listed above,” how would you describe the strength of your supervision framework?

2. How do you rate Supervision Framework?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Supervision Framework:

4. Identify potential underlying factors contributing to your performance:

Note: The document referenced above provides useful supports to agencies interested developing a model for supervision.

Planning Team and Technical Assistance

Is your planning team still meeting? If yes, how frequently and what stakeholders attend?

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

Prevention

Looking Ahead to the 2023–2028 Child and Family Services Plan Systemic Factor Self-Assessment

Systemic Factors—The Child and Family Services Review (CFSR) is a federal-state collaborative effort designed to help promote that quality services are provided to children and families through the NYS's child welfare system. One component of the CFSR is a determination of whether NYS is in substantial conformity with the seven systemic factors. The systemic factors refer to key operating systems within a state that have the capacity to support positive child safety, permanency, and well-being outcomes.

The Prevention section of the 2023–2028 County Plan will focus on the following systemic factor:

- Service Array and Resource Development

Understanding the functioning of this systemic factor at the local level will serve two purposes:

1. Support local strategic planning efforts
2. Assist OCFS in understanding areas that are functioning well on a routine basis and those areas needing improvement

In preparation for the 2023–2028 County Plan, this section of the 2022 Annual Plan Update will be a ***self-assessment of the systemic factor, as it functions in your jurisdiction***. In this section you will:

- Assess your current performance in the area
 - Self-determine if this is an area of Strength or an Area for Development
 - Provide a rationale for your rating
 - Identify potential underlying factors contributing to your performance
-

Service Array and Resource Development

Array of Services: Primary and Secondary Prevention Programs

Primary and secondary prevention programs are provided voluntarily. Primary Prevention programs have universal eligibility; secondary prevention programs are provided to high-risk families outside the formal child welfare system.

1. Assess Performance

This organization collaborates with providers of family-strengthening services that address primary and secondary prevention. This might include making referrals, needs assessment, design and implementation of services, evaluation of effectiveness, joint trainings, standing meetings and other activities.

Please check the accuracy of the data that OCFS pulled from CONNECTIONS and identify which items are correct, based on your staff's direct knowledge of the children / youth. The cell containing "% Accuracy" is a calculation of the percentage of information that is accurate (total correct / total items).

Rating (1–10)

Think about the primary and secondary services within your jurisdiction.

On a scale from 1 being “we do not have a working relationship with primary / secondary service providers” to 10 being “we are aware of and collaborate with primary/secondary service providers on a regular basis for client specific resources and to meet community needs,” how would you describe the array of services in your district?

2. How do you rate Array of Services: Primary and Secondary Prevention Programs?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Array of Services: Primary and Secondary Prevention Programs:

4. Identify potential underlying factors contributing to your performance:

Array of Services: Mandated / Non-Mandated Preventive and Protective Services

The service array and resource development systems function to ensure that the following array of services is accessible in all political jurisdictions covered by the CFSP:

- Services that assess the strengths and needs of children and families and determine other service needs
- Services that address the needs of families in addition to individual children in order to create a safe home environment
- Services that enable children to remain safely with their parents when reasonable
- Services that help children in foster and adoptive placements achieve permanency

1. Assess Performance

Rating (1–10)

Think about service providers that meet the needs of the children, youth, and families served by your agency.

On a scale from 1 being “we do not have a sufficient array of services to meet our needs” to 10 being “our service array is robust,” how would you describe the array of services in your district?

2. How do you rate Array of Services: Mandated / Non-Mandated Preventive and Protective Services?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Array of Services: Mandated / Non-Mandated Preventive and Protective Services:

4. Identify potential underlying factors contributing to your performance:

Individualizing Services

Services are individualized to meet the unique cultural / developmental needs of children, youth and families served by the agency.

Note: During the most recent CFSR, stakeholder interviews conducted by the federal Children's Bureau noted a need for more creativity in developing plans, particularly when certain services are not readily available. Stakeholders raised concerns about the quality of some services providers and the impact this had on the effectiveness of services. Stakeholders were also concerned that youth aging out of care were not receiving tailored services to address their needs and to adequately prepare them for independence. (excerpt from CFSR round 3 final report)

1. Assess Performance

Rating (1–10)

Think about service providers that meet the needs of the children, youth, and families served by your agency.

On a scale from 1 being "our service providers are not able to meet the individualized unique cultural / developmental needs of children, youth and families" to 10 being "our service providers are able to meet all individualized unique cultural / developmental needs of children, youth and families," how would you describe the array of services in your district?

2. How do you rate Individualizing Services?

- Strength
- Area for Development

3. Rationale for Self-Determined Rating for Individualizing Services:

4. Identify potential underlying factors contributing to your performance:

Youth and Young Adult

Youth and Young Adult Plan Update

OCFS encourages county teams to review last year's Youth and Young Adult section through a positive youth development lens. Please use the [Touchstone Goals](#) below when reviewing or creating new strategies for the coming year. OCFS seeks to promote positive youth development through quality, multifaceted programming that helps youths learn, thrive, and develop to their fullest potential.

Youth and Young Adult Indicators chosen in the 2018–2023 Plan:

- Healthy Development:** Teen Pregnancy Rate
 - Healthy Development:** Dependence or Abuse of Illicit Drugs or Alcohol (Ages 12+)
 - Healthy Development:** Needing But Not Receiving Treatment for Alcohol Use (Ages 12+)
 - Healthy Development:** Serious Mental Illness (Ages 18+)
 - Healthy Development:** Serious Thoughts of Suicide (Ages 18+)
 - Healthy Development:** Major Depressive Episodes (Ages 18+)
 - Healthy Development:** Other
 - Academic Success:** Graduation Rate
 - Academic Success:** Other
 - Self-Sustainability:** Youth Aged 18–24 Who Have Public Health Insurance
 - Self-Sustainability:** Households Headed By a Person <25 Years Old Which Are In Poverty
 - Self-Sustainability:** Other
 - Safe Living Conditions** *(Counties who choose this indicator must inform with locally collected data as needed)*
 - Other** *(Counties who choose this indicator must inform with locally collected data as needed)*
-

Touchstones

The Commissioners and Directors of New York State's health, education, and human services agencies recognized that a new model characterized by prevention, early intervention and family/youth involvement was necessary to improve outcomes in the areas for which they had responsibility.

The agencies embarked on an effort to develop a common set of measurable goals and objectives that lead to improved outcomes for children and families. From these actions, the Council on Children and Families and its 12 member agencies developed the New York State Touchstones. These touchstones are a common set of goals and objectives that cut across all service systems. They allow individuals and organizations with diverse missions to work together to improve conditions for children and families.

The Touchstones framework is organized by six major life areas:

- Economic Security
- Physical and Emotional Health

- Education
- Citizenship
- Family
- Community

Each life area has a set of goals and objectives representing expectations about the future and a set of indicators reflecting the status of children and families. These goals and objectives are integrally related to each other and call for comprehensive strategies to address any aspect of children and family well-being. [Read more information on Touchstones](#)

Positive Youth Development

Positive youth development is an intentional, pro-social approach that constructively engages youth within their communities, schools, organizations, peer groups, and families; recognizes, utilizes, and enhances young people's strengths; and promotes positive outcomes for young people by providing opportunities, fostering positive relationships, and furnishing the support needed to build on their leadership strengths.

Quality youth development programs should include the following features:

- Physical and psychological safety
- Appropriate structure that provides clear limit-setting, rules and expectations
- Supportive relationships
- Opportunities to belong: meaningful inclusion regardless of gender, ethnicity, sexual orientation, or disability
- Positive social norms
- Support for efficacy (ability to produce effects) and mattering (be of importance) by engaging, empowering, and challenging youth to make a difference
- Opportunities for skill-building
- Integration of family, school, and community efforts

Your county's strategies should cut across all disciplines that help children grow from early childhood, through adolescence, and into adulthood to become competent and healthy adults who have developed to their fullest potential.

1. What strategy or strategies did your county plan to implement in your 2021 Annual Update—Youth and Young Adults County Plan section?

The strategies can be copied directly from the previous year's plan.

2. Did your county fully implement the strategies as planned?

Were you able to implement your strategy as designed, or did you change the way you implemented it? If you changed it, or tried something completely different, please explain.

3. Are there any new or emerging issues that impacted your plan? If yes, please describe the issues and the changes.

4. What did your county anticipate would happen as a direct result of implementing your strategy as it was designed?

5. Did the strategy have the anticipated impact? If so, what was the impact?

Use data you have available as evidence that your strategy did or did not have the desired impact on the intermediate outcome.

6. What strategy or strategies does your county plan to implement in the coming year to impact outcomes?

When reviewing your strategies from year one, please consider the following questions to work towards growth: What worked well? How could you modify your strategies to ensure improvements? Please describe any changes and why the changes have occurred. Include any new activities and the evidence you plan to provide to demonstrate the strategy's effectiveness.

Planning Team and Technical Assistance

Describe the district's planning team and how they assisted in the identification of underlying factors and the development of strategies.

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

Runaway and Homeless Youth Services

Person Submitting Report

This is the person OCFS will reach out to with questions or feedback.

Name:

Rebecca Robarge

Title:

Youth Services Coordinator

Agency:

Department of Aging and Youth

Email Address:

rrobarge@saratogacountyny.gov

Phone:

518-884-4100

Services & Needs

1. Using available data, describe the local RHY population in your county. This includes **all** runaway and unaccompanied homeless youth, not only those accessing services at a RHY program.

Include information for youth until they turn 21; counties that will allow RHY services to be provided to homeless young adults should include information for young people until they turn 25. Data sources to consider are listed in the [guidance document](#)

Include, at minimum, the following characteristics:

i. Age

Based on data from the NYS Technical and Education Assistance Center for Homeless Students (NYS TEACHS,) McKinney-Vento liaisons from 12 of the Saratoga County school districts reported 454 total homeless students enrolled in Pre-k through 12th grade during the 2020-2021 school year. This data does not show disparity of any age group. Also, based on the 2021 Continuum of Care (CoC) Housing Inventory Count and Point-In-Time (PIT) Reports, there were 24 unaccompanied youth in 24 households (21 in emergency shelter and 3 in transitional shelter.) 2 of those youth were under the age of 18, with 22 youth between the ages of 18 and 24. The CAPTAIN Youth Home is a short term crisis shelter that serves runaway and/or homeless youth, age 13-17 years old, from Saratoga County and surrounding areas. Of the 40 youth served in 2021, two youth were 12 years old or younger (4%), five 13 year olds (13%), five 14 year olds (13%), twelve 15 year olds (30%), ten 16 year olds (25%), and six 17 year olds (15%). Therefore, based on age, 55% of the youth served were 15 or 16 years old which mirrors the statistics from the last 2 years.

ii. Gender identity / expression

The NYS TEACHS data does not disaggregate the homeless youth population by gender identity or

expression. The CoC and PIT Reports collected data that reflects 33% female, 63% male and 4% (or 1) unaccompanied youth identified as transgender. The CAPTAIN Youth Home did not record the youth's biological sex at birth during intake, rather, the youth's self-identification was documented. Of the 40 youth admitted to the shelter in 2021, 20% identified as CIS-male, 65% CIS-female, 5% trans-male, 8% gender non-conforming/non-binary and 2% (or 1 youth) chose not to answer.

iii. Sexual orientation

None of the data collection resources referenced collected information from the runaway/homeless youth population in regard to their sexual orientation.

iv. Race / ethnicity

The NYS TEACHS data does not disaggregate the homeless youth population by race or ethnicity. The CoC and PIT Reports collected data that reflects a population that is predominantly White, non-Hispanic. Specifically, 88% White, 4% Black or African-American, 8% Multi-racial, 75% non-Hispanic/non-Latino and 25% Hispanic/Latino. The race/ethnicity of the youth served in 2021 at the CAPTAIN Youth Home also parallels these demographics. Of the 40 youth served, 54% were White, non-Hispanic, 24% Black, non-Hispanic, 3% Multi-racial, non-Hispanic, 3% Native American/Alaskan Native, non-Hispanic, 13% Multi-racial, Hispanic, and 3% (or 1 youth) chose not to answer. This is quite similar to the population of Saratoga County as a whole.

v. Child welfare involvement or history

The involvement or history of child welfare being present in a runaway/homeless youth's life is not statistically tracked in any of the data collection resources referenced. The CAPTAIN Youth Home does note during intake whether or not the youth has had involvement with the agency, although the main purpose is for release of information.

vi. Place of origin (where is "home" as defined by the youth?)

The McKinney-Vento liaisons from the Saratoga County school districts reported 81% of the 454 homeless students were living "double-up" (staying with family, friends or other non-relatives,) 14% in a hotel/motel and 5% sheltered (in emergency or transitional housing.) These statistics are virtually the same as the data from the previous year. The youth population served at the CAPTAIN Youth Home reported they had come from a variety of places. Those places include 53% from their parent/guardian's home, with an additional 13% from a relative's home. The other intakes included 10% from another RHY crisis services program, 8% from a friend's house, 5% from a mental health or behavioral health facility, 5% from the street, 3% (one youth) from a homeless family or adult shelter, 3% from a hospital and 3% from a safe haven.

vii. Estimated number of runaway youth vs homeless youth in the county

Neither the NYS TEACHS data nor the CoC PIT Report identify runaway youth. The data collected is strictly based on a homeless population. The CoC PIT Report documented 24 unaccompanied youth in 24 households (21 in emergency shelter and 3 in transitional shelter.) Of the 40 youth admitted to the CAPTAIN Youth Home in 2021, 96% were considered runaway admissions compared to just 4% homeless admissions.

2. List the *three most significant needs* of the local RHY population as defined in question #1. Describe how those needs were identified by the county as the most significant.

A list of examples is included in the [guidance document](#)

The most significant need of the local RHY population is obtaining resources for conflict resolution and increasing communication skills; to address the issues between parent(s)/guardian(s)/family members and the youth. The second, identified as a global need, is mental health services. There is a severe shortage of mental health service providers, in conjunction with increased reported violence and behaviors in schools. This shortage is complicated by direct pandemic impacts on employment status, illness, loss of work and wages, increased stress, isolation, etc. In addition to the direct request and need for mental health help, youth identified needing LGBTQ services, suicide prevention and substance abuse disorder services, all of which could be linked to cause or confusion in a youth and addressed by mental health services. Lastly, the third need identified is a noted increase in requests for food and clothing. Again, this need has been exacerbated by the pandemic. The CAPTAIN Youth Home collected the data that supports these needs, during the admission process. It parallels the needs heard by school districts and community leaders throughout Saratoga County.

3. Describe the *resources* (services and funds) *designed specifically for the RHY population*.

Do not copy and paste a resource list here.

i. Describe the **non-residential** resources *designed for RHY*.

ii. Describe the crisis or transitional **residential** resources *designed specifically for RHY*. Include the total number of crisis and transitional beds available to RHY.

iii. Describe any resources **operated by county agencies** *designed specifically for RHY* (health, mental health, substance abuse, courts, etc.).

4. Describe *how* the resources listed in question #3 are coordinated. Include the following in your description:

i. Your plan to address service gaps in 2022.

ii. Any new services or expansion of services planned in 2022.

iii. Where is current information about RHY services made accessible to youth on a 24/7 basis? Include phone numbers, URLs, and other contact information as applicable.

iv. Please list the steps taken when a youth presents as runaway or homeless. The steps can be detailed below, or a step-by-step protocol can be uploaded in the [Plan Documents area](#).

Municipal RHY Service Planning Process

1. List the partners consulted by the municipal youth bureau and DSS in composing this plan.

Suggested partners include but are not limited to: the municipal RHY services coordinator, program managers at OCFS-certified RHY programs, Continuum of Care (CoC) board members, youth advisory board, McKinney-Vento liaisons, etc.

2. Describe the process used to collect and compile the information provided in this plan.

Resources to consider are listed in the [guidance document](#)

i. List the *tools and data sources* used by the municipal youth bureau and DSS to develop this plan. Please be as specific as possible.

ii. Is your municipality involved in “point in time” counts to collect data on the *RHY* population?

Yes

No

If yes, please consider sharing any outcome documents with OCFS at RHY@ocfs.ny.gov or by uploading them to this plan.

Municipal Information

Note: Detailed descriptions of these questions and their implications on funding are included in the [guidance document](#)

1. Select the maximum length of stay certified residential crisis services programs eligible for municipal RHY funds will be allowed to offer *runaway youth in crisis shelters* without filing a petition pursuant to article 10 of the Family Court Act:

For more information please refer to 19-OCFS-ADM-06.

30 days for any youth, or up to **60 days** with consent in writing from youth and parent, guardian, or custodian

60 days for any youth 14 years or older, or up to **120 days** with consent in writing from youth and parent, guardian, or custodian

Not applicable

2. Select the maximum length of stay certified residential Transitional Independent Living Support Programs (TILPs) eligible for municipal RHY funds will be allowed to offer *homeless youth*:

For more information please refer to 19-OCFS-ADM-05.

18 months

24 months

Not applicable

3. Indicate whether the county will allow TILPs eligible for municipal RHY funds to provide residential services to *homeless youth under 16 years old* on a case-by-case basis.

Note: In each instance the RHY Service Coordinator is required to notify OCFS per 19-OCFS-ADM-05.

- Yes
- No
- Not applicable

4. Indicate whether the county will allow any RHY program included in this plan to make services available to *homeless young adults* (up to age 25).

Note: Residential RHY programs must be certified by OCFS to serve homeless young adults.

- Yes
- No

i) If the county will **not** allow RHY programs receiving municipal RHY funds to provide services to homeless young adults, briefly explain why that decision was made:

5. List the following information for the RHY service coordinator and any additional designees who are permitted to provide any required notice to OCFS per policies 19-OCFS-ADM-05 and 19-OCFS-ADM-06:

| Name | Agency or Organization | Title | Email | Phone |
|------|------------------------|-------|-------|-------|
|------|------------------------|-------|-------|-------|

RHY Service Coordinator

1) Designation and duties of the municipal RHY services coordinator

| | |
|--|--|
| Coordinator's Name: | Rebecca Robarge |
| Agency or Organization: | Saratoga County Youth Bureau |
| Unit, division, bureau, or office in which the position is located: | 152 West High Street, Ballston Spa, NY 12020 |
| Percentage of time spent on RHY service coordinator duties (% FTE): | 10% |
| <input checked="" type="checkbox"/> The municipal RHY service coordinator is also the municipal youth bureau director. | |
| <input checked="" type="checkbox"/> A copy of job description / responsibilities as maintained by the employer has been uploaded to this plan. | |

2) Describe **how** the county monitors certified residential RHY programs to confirm youth's educational needs, including transportation to and from educational programs, are being met in accordance with the McKinney-Vento Homeless Assistance Act.

For more information please visit [NYS-TEACHS](#).

Crisis Services Programs (RHY Crisis Shelters and Interim Family Programs)

CAPTAIN Youth Home

| Address | | Program Director | | Operating Certificate Number | |
|---|--|--|---|------------------------------|-------------|
| 2818 Route 9 Malta, NY 12020 | | Lori Rhodes 518-371-1185 lori@captaincares.org | | 2364 | |
| <input type="checkbox"/> The county contracts with this program for RHY services. <input type="checkbox"/> The county contracts with this program for PINS respite services. <input checked="" type="checkbox"/> This program will receive OCFS RHY funds in the plan year. | | | | | |
| Ages of youth the program is certified by OCFS to serve: | | | | Under 18 | |
| Maximum length of stay offered to runaway youth by the program: | | | | 60-120 | |
| Maximum Bed Capacity: Certified | | | Maximum Bed Capacity: Operating (projected) | | |
| Target population | | All persons | Target population | | All persons |
| 8 | | 9 | 8 | | 9 |

Transitional Independent Living Programs (Supported and Group Residences)

No programs were entered.

Non-Residential Programs

Please provide the following information about each of the OCFS-funded non-residential RHY programs and services that operate within your municipality. A [data dictionary](#) is available for your reference.

Program Name:

Program Address:

Program Contact Name:

Program Contact Phone Number:

Program Contact Email:

Hours of accessibility to RHY population:

Target Population (age and other relevant demographics):

Non-residential RHY Services Provided:

OCFS Support

How can OCFS better support your county's response to RHY and young adults?

Consider support surrounding training, technical assistance, program development, standardizing tools, best practice, positive youth development, cross-system collaborations, etc.

Sexually Exploited and Trafficked Youth

1. Please describe how the LDSS meets the child welfare services needs of youth who have been identified as trafficked, sexually exploited, and at high risk?

In your response please address the types of child welfare services required and the number of youth the county anticipates needing each such service on an annual basis.

Please refer to 15-OCES-ADM-16 (Requirements to Identify, Document, Report, and Provide Services to Child Sex Trafficking Victims) and OCES-3920 (Child Sex Trafficking Indicators Tool) for more details.

2. What capacity does the county require for crisis intervention services and community-based programming to meet the needs of youth who have been identified as trafficked, sexually exploited, and at high-risk, regardless of child welfare involvement?

In your response please address the types of services required and the number of youth the county anticipates needing each such service on an annual basis.

Per NYS SOS Article 6, § Title 8-A 477-B (Services for exploited children) this response must be provided by the LDSS in consultation with local law enforcement, runaway and homeless youth providers, the municipal RHY Service Coordinator, county probation, local law guardians, presentment agencies, public defenders, district attorney's offices, and child advocates and services providers who work directly with sexually exploited youth.

Please refer to 15-OCES-ADM-16 (Requirements to Identify, Document, Report, and Provide Services to Child Sex Trafficking Victims) and OCES-3920 (Child Sex Trafficking Indicators Tool) for more details.

3. If a youth who has been trafficked, sexually exploited, or is at-risk requires safe house services, with which provider(s) does the county partner or contract with for such services?

Safe house services can be provided by licensed/certified runaway and homeless youth programs, approved respite or crisis programs, or certified EMPOWER foster care placement settings.

Not every youth who has been trafficked, exploited, or at-risk requires safe house services.

PINS Diversion Services

The PINS Reform Law (Chapter 57 of the Laws of 2005) requires that a Local Department of Social Services (LDSS) Consolidated Services Plan or Child and Family Services Plan (Integrated County Plan) include a Persons In Need of Supervision (PINS) diversion services section. PINS reform legislation (ELFA Part K of 2019) includes the elimination of the use of detention for PINS youth as of January 1, 2020.

These requirements apply to all localities and support increased community-based services to PINS youth and families, and collaboration at the local and regional level to develop effective responses to status offenders and their families.

Please note that the information in this form is specific to the *PINS Diversion Services population and process* in your locality or jurisdiction, **not** to the post-petition PINS population or the juvenile delinquent (JD) population.

Please note that many sections of the PINS Diversion Services Plan have been pulled forward from the 2021 submitted and approved PINS Diversion Services Plan for your convenience. This does require you to amend information that is no longer applicable and/or updated for 2022.

Designation of Lead Agency

Counties should configure their PINS diversion services according to their individual efficiencies and strengths. The designation may be changed in the future through an update to the plan or at the time of the next plan submission. While the LDSS is required to identify one lead agency, cooperative procedures may require other agencies to perform certain functions or services.

Select the Lead Agency for PINS Diversion Services:

Probation

LDSS

This is a change in Lead Agency for 2022.

Inventory of PINS Diversion Service Options

*Describe PINS diversion services that are available in your county and indicate whether a service gap exists. For each service, include the geographic area (countywide or specific cities or towns). Please note that the first four service categories are required and therefore each question in those sections **must be completed**. Counties may coordinate efforts with providers to establish regional services.*

| Service Category | Service Gap |
|--|---|
| Residential Respite (required) | |
| Providers: Captain Youth Shelter | <input type="checkbox"/> There is a service gap in this service |
| Geographic Area: Saratoga County | |
| Limitations: | |

| | |
|--|---|
| Crisis Intervention—24 hours per day | |
| Providers: Berkshire Farm Center & Services for Youth Geographic Area: Saratoga County Limitations: | <input type="checkbox"/> There is a service gap in this service |
| Diversion Services / Other Alternatives to pre-dispositional placement (required) | |
| Providers: KMG Monitoring Geographic Area: Saratoga County Limitations: | <input type="checkbox"/> There is a service gap in this service |
| Conducts sexual exploitation screening and assessment (required) | |
| Providers: Saratoga County Probation conducts sexual exploitation screening and assessment PINS cases. When Berkshire Farms Center and Services for Youth Prevention programs are involved with our PINS youth, they also complete sexual exploitation screening and assessment. These cases are reported to the Safe Harbor Law Enforcement Coordinator. Geographic Area: Saratoga County Limitations: | <input type="checkbox"/> There is a service gap in this service |
| Alternative Dispute Resolution Services (optional) | |
| Providers: Mediation Matters Geographic Area: Saratoga County Limitations: | <input type="checkbox"/> There is a service gap in this service |
| Other Services—including those to prevent and intervene with youth exhibiting runaway behaviors | |
| <i>Not offered.</i> | |
| Other Services—including those to prevent and intervene with youth who are truant | |
| <i>Not offered.</i> | |

PINS Diversion Services Procedures

Please provide a description of the following procedures, including any collaborative team processes. This entire section is **required to be completed**.

Record the agency that is responsible for each procedure and a brief description of how each procedure will be provided.

| PINS Diversion Services Protocol | Responsible Agency(ies) |
|---|--|
| a. Determines the need for residential respite services and need for alternatives to pre-dispositional placement | |
| <p>Describe how provided:</p> <p>Referrals are made to CAPTAIN Youth Shelter by the Probation Department when a youth and their family are in crisis, struggling at home or in the community, and are in need of a safe environment where they can temporarily work through identified issues/resources. Eligible youth will be identified during the PINS intake process. Additionally, Street Outreach Workers are available to youth to assist in coordinating services with community partners such as schools, law enforcement, local youth and adult emergency shelters, and transitional living programs; to assist in the access to emergency shelter and/or assistance with alternative housing; and to provide Street-based outreach and education.</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Other |
| b. Provides an immediate response to youth and families in crisis (includes 24 hours a day response capability) | |
| <p>Describe how provided:</p> <p>Berkshire Farms Center and Services for Youth, in conjunction with Probation, will provide a 24 hours a day response through the use of their Family Specialists/On-call worker to youth and families in crisis after hours. Families who are identified to require crisis intervention services are given an on-call phone number that they can access when in crisis. Law Enforcement agencies have also been provided on-call numbers and are also able to reach out to on-call workers relative to crises that occur with the youth and families of Saratoga County. Berkshire Farms Center and Services for Youth also conducts a sexual exploitation assessment of all youth that are referred to them. It should be noted that the Berkshire Farm prevention programs have been instrumental during the COVID-19 pandemic in that they continued to see youth and families face to face during this difficult time and took above and beyond collaborative measures to work with Probation, youth, families, and available community resources to ensure positive outcomes.</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Other |
| c. Serves as intake agency—accepts referral for PINS diversion services, conducts initial conferencing, and makes PINS eligibility determinations | |
| <p>Describe how provided:</p> <p>Saratoga County Probation Department accepts school-based, parental, and possession of marijuana PINS referrals for youth residing in Saratoga County. Parental PINS referrals are required to participate with Mediation Matters before opening the referral, when appropriate. Upon meeting with the youth and family on a school PINS referral, or a parental intake referral, when mediation has not been</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Other |

successful, the Rapid Indicator Tool/Full assessment tool is used to assess sexual exploitation, a YASI pre-screen assessment is conducted. Cases, whereby sexual exploitation is a concern, are referred to the Safe Harbor Law Enforcement Coordinator for Saratoga County. Also, when the YASI assessment yields a medium or high-risk score, the youth and their family are referred to appropriate resources based on the instrument's targeted areas of concern as related to the presenting issue. When a YASI assessment yields a low-risk score, appropriate recommendations are made and the case is typically closed right away. It should be noted that during the COVID-19 pandemic, virtual meetings were held when face-to-face contact was not possible due to CDC guidelines.

d. Conducts assessment of needs, strengths, and risk for continuing with PINS behavior

Name of assessment instrument used:

- YASI
- YLSI
- Other

- Probation
- LDSS
- Other

Describe how provided:

Saratoga County Probation Department conducts YASI pre-screen assessments on PINS cases that are opened. The pre-screen assessment is conducted during the intake appointment. When a YASI pre-screen yields a score of Moderate or High Risk, the Probation Department conducts a full assessment screening and begins the case planning process. For each case, the Rapid Indicator Tool/Full assessment tool is also used to assess for possible sexual exploitation.

e. Conducts sexual exploitation screening and assessment

Name of screening instrument used:

- Rapid Indicator Tool
- Child Sex Trafficking Indicators Tool
- Other

- Probation
- LDSS
- Other

Describe how the screening instrument is administered and what training has been provided:

POs conduct the Rapid Indicator Tool at the commencement of PINS intake, gathering information from schools, family members and the youth while watching for flagged areas based on that information. Saratoga County has worked closely with Safe Harbor and has attended yearly full day trainings/discussions at Skidmore College. The juvenile POs have also participated in the PINS 2020 webinar series in December 2019 which was hosted by DCJS.

It should also be noted that when a youth is referred to Berkshire Farms Center and Services for Youth prevention program, they are, again, evaluated by the Family Specialist.

f. Works with youth and family to develop case plan

| | |
|---|---|
| <p>Describe how developed:</p> <p>Through the use of motivational interviewing, the Probation Department, the youth, and the family develop a case plan to address the identified risk areas which are related to the presenting issue. This process is done during a series of appointments/communications with the youth and family, as well as with collateral contacts. When a youth is identified as needing the intervention of Berkshire Farm Center and Services for youth (aka BFC), BFC and the Probation Department collaborate in editing the case plan as needed. This is done through phone calls, emails, in-person contact and monthly team meetings, which include the Probation officer, the family specialist, and the probation and BFC supervisors.</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Other |
| <p>g. Determines service providers and makes referrals</p> | |
| <p>Describe how provided:</p> <p>Through the utilization of evidence based YASI-Caseworks, cases are screened yielding a risk level which identifies areas of risk, as well as protective factors. From this screening, the youth and family, with the assistance of the Probation Officer, develop a case plan and identify appropriate resources to address the areas of risk. When Berkshire Farms Center is identified as a resource, both agencies collaborate to determine which service providers will be most appropriate for each youth/family. Furthermore, our juvenile officers also have access to the evidence based GAINS-SS instrument to help identify behavioral health risk levels/needs.</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input checked="" type="checkbox"/> Other Berkshire Farm Center and Services For Youth |
| <p>h. Makes case closing determination</p> | |
| <p>Describe how provided:</p> <p>The Saratoga County Probation Department makes the final case closing determination, though when Berkshire Farm Center and Services For Youth is actively involved, the two agencies discuss individual cases to determine if case plan goals have been met. This is typically done during a monthly team case review. During the COVID-19 pandemic, these case conferences continued, virtually.</p> | <input checked="" type="checkbox"/> Probation <input type="checkbox"/> LDSS <input type="checkbox"/> Other |

PINS Diversion Services Plan

A. Planning Activities

Briefly describe all PINS Diversion Services—Strategic Planning activities the locality has engaged in related to this current plan. Include every organization in the county that is involved to date in the PINS Diversion Services planning process and how this plan aligns with the county Youth and Young Adult Services plan and the Runaway and Homeless Youth plan. Schools, law enforcement officials, probation, the local family court, respite service providers, youth bureaus, community-based organizations, runaway and homeless youth providers, anti-trafficking providers, dispute resolution center partners, and others are critical partners to the planning process. Please also include how youth and family voice are incorporated into the PINS Diversion Services planning process.

Describe the collaborative process for the development of the PINS Diversion Services Plan and MOU:

Saratoga County Probation has a Probation Officer assigned to each school district, including both BOCES (Hudson Falls and Saratoga Springs) Probation Officers meet with administrators regularly, collaborating with staff members relative to planning for each student referred to Probation.

Approximately 100- 140 Pre-PINS meetings are conducted by Saratoga County Probation with youth,

families and schools when at-risk youths are identified by the school for potential Probation Officers often attend CSE meetings (of youth identified as PINS) in order to develop school plans for assisting the individual educational/needs of those same youth.

Mediation Matters offers dispute resolution to parents and youths when PINS applications are filed by parents. Mediation Matters is also offered to school districts for attendance mediation when Pre-PINS meetings are conducted with potential school PINS referents.

There are also 5 Family Specialists (Berkshire Farm Center) providing services to the youth in Saratoga County. Each Family Specialist has the ability to work with up to 7 families at any given time. During the COVID-19 pandemic, virtual meetings were held in place of face-to-face meetings in order to provide a continuum of services. Probation and Berkshire Farm Services meet with each youth and family to discuss needs and goals as part of the evolution of the case plans. Probation, Berkshire Farm Services, and CAPTAIN Shelter assist homeless and runaway youth by meeting families where they are located, and by offering respite services at CAPTAIN Shelter when needed. All youths are assessed via the Rapid Tool Indicator and are referred to Safe Harbor when risks are evident.

Furthermore, Saratoga County Probation, with the guidance of Columbia University, is equipped and trained to use the GAINS-S behavioral health screening tool for any youth that is experiencing a crisis or for which we have concerns. Pathways for the identified level of need are clear cut and involve the local police, mobile crisis, Saratoga Hospital, and local behavioral health agencies.

List stakeholder and service agency involvement in strategic needs assessment and planning:

The Probation Department and the Department of Social Services maintain regular communication in terms of planning. Berkshire Farm, DSS, and Probation met virtually to discuss outcomes. Berkshire Farm is also involved when needed and appropriate.

B. PINS Diversion Services Population

Please define the PINS Diversion Services population in your county for calendar year 2021. If the answer is zero please indicate such and do not leave any blank areas. Specifically, please provide the following as whole numbers (not %):

Number of PINS Diversion Services cases carried over from previous year:

Number of Total PINS Diversion Services referrals:

Number of PINS Diversion Services referrals filed by parents:

Number of PINS Diversion Services referrals by schools:

Number of PINS Diversion Services referrals by police:

Number of PINS Diversion Services referrals by victim:

Number of PINS Diversion Services referrals other sources:

Please identify other sources:

Number of Total PINS Diversion Services cases closed:

Number of PINS Diversion Services cases closed as Successfully Diverted:

Number of PINS Diversion Services cases closed as Unsuccessful and Referred to Petition:

Number of PINS Diversion cases closed for other reasons (include Withdrawn and Terminated with Bar to Petition):

Number of PINS Diversion Services cases that remained open at end of calendar year:

C. Data Collection

How was data collected?

The data was collected using the data in Caseload Explorer.

D. Pre-PINS Diversion Efforts

Youth with PINS behavior and their families are engaged in services and supports in an attempt to address the presenting issues, as an alternative to proceeding with a PINS complaint.

Is your county providing any pre-PINS diversion services or supports?

- No
 Yes

If "Yes" please list and describe the service and the location:

In 2020, Saratoga County Probation Department conducted 36 pre-PINS meetings in the Saratoga County school systems. When students were identified as being at risk of referral to Probation as a PINS intake, Probation Officers would meet with school administrators, families, and students to discuss the PINS process and to identify possible pre-PINS steps that should be taken by the school and/or family before filing a PINS application. Schools are encouraged to utilize this process early on to ensure the best possible outcome.

Saratoga County Probation Department also has a daily "duty" probation officer to address workday PINS phone calls and email inquiries, as well as parental PINS walk-ins looking for information about available services and/or the PINS intake process. Duty Officers (POs) often meet with parents and youths that walk in to discuss the criteria and process of filing a PINS application, the services available to applicants, and to discuss possible steps that the family/youth can take to avoid having to file a PINS application.

Saratoga County Probation Department also utilizes Mediation Matters for parental PINS complaints that do not have CPS involvement and/or severe youth substance abuse involvement. Mediation Matters is utilized as the first step for parents who are considering following through with a PINS application/intake services and allows the family and youth to mediate an agreement that might alleviate the need for intake services.

It should be noted that the COVID-19 pandemic greatly reduced the number of pre-PINS meetings due to school closures and their need to navigate the uncharted territory of virtual learning.

Number of youth who received Pre-PINS services in calendar year 2020:

36

E. Needs Analysis

Include a summary of the data and the analysis used to determine the needs of the PINS Diversion Services population.

*List data sources (e.g., Communities That Care, youth assessment and screening instrument aggregate reports, PINS/complaint [source or type] information, status at closing, cases referred for petition, etc.). Specify whether the findings relate to county, city, town, neighborhood, school or other specific groups within the PINS Diversion Services population. Describe any conclusions drawn or changes made to strategies to address the needs of this population. Data collected through the needs assessment process can be useful in selecting outcomes in the next section. **Include how the local assessment may have shifted related to the PINS reform legislation of 2019.***

Saratoga County: PINS Diversion Services

As in previous years, we do not currently have aggregate data for the PINS mental/behavioral health population, one of the gaps that is often shown to be an area of risk in the YASI screening and in working with the PINS population is the area of mental health. The need for mental health services/programs continues to be a concern shared by all parties involved in serving the PINS population. There continues to be a need for interventions to address a shortage of programs for adolescents with chronic, long-term mental health disabilities and/or those that have had multiple hospitalizations. It has been our experience that these youth often fall into a gap related to the lack of services ranging from mental health respite to long-term care. As a result, these youth continue to wind up being addressed by law enforcement and the juvenile justice system.

F. Desired Changes

List desired changes in community, family, or individual behaviors or conditions in terms that are specific, measurable, achievable, realistic, and timely. Identify the intended outcomes to be achieved for the PINS Diversion Services population. Outcomes should be derived from the aggregate needs, and could include specific populations (e.g., truants; ungovernable youth; females; males; youth who identify as lesbian, gay, bisexual, transgender, queer, and gender non-binary (LGBTQ+); special education youth); specific PINS Diversion Services processes (e.g., pre-PINS collaborative work, improved service timelines, improved services, focus on evidence based interventions); or aggregate data based outcomes (e.g., reduced number of PINS referred to petition, reduced parental PINS, reduced school PINS, or reduction in specific YASI risk assessment scores). It is important to note that the outcomes in this section are **only** for the **PINS Diversion Services population and/or process**.

For each outcome:

1. Identify the specific raw number or percentage change indicator sought for that outcome.
2. Identify quantifiable and verifiable outcomes of the desired change in conditions or behaviors for the PINS Diversion Services population.
3. Describe the strategies to be implemented to achieve the identified indicator and outcome. Each strategy should include the timeframe for completion, and a designation of who is responsible for implementation.

| Desired Change | Numerical or Percentage Change Sought | Identify Outcome (for PINS Diversion Services population) | Strategy / Plan to achieve (who, what, and when) |
|---|---------------------------------------|--|--|
| Change #1 | | | |
| The youth of Saratoga County with Mental/Behavioral Health Disorders will more appropriate/long term care services available to them. Less youth with Mental/Behavioral Health Disorders will wind up in the Family Court System as they will be referred to appropriate resources that appropriately meet their needs. | 75% | The GAIN-SS evidence based assessment tool will clearly identify youth with Mental/Behavioral Health Disorders, and will enable the Probation Officer to make an appropriate referral without guesswork. Having the appropriate services in place will reduce the number of youth having Mental/Behavioral | Saratoga County Probation is working with Columbia University & Chestnut Health Systems in a pilot program that was implemented in late Spring 2019 whereby the Probation Department has had access to the GAIN-SS evidence-based assessment tool/ This tool has given us the ability to assess and identify youth who would be flagged as having one or more behavioral health disorders. Once assessed and identified, the Probation Department will follow a specific |

| | | | |
|--|-----|--|---|
| | | Health Disorders from involvement in the Juvenile Justice System. | <p>pathway for addressing each of the specified Classes of behavioral health disorders (Class 1, Class 2, or Class 3)</p> <p>It should, however, be noted that due to the COVID-19 pandemic, face-to-face contacts were greatly reduced during 2020, and the GAIN-SS was not utilized to the extent that we had hoped for.</p> |
| Change #2 | | | |
| Implementation of the Parenting Project to coach and train parents in communication, keeping youth safe in a technological world, trafficking issues/signs, setting limits, and following through with appropriate consequences for behavioral issues. | 75% | <p>Saratoga County will have an effective parenting program that identifies and coaches parents through issues that are present in the culture/climate that our youth are facing. Issues that may include:</p> <p>Communication, keeping youth safe in a technological world, trafficking issues/signs, setting limits, following through with appropriate consequences for behavioral issues.</p> | <p>DSS and Probation are currently speaking/planning with a local service provider relative to participating and certifying in a training, The Parent Project, and using this certification to provide a mandatory parenting class for parents of PINS youth/CPS parents.</p> <p>Unfortunately, the COVID-19 pandemic halted the implementation of this plan and the grant that would be utilized was terminated. Finding another financial source for this program would be necessary as a first step to complete this goal.</p> |
| Change #3 | | | |
| | | | |

G. Technical Assistance / Other PINS Related Information for OCFS and DCJS

Does your county have any technical assistance needs related to PINS Diversion Services?

- No
- Yes

Does your county have any training needs related to PINS Diversion Services?

- No
- Yes

Does your county have any technical assistance needs related to improving equity / addressing disparities in PINS Diversion Services?

- No
- Yes

H. PINS Diversion Services Lead Agency County Contact

Please provide the name, title and email address of the lead agency county contact for the PINS Diversion Services plan.

Name:

Title:

Email Address:

Adult Services

Please select one of the APS goals you chose to address in your 2021 Child and Family Services Plan Annual Plan Update and address the following questions for it:

Select one of the goals from your 2021 Annual Plan Update:

- Goal 1:** Vulnerable adults who self-neglect or are abused, neglected, or exploited by others will be identified, have their living situation thoroughly investigated, and be protected.
- Goal 2:** APS will pursue appropriate legal interventions to address situations where impaired adults are at risk of harm, are unable to make informed decisions, and are refusing necessary services.
- Goal 3:** APS will utilize multi-disciplinary teams and community resources to improve investigations, assessments, and service delivery to reduce risk and protect vulnerable adults.
- Goal 4:** APS will provide protective and residential services in the least restrictive manner that will effectively protect vulnerable and dependent adults, balancing adults' rights to self-determination against need to seek protection of at-risk persons lacking capacity.
- Goal 5:** Youth aging out of foster care or other child welfare services who could benefit from Adult Services as they reach adulthood will be identified, have their needs assessed, and be protected.

Identify the strategy(s) you proposed for year one (can be copied from your CFSP submission):

Have you implemented the strategy(s) you proposed for year one? If not, why not?

Were the activities associated with your strategy(s) successful (so far)?

How do you know? How did you measure your success and was there an Administrative review by the Director of Services, Deputy Commissioner or the Commissioner?

At this point, do you believe that a strategy needs to change? Is there an obstacle which is interfering with your activities / strategy(s)?

What will you do instead?

A new Goal will need to be selected

ACL Funding

As a follow up to the ACL funding discussions, OCFS would like to track where the ACL strategies may align with currently selected APS County plan goals.

If ACL funds are used to support this goal, please mark the corresponding box and select the associated ACL strategies that support that goal.

Are ACL funds used to support this goal?

- Yes No
-

Please select one of the APS goals you chose to address in your 2021 Child and Family Services Plan Annual Plan Update and address the following questions for it:

Select one of the goals from your 2021 Annual Plan Update:

- Goal 1:** Vulnerable adults who self-neglect or are abused, neglected, or exploited by others will be identified, have their living situation thoroughly investigated, and be protected.
- Goal 2:** APS will pursue appropriate legal interventions to address situations where impaired adults are at risk of harm, are unable to make informed decisions, and are refusing necessary services.
- Goal 3:** APS will utilize multi-disciplinary teams and community resources to improve investigations, assessments and service delivery to reduce risk and protect vulnerable adults.
- Goal 4:** APS will provide protective and residential services in the least restrictive manner that will effectively protect vulnerable and dependent adults, balancing adults' rights to self-determination against need to seek protection of at-risk persons lacking capacity.
- Goal 5:** Youth aging out of foster care or other child welfare services who could benefit from Adult Services as they reach adulthood will be identified, have their needs assessed and be protected.

Identify the strategy(s) you proposed for year one (can be copied from your CFSP submission):

Have you implemented the strategy(s) you proposed for year one? If not, why not?

Were the activities associated with your strategy(s) successful (so far)?

How do you know? How did you measure your success and was there an Administrative review by the Director of Services, Deputy Commissioner or the Commissioner?

At this point, do you believe that a strategy needs to change? Is there an obstacle which is interfering with your activities / strategy(s)?

What will you do instead?

A new Goal will need to be selected

ACL Funding

As a follow up to the ACL funding discussions, OCFS would like to track where the ACL strategies may align with currently selected APS County plan goals.

If ACL funds are used to support this goal, please mark the corresponding box and select the associated ACL strategies that support that goal.

Are ACL funds used to support this goal?

Yes No

Child Care

The Child Care section of the plan is effective on the date that it is approved by OCFS. The approval date for the Child Care section of the plan can be found on [the OCFS website](#).

Appendix K: Child Care Administration

1. Total Estimated Funds Available: \$
2. Projected spending for FFY 2022–2023: \$
3. Does your district have a contract or formal agreement with another organization to perform any of the following functions using the NYSCCBG?

| Function | Organization | Amount of Contract |
|---|--------------|--------------------|
| <input type="checkbox"/> a. Subsidy eligibility screening | | |
| <input type="checkbox"/> b. Determining if legally-exempt providers meet OCFS-approved additional local standards | | |
| <input type="checkbox"/> c. Assistance in locating care | | |
| <input type="checkbox"/> d. Child care information systems | | |
| <input type="checkbox"/> e. Payment processing | | |
| <input type="checkbox"/> f. Other <i>Please specify function:</i> | | |

Appendix L: Other Eligible Families if Funds are Available

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

| Optional Categories | Option | Limitations |
|---|--|-------------|
| 1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 2. PA families or families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the caretaker is: | | |
| a) participating in an approved substance abuse treatment program | <input type="radio"/> Yes <input checked="" type="radio"/> No | |

| | | |
|--|--|--|
| b) homeless | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| c) a victim of domestic violence and participating in an approved activity | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| d) in an emergency situation of short duration | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 3. Families with an open child protective services case when child care is needed to protect the child. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 4. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the child's caretaker: | | |
| a) is physically or mentally incapacitated | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| b) has family duties away from home | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 5. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child's caretaker to actively seek employment. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 6. PA families where a sanctioned parent or caretaker relative is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 7. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in: | | |
| a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| b) an education program that prepares an individual to obtain a NYS High School equivalency diploma | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth-grade level | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| d) a program providing literacy training designed to help individuals improve their ability to read and write | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| e) an English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose primary language is other than English | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| f) a two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate's degree or certificate of completion | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| g) a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| h) a prevocational skill training program such as a basic education and literacy training program | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| i) a demonstration project designed for vocational training or other project approved by the Department of Labor | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| Note: The caretaker must complete the selected programs listed within 30 consecutive calendar months. The caretaker cannot enroll in more than one program. | | |

| | | |
|---|--|--|
| 8. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associate's degree or certificate of completion and that is reasonably expected to lead to an improvement in the caretaker's earning capacity). The caretaker must demonstrate his or her ability to successfully complete the course of study. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 9. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associate's degree or a certificate of completion that is reasonably expected to lead to an improvement in the caretaker's earning capacity. The caretaker must demonstrate his or her ability to successfully complete the course of study. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 10. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program leading to a bachelor's degree and that is reasonably expected to lead to an improvement in the caretaker's earning capacity. The caretaker must demonstrate his or her ability to successfully complete the course of study. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| 11. Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program. | <input type="radio"/> Yes <input checked="" type="radio"/> No | |

Appendix M #1: Reasonable Distance, Family Share, Federal and Local Priorities

I. Reasonable Distance for Public Assistance Recipients to Travel to Child Care and Work

Define "reasonable distance" based on community standards for determining accessible child care.

1. The following defines "reasonable distance":
2. Describe any steps / consultations made to arrive at your definition:

II. Family Share

"Family Share" is the weekly amount paid towards the costs of the child care services by the child's parent or caretaker. Your district must select a family share percentage from 1% to 10% to use in calculating the amount of family share. The weekly family share of child care costs is calculated by applying the family share percentage against the amount of the family's annual gross income that is in excess of the State Income Standard divided by 52.

Note: The family share percentage selected here must match the percentage entered in the Program Matrix in the Welfare Management System

(WMS) and the Child Care Time and Attendance (CCTA) system.

Family Share Percentage selected by the district:

%

Additional Description of this Family Share Percentage:

III. Federal and Local Priorities

1. The district must rank the federally mandated priorities. Cases that are ranked 1 have the highest priority for receiving child care assistance. These rankings apply to case closings and case openings.

a. Very low income (200% State Income Standard):

Rank 1

Rank 2

Rank 3

b. Families with income up to 200% of the State Income Standard who have a child with special needs and a need for child care:

Rank 1

Rank 2

Rank 3

c. Families with income up to 200% of the State Income Standard who are experiencing homelessness:

Rank 1

Rank 2

Rank 3

2. Does the district have local priorities?

Yes

No

If yes, list them below and rank beginning with Rank 4.

Appendix M #2: Case Openings, Case Closings, and Waiting List

I. Case Openings When Funds Are Limited

If a social services district does not have sufficient funds to provide child care services to all families who

are applying, the district may decide to open certain categories of families as funds become available. The district must open federal priorities first. If the district identified local priorities, they must be opened next. **After the federal and local priorities**, identify the basis upon which the district will open cases if funds become available. Select one of the options listed below and describe the process for opening.

- 1. Open cases based on **FIRST COME, FIRST SERVED**.
- 2. Open cases based on **INCOME**.
- 3. Open cases based on **CATEGORY OF FAMILY**.
- 4. Open cases based on **INCOME AND CATEGORY OF FAMILY**.
- 5. Open cases based on **OTHER CRITERIA**.

II. Title XX Case Closings When Sufficient Funds Are Not Available

- The district **does not use** Title XX funds for child care assistance.
- The district **uses** Title XX funds for child care assistance (this option must be checked in Appendix N and Appendix P must be completed).

III. Waiting List

The district will establish a waiting list when there are not sufficient funds to open all eligible cases.

- Yes
- No

The district will establish a waiting list when there are not sufficient Title XX funds available to open new cases or keep all current cases open.

- Yes
- No

Appendix M #3: Fraud and Abuse Control Activities and Inspections

I. Fraud and Abuse Control Activities

1. Describe below the criteria the district will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payments in addition to procedures for referring such applications to the district's front-end detection system.

Higher than acceptable risk that will be referred to District's FEDS:

Working off books; application is inconsistent with prior case info; prior history of denial, case closing or overpayment resulting from investigation; no absent parent information or information is inconsistent with application; no documentation to verify identity or documents are questionable; self-employed but without adequate business records to support financial assertion; unsure of own address.

The following procedure will be used to refer such applications to FEDS. The state FEDS referral form will be utilized. The FEDS referral check-off form is reviewed by eligibility examiners. When an examiner detects an indicator, the referral form is completed by the social welfare examiner and given to the

eligibility supervisor for review and approval. It is the hand-delivered to the Special Investigations Unit the same day for review.

The SUI senior approves the referral at which time it is logged into the master log. The case is assigned to an investigator who begins research within 24-48 hours; investigation may include home visit and/or collateral contact. The investigator provides eligibility social welfare examiner with an oral report on a daily basis or if anything of significance is established.

Written report is provided as soon as investigation is complete—and always within 30 days of the client’s application. The bottom of the report form has a section for case disposition. The eligibility social welfare examiner and the SIU investigator discuss the case, at which time this section is completed.

2. Describe the sampling methodology used to determine which cases will require verification of an applicant's or recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.

The district cannot use criteria such as the age of provider, the gender of provider, a post office box address, or evidence that the child lives in the same residence as the provider as indicators in drawing the sample.

All cases are reviewed 100% every six (6) months.

3. Describe the sampling methodology used to determine which providers of subsidized child care services will be reviewed for the purpose of comparing the child care provider's attendance forms for children receiving subsidized child care services with any Child and Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

Each quarter Southern Adirondack Child Care Network sends inspection form of providers receiving the Food Program. A review of all providers visited are compared to providers caring for subsidized child care.

II. Inspections of Child Care Provider Records and Premises

The district may choose to make announced or unannounced inspections of the records and premises of any provider/program that provides child care for subsidized children to determine if the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district per 18 NYCRR §415.4(h)(3).

The district has the right to make inspections *prior to subsidized children receiving care* of any child care provider, including care in a home, to determine whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the district.

The district must report violations of regulations as follows:

1. Violations by a licensed or registered child care provider must be reported to the applicable Office of Children and Families (OCFS) Regional Office.
2. Violations by an enrolled or enrolling legally-exempt child care provider must be reported to the applicable Enrollment Agency.

Does the district choose to make inspections of such child care providers/programs?

- No.
- Yes. Provide the details of your inspections plan below.

Check the organization that will be responsible for conducting inspections:

- Local social services staff

Provide the name of the unit and contact person:

- Contracted Agency (must correspond to Appendix K, Question 3f)

Provide the name of the agency and contact person:

The following types of subsidized child care providers/programs are subject to this requirement:

Legally-Exempt Child Care

- In-Home
- Family Child Care
- Group programs not operating under the auspices of another government agency
- Group programs operating under the auspices of another government agency

Licensed or Registered Child Care

- Family Day Care
- Registered School-Age Child Care
- Group Family Day Care
- Day Care Centers
- Small Day Care Centers

Appendix N: District Options

Districts have some flexibility to administer their child care subsidy programs to meet local needs. Districts must complete Question I below. Note that all districts must complete the differential payment rate table in Appendix T.

I. The district selects:

- None of the options below
- One or more of the options below

II. Districts must check the options that will be included in the district's county plan and complete the appropriate appendix for any option checked below.

- 1. The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
- 2. The district has chosen to use Title XX funds for the provision of child care services (complete Appendix P).
- 3. The district has chosen to establish additional local standards for child care providers

(complete Appendix Q).

- 4. The district has chosen to make payments to child care providers for more than 24 absences (complete Appendix R).
- 5. The district has chosen to make payments to child care providers for program closures (complete Appendix S).
- 6. The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
- 7. The district has chosen to pay a differential rate for licensed or registered child care providers that have been accredited by a nationally recognized child care organization (complete Appendix T).
- 8. The district has chosen to pay a differential rate above the required 5% minimum differential rate for child care services during non-traditional hours (complete Appendix T).
- 9. The district has chosen to pay a differential rate for **licensed / registered** child care providers caring for children experiencing homelessness above the 5% required minimum differential rate (complete Appendix T).
- 10. The district has chosen to pay a differential rate for **legally-exempt** child care providers caring for children experiencing homelessness (complete Appendix T).
- 11. The district has chosen to pay a differential rate in excess of the 25% maximum differential rate for child care providers that qualify for multiple differential rates to allow sufficient access to child care providers or services within the district (complete Appendix T).
- 12. The district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training, which has been verified by the Legally-Exempt Caregiver Enrollment Agency (complete Appendix T).
- 13. The district has chosen to pay an enhanced market rate for eligible legally-exempt group child care programs that meet required health and/or training requirements (complete Appendix T).
- 14. The district has chosen to expand eligibility for child care assistance beyond the requirements of SSL 410-w(9), in order to allow a parent or caretaker who works non-traditional hours to sleep (complete Appendix T).
- 15. The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
- 16. The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
- 17. The district requests a waiver from one or more regulatory provisions. Waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix U).
- 18. The district has chosen to use local equivalent(s) of OCFS required form(s). Prior to using a local equivalent form the district must obtain OCFS, Division of Child Care Services (DCCS) written approval. **Any previous approvals for local equivalent forms will not be carried forward into this county plan. Therefore, any local equivalent forms a district wishes to establish or renew must be included in this plan and will be subject to review and approval by OCFS.**

List below the names and upload copies of the local equivalent form(s) that the district would like to use.

—

19. The district elects to use the OCFS-6025, Application for Child Care Assistance. The local district may add the district name and contact information to the form.

Appendix O: Funding Set-Asides

I. Total NYSCCBG Block Grant Amount, Including Local Funds

| Category | Amount |
|------------------------------------|--------|
| | \$ |
| | \$ |
| | \$ |
| | \$ |
| | \$ |
| Total Set-Asides (NYSCCBG): | \$ |

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

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

II. The following amounts are set aside for specific priorities from the Title XX block grant:

| Category | Amount |
|-------------------------------------|-----------|
| | \$ |
| | \$ |
| | \$ |
| Total Set-Asides (Title XX): | \$ |

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

Category:

Description:

Category:

Description:

Category:

Description:

Appendix P: Title XX Child Care

1. Enter the projected total of Title XX expenditures for the plan's duration: \$

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

Family Size

Two People

Eligibility Limit

%

Three People

%

Four People

%

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

- Employment
- Seeking employment
- Homelessness
- Education / training
- Illness / incapacity
- Domestic violence
- Emergency situation of short duration
- Participating in an approved substance abuse treatment program

3. Does the district apply any limitations to the programmatic eligibility criteria?

- Yes
- No

If yes, describe eligibility criteria:

4. Does the district prioritize certain eligible families for Title XX funding?

- Yes
- No

If yes, describe which families will receive priority:

5. Does the district use Title XX funds for child care for open child protective services cases?

- Yes
- No

6. Does the district use Title XX funds for child care for open child preventive services cases?

- Yes
- No

Appendix Q: Additional Local Standards for Child Care Providers

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies issued by the district. This appendix must be completed for **each** additional local standard that the district wants to implement.

The district must coordinate with the local Enrollment Agency, including, but not limited to:

- Informing the Enrollment Agency of the intent to request an additional standard.
- Developing the stepwise process referenced in Question 5.
- Ensuring that no significant burden of work shall be incurred by the Enrollment Agency as a result of the additional local standard, unless such work is addressed in a separate contract or a formal agreement is in place, which are referenced in Question 3.
- Sharing any consent / release form that may be required.
- Keeping the Enrollment Agency informed of the approval status.

1. Select the additional local standard that will be required of child care providers / programs.

- Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject (*only applies to legally exempt relative-only family child care and relative only in-home child care*)
- Local criminal background check (*only applies to legally exempt relative-only family child care and relative only in-home child care*)
- Require providers caring for subsidized children for 30 or more hours a week participate in the Child and Adult Care Food Program (CACFP) (*only applies to family child care programs*)
Note that districts are required to notify the Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, of all providers on the referral list for whom the requirement is "not applicable."
- Site visits by the district
- Other
Please describe:

2. Check below the type of child care program to which the additional local standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.

- Legally-exempt relative-only family child care program
 - Provider
 - Provider's employee
 - Provider's volunteer
 - Provider's household member age 18 or older
- Legally-exempt relative-only in-home child care program
 - Provider

Provider's employee

Provider's volunteer

Legally-exempt family child care program

Provider

Provider's employee

Provider's volunteer

Provider's household member age 18 or older

Legally-exempt in-home child care program

Provider

Provider's employee

Provider's volunteer

Legally-exempt group program

Director

Employee

Volunteer

2a. Exceptions: There may be instances when the district may be unable to enact the additional standard, such as, the applicable person may reside outside of the district's jurisdiction, or the site of care may not be located within the district. In such cases, the district may create an exception to the applicability stated above.

Note: The Child Care Facility System cannot track such exceptions and, therefore, the district remains responsible for notifying the applicable Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, that an additional standard is "not applicable" to the specific provider / person named on the referral list.

Place a check mark below to show any exception to the applicability of this Local Additional Standard to programs or roles previously identified.

a. The district will not apply this additional local standard when the applicable person **resides** outside of the subsidy-paying district.

b. The district will not apply this additional local standard when the **program's site of care is located outside** of the subsidy-paying district.

3. Districts are responsible for implementation of the additional local standard unless they have a formal agreement or contract with another organization. Check the organization that will be responsible for the implementation of the additional local standard.

Local social services staff

Provide the name of the unit and contact person:

Beth Maioriello, Foster Care Supervisor

Contracted agency

Provide the name of the agency and contact person:

Saratoga County: Child Care

4. Are there any fees or other costs associated with the additional local standard?

Yes

No

Note: Costs associated with the additional local standard cannot be passed on to the provider.

5. Describe, in chronological order, the steps for conducting the additional local standard. Include how the district will retrieve referrals from CCFS, communicate with providers and other applicable persons, determine compliance with the additional local standard, inform the Enrollment Agency whether the additional local standard has been "met," "not met," or is "not applicable" and monitor its timeliness. Include all agencies involved and their roles. Note that the district's procedures must be in accordance with 12-OCFS-LCM-01.

Saratoga County Child Care Unit will include in the legally exempt child care provider packet the additional standard policy and release authorizing a local child welfare database check to be filled out by the child care provider, any household member 18 years or age or older, volunteer or employee.

The individuals specified above will be asked to sign a release, which will allow the Saratoga County Department of Social Services to conduct a check of the local child welfare database. If an individual specified above refuses to sign a release, the enrollment package will be considered incomplete and the enrollment process cannot move forward and will be withdrawn by the enrollment agency in accordance with State Policy. To initiate the additional standards check, per 12-OCFS-LCM-01, the Child Care Facility System will automatically generate the E-Notice, LE-CCFS-LD-003 Legally Exempt Additional Standard Referral, to inform the local district that the additional standard check must be conducted. Designated district staff must run CCFS report, LE Additional Local Standard Referral List to obtain the list of persons subject to the additional local standard as specified in question #2 above, to obtain specific information regarding the child caregiver(s) for whom the Legally Exempt Additional Standard Reviews must be conducted.

The Director of Social Services or the Foster Care Supervisor for Saratoga County will conduct the check of the local child welfare database. When the local record check reveals that an individual specified in question #2 is an indicated subject of a child abuse or maltreatment report, the proposed child care provider will be required to submit to Saratoga County Department of Social Services a copy of the written statement provided to the parent/caretaker concerning the indicated incident(s). The Foster Care Supervisor will contact the indicated subject with a request for the written statement. The statement must be signed by the parent/caretaker acknowledging receipt of this information and the parent/caretakers wished to use this childcare provider despite the indication.

If the information regarding the indicated child abuse or maltreatment report(s) submitted by the provider does not accurately reflect the information obtained during the local child welfare data base check, the Saratoga County Department of Social Services will notify the child care provider that he/she has ten (10) calendar days to clarify the discrepancies and obtain the signature of the parent/caretaker. If the childcare provider fails to clarify the discrepancies, the Saratoga County Department of Social Services will notify the Enrollment agency that the additional Standard has not been met, using OCFS 2114 form. If the information submitted by the provider accurately reflects the information obtained from the local child welfare database check and the parent/caretaker signs receipt of the information and still chooses to use the child care provider, the enrollment agency will be notified that the additional standard has been met, using OCFS 2114 form. The additional standard will also be met when the local records check is conducted as specified in question #5 and the local records check reveals that an individual specified in question #2 above is NOT an indicated subject of a child abuse or maltreatment report.

6. Indicate how frequently the additional local standard will be applied.

The Standard will be applied (check all that apply):

- At initial enrollment and re-opening
- At each re-enrollment
- During the enrollment **review** period

7. Describe the justification for the additional local standard in the space below.

Legally exempt family childcare and in-home care providers are caring for young vulnerable children in our community. Saratoga County Department of Social Services is approving them to receive a childcare subsidy. Ensuring the safety of children in these childcare settings is of paramount importance to the Department. Providers with extensive indicated histories of child abuse, maltreatment in their family present a heightened risk to the safety of these children. The additional standard allows the Department of Social Services to verify that the information provided to the parent/caretakers about the child care providers child protective history and the child protective history of any of the specified individuals above, who have substantial contact with the children, is accurate as required in NYCRR 415.13(a)(3)(iv). It is extremely important that parents/caretakers are able to make informed decisions on who they choose to care for their children.

Appendix R: Payment to Child Care Providers for Absences

1. Our district will only pay for additional absences to providers with which the district has a contract or letter of intent.

- Yes
- No

2. The following providers are eligible for payment for additional absences (check all that are eligible):

- Day care center
- Group family day care
- Family day care
- Informal child care
- Legally-exempt group
- School-age child care

3. Number of additional absences above the required 24 allowed per child per provider per year:

4. List any limitations on reasons for additional absences for which the district will allow payment:

5. List any other limitations on the above providers' eligibility for payment for additional absences:

Appendix S: Payment to Child Care Providers for Program Closures

1. The following providers are eligible for payment for program closures:

- Day care center
- Group family day care
- Family day care
- Legally-exempt group
- School-age child care

2. The district will only pay for program closures to providers with which the district has a contract or letter of intent.

- Yes
- No

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

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

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

Appendix T: Transportation, Differential Payment Rates, Enhanced Market Rates for Legally-Exempt

Providers, and Sleep

I. Transportation

1. Are there circumstances where the district will reimburse for transportation?

- No
- Yes

2. If the district will reimburse for transportation, describe any circumstances and limitations the district will use to reimburse. Include what type of transportation will be reimbursed (public and/or private) and how much your district will pay (per mile or trip). Note that if the district is paying for transportation, the Program Matrix in the Welfare Management System (WMS) should reflect this choice.

II. Differential Payment Rates

1. Districts must complete the Differential Payment Rate Percent (%) column in the table below for each of the four (4) differential payment rate categories. For the two (2) categories that require a state minimum five percent (5%) differential payment rate, the district must enter "5%" or, if it chooses, a higher rate up to 15%.

The other two (2) differential payment rate categories in the table below are optional. If the district chooses not to set differential payment rates, the district must enter zero. If the district chooses to set a differential payment rate, enter the appropriate percentage up to 15 percent (15%). Note that if the district selects a differential payment rate for nationally accredited programs, then that rate must be in the range of five percent (5%) to 15 percent (15%).

| Differential Payment Rate Category | Differential Payment Rate Percent | Instructions |
|--|-----------------------------------|--|
| Homelessness: Licensed and Registered Providers State required minimum of 5% | 5% | Enter a percentage (%): 5% to 15%. <i>(Must enter at least 5%)</i> |
| Homelessness: Legally-Exempt Providers | 0% | Enter 0% or a percentage (%) up to 15%. |
| Non-traditional Hours: All Providers State required minimum of 5% | 5% | Enter a percentage (%): 5% to 15%. <i>(Must enter at least 5%)</i> |
| Nationally Accredited Programs: Licensed and Registered Providers <i>Legally-exempt child care providers are not eligible for a differential payment rate for accreditation.</i> | 0% | Enter 0% or a percentage (%) from 5% to 15%. |

2. Generally, differential payment rates may not exceed 25% above the applicable market rate or actual cost of care. However, a district may request a waiver from the Office to establish a payment rate that is in excess of 25% above the applicable market rate upon showing that the 25% maximum is insufficient to provide access within the district to child care providers or services that offer care addressing more than one of the differential payment rate categories. However, if your district wants to establish a payment rate that is more than 25% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access to such child care providers or services.

III. Increased Enhanced Market Rate for Legally-Exempt Family and In-Home Child Care Providers

1. The enhanced market rate for legally-exempt family and legally-exempt in-home child care providers who have completed 10 or more hours of training annually is a 70% differential applied to the market rates established for registered family day care. Indicate if the district is electing to establish a payment rate that is in excess of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 or more hours of training annually and the training has been verified by the legally-exempt caregiver enrollment agency.

- No
- Yes

2. If yes, indicate the percent (71%–75%), not to exceed 75% of the child care market rate established for registered family day care.

%

IV. Enhanced Market Rates for Legally-Exempt Group Child Care Programs

Answer both questions:

1. Indicate if the district is electing to establish an enhanced market rate for child care services provided by legally-exempt group child care programs that have prepared an approved health care plan and have at least one caregiver in each classroom with age appropriate cardiopulmonary resuscitation (CPR) certification and the enhanced requirements have been verified by the enrollment agency.

- No
- Yes

If yes, indicate the percent (76%–81%), not to exceed 81% of the applicable market rate for day care centers.

%

2. Indicate if the district is electing to establish an enhanced market rate for child care services provided by legally-exempt group child care programs when, in addition to the training required in 18 NYCRR §415.13, the director has completed an approved course and a minimum of 15 hours of approved training annually and each employee with a caregiving role completes a minimum of 5 hours of approved training annually and the enhanced requirements have been verified by the enrollment agency.

- No
- Yes

If yes, indicate the percent (76%–81%), not to exceed 81% of the applicable market rate for day care centers.

%

If a district chooses to establish both legally-exempt group child care enhanced rates and a program is eligible for both enhanced rates, then the enhanced market rate must be based on the percentages selected for each individual market rate, up to a maximum of 87%.

V. Sleep

In accordance with SSL 410-w(9), up to eight hours of additional child care assistance must be authorized for all eligible children in a family, as needed, in order to allow a parent or caretaker to sleep, if the parent or caretaker works non-traditional hours, is eligible for and provided with child care assistance, and has a child under the age of six and not in school for a full day.

If the district chooses to expand eligibility for child care assistance beyond the requirements of SSL 410-w(9), in order to allow a parent or caretaker who works non-traditional hours to sleep, please describe below:

Effective on July 1, 2020, in accordance with SSL 410-w(9), up to eight hours of additional childcare assistance must be authorized for all eligible children in a family, as needed, in order to allow a parent or caretaker to sleep, if the parent or caretaker works non-traditional hours, is eligible for and provided with childcare assistance, and has a child under the age of six and not in school for a full day.

Additionally, Saratoga County will authorize up to 8 hours of child care assistance, as needed, to allow a parent or caretaker to sleep, if the parent or caretaker works non-traditional hours, is eligible for and provided childcare assistance, and needs childcare assistance only for children over six years of age or who are enrolled in school for a full day.

Appendix U: Child Care Exceeding 24 Hours, Child Care Services Unit, and Waivers

I. Child Care Exceeding 24 Hours

1. Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other situations where the caretaker's approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the district will pay for child care exceeding 24 hours.

- On a short-term emergency basis
- The caretaker's approved activity necessitates care for 24 hours on a limited basis

2. Describe any limitations on the payment of child care services that exceed 24 consecutive hours.

II. Child Care Services Unit (CCSU)

1. Indicate below if your district will include 18-, 19-, or 20-year-olds in the CCSU for determining family size and countable family income.

a. The district will include the following in the CCSU (check all that apply)

- 18-year-olds
- 19-year-olds
- 20-year-olds

OR

b. The district will only include the following in the CCSU when it will benefit the family (check all that apply)

- 18-year-olds
- 19-year-olds

20-year-olds

2. Describe the criteria your district will use to determine whether or not 18-, 19-, or 20-year olds are included in the CCSU.

III. Waivers

1. Districts have the authority to request a waiver of any regulatory provision that is non-statutory. The waiver must be approved by OCFS before it can be implemented. Describe and justify why your district is requesting a waiver.

Non-Residential Domestic Violence Services

In accordance with the Domestic Violence Prevention Act and subsequent budget provisions, districts are required to provide non-residential services to victims of domestic violence, either directly or through a purchase of service agreement. Whether provided directly or through a purchase of service, **each program** must be approved through the Child and Family Services Plan process.

Non-residential domestic violence programs **must** comply with 18 NYCRR Part 462.

Please provide the information required below.

Indicate if Plan has Changed

Please review your Plan from last year, and then indicate if you will be making any changes to your Plan.

I have read and acknowledge that there are no changes to the previously approved domestic violence non-residential plan.

STOP HERE. Do not update any information in this section.

Changes have been made to this plan.

Please update as needed.

County Contact Person

County Contact Person:

Concetta Hmura

Phone Number:

518-884-4140

E-Mail address:

concetta.hmura@dfa.state.ny.us

Program Closure

Program Name:

Date Closed:

Reason for Closing:

Program Information

Complete this section for every program that provides non-residential domestic violence services in the district.

To promote accuracy through the review and approval process, OCFS **recommends** that this section be completed by the non-residential domestic violence program.

Agency Name:

Wellspring

Program Name (if different):

Business Address:

480 Broadway LL20
Saratoga Springs, NY 12866

Contact Person:

Maggie Fronk

Telephone number:

518-583-0280

E-mail Address:

executivedirector@wellspringcares.org

Program Requirements

This program is intended to be a separate and distinct program specializing in services for victims of domestic violence. 70% of the clientele served must consist of victims of domestic violence and their children.

All questions must be answered

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

Wellspring has 2 dedicated staff who work specifically with our shelter residents: a shelter manager and 1 shelter advocate. These staff work with shelter residents primarily at the shelter (although they may see shelter residents in our shared program offices for example for increased privacy or for better access to computer and case management resources.) Shelter and housing program clients represent only a small percentage of our clients; >90% of our clients receive non-residential services. Nonresidential services are provided at our program offices by dedicated non-residential staff.

Wellspring is the county's licensed domestic violence provider. We offer:

- 24/7 hotline and crisis and accompaniment services
- our county's only domestic violence shelter
- counseling and advocacy services

- legal advocacy
- monthly legal clinics
- comprehensive case management services
- supportive housing program (permanent supportive, rapid rehousing and transitional levels of assistance)
- employment assistance, and
- a Safe Pet Partnership.

For almost 40 years Wellspring has specialized in providing survivor services for victims of relationship and sexual abuse. The primary goals of the program are to provide support to children who are directly or indirectly victimized by intimate partner violence and to provide parenting support to victims of domestic violence. Wellspring provides comprehensive victim-assistance services for adults and children who are victims of domestic violence, dating violence or sexual assault.

Describe the eligibility criteria for clients utilizing the services of the non-residential domestic violence program?

The population served by this grant includes any client who has provided information that establishes that they are a victim of domestic violence.

Describe how special needs populations, including non-English speakers, disabled, and hearing impaired, are accommodated?

All our program spaces are handicap accessible. We offer translation and interpretation services for individuals with limited English proficiency (including language Line assistance for hotline callers). When necessary we utilize American Sign Language professionals to address the needs of clients with hearing impairments.

The only criteria for eligibility is that the person identifies as a victim of domestic violence. Wellspring accepts men, women and their children for services, without any expectation of funding or other eligibility criteria.

Explain how the location(s) where the non-residential domestic violence services are provided ensures the safety and confidentiality of the persons receiving services and their identities.

DO NOT PROVIDE LOCATION ADDRESS(ES)

Our program offices are at a public location, accessible via public transportation. The program offices are adjacent to the Saratoga Springs Police Department. If this location is not safe or convenient for a client, we can meet them at a safe location in their community. Our shelter is at a confidential location in the county.

Complete chart below

Core Services Chart

| Core Service | Days Provided | Hours Provided | Service Delivery Method | Location of Service Provided | Position Providing Service |
|--------------|---------------|----------------|-------------------------|------------------------------|----------------------------|
|--------------|---------------|----------------|-------------------------|------------------------------|----------------------------|

| | | | | | |
|--|-----------|-----------|-------------------|-------------------|-------------------------------------|
| Telephone Hotline Assistance | 7 | 24 | phone | remote | all program staff |
| Information and Referral | 7 | 24 | phone or inperson | remote and office | all program staff |
| Advocacy | 7 | 24 | phone or inperson | remote and office | all program staff |
| Counseling | 7 | 24 | phone or inperson | remote and office | all program staff |
| Community Education and Outreach | 7 | as needed | in person | community | prevention educators or supervisors |
| Optional Services (e.g., Support Groups, children's services, translation services, etc.) | as needed | as needed | varies | varies | specific program staff |

All core services listed are a requirement listed in 18 NYCRR 462.4 and must be provided directly by the program in a timely manner as defined in the regulation.

Staffing Requirements

Each program must employ **both** a qualified program director **and** a sufficient number of staff who are responsible for providing core and optional services.

List each of the staff/volunteer **positions** responsible for providing non-residential services including the **title, responsibilities, and qualifications for each position**.*

* Do **not** give names or qualifications of current program staff.

Staffing Chart

| Position Title | Responsibilities of Position | Qualifications of Position |
|--------------------------|--|---|
| Client Services Director | program oversight and staff training/supervision for direct client services | LMSW, 4 years relevant experience, one of which must be supervisory |
| Non residential manager | Staff supervision and service provision | Bachelors and minimum 3 years' experience |
| Legal advocate (2) | survivor services | Bachelors and minimum 3 years' experience preferred |
| Advocate (4) | survivor services | Bachelors and minimum 3 years' experience preferred |
| Prevention educator (3) | outreach and community education | Bachelors and minimum 3 years' experience preferred |
| Associate Director | responsible for planning, evaluation and regulatory oversight of survivor services and prevention programs | LMSW, 4 years relevant experience, one of which must be supervisory |

Agency Name:

Mechanicville Area Community Services Center

Program Name (if different):

Domestic Violence Advocacy Program (DVAP)

Business Address:

6 South Main Street
Mechanicville, NY 12118

Contact Person:

Megan Quillinan

Telephone number:

518-664-8322 ext 1004

E-mail Address:

mquillinan@mechanicvilleacsc.org

Program Requirements

This program is intended to be a separate and distinct program specializing in services for victims of domestic violence. 70% of the clientele served must consist of victims of domestic violence and their children.

All questions must be answered

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

DVAP is part of the MACSC network of supportive services. Recognized and funded through NYS OCFS, DVAP was established in 1997 as the community and state recognized significant gaps in service provision to victims in southern Saratoga County.

Current DVAP programming includes:

- * Legal and Resource Advocacy
- * Crisis intervention & assistance accessing safe shelter
- * Safety planning
- * Community education and outreach
- * Support groups
- * Direct onsite access to counseling services, food, childcare, youth programs, emergency and holiday assistance
- * Comprehensive case management

DVAP has dedicated offices within the building which are located behind secure doors. Only professional trained staff are able to answer hotline calls, meet with clients or provide direct services.

Describe the eligibility criteria for clients utilizing the services of the non-residential domestic violence program?

These funds are used to specifically assist victims of domestic violence and their children in southern Saratoga County.

Any client who has provided information that establishes that they are a victim of domestic violence is eligible for services, no other eligibility criteria is imposed.

Describe how special needs populations, including non-English speakers, disabled, and hearing impaired, are accommodated?

Individualized accommodations are made for populations with special needs; all services are handicap accessible, free of charge and available to all victims of domestic violence regardless of race, gender identity, religion or sexual orientation.

DVAP staff are able to meet clients where they feel most comfortable, also, staff readily accesses translators from larger programs and utilizes google translate as needed. DVAP stays up to date on technology available to providers to better assist special needs populations.

Explain how the location(s) where the non-residential domestic violence services are provided ensures the safety and confidentiality of the persons receiving services and their identities.

DO NOT PROVIDE LOCATION ADDRESS(ES)

As part of the only recognized Family Neighborhood Resource Center in Saratoga County, DVAP is co-located with a multitude of community resources, allowing for greater anonymity and confidentiality for clients as visitors to our building range from volunteers to food pantry customers, parents of youth in aftercare & community members making donations to victims of domestic violence - one never knows why someone is visiting MACSC.

Security systems are up to date, camera footage always available, emergency alert button at front desk directly contacts Mechanicville Police Department with a silent alarm, only MACSC staff and recognized, prescreened clients are allowed in areas requiring use of staff key fobs for entry.

Complete chart below

Core Services Chart

| Core Service | Days Provided | Hours Provided | Service Delivery Method | Location of Service Provided | Position Providing Service |
|------------------------------|---------------|----------------|-------------------------|------------------------------|----------------------------|
| Telephone Hotline Assistance | 5 | 8 | phone | onsite | all |
| Information and Referral | 5 | 8 | in person and phone | onsite | all |

| | | | | | |
|--|---|---|--------------------------------|---|----------------------|
| Advocacy | 5 | 8 | in person | onsite, courts, community providers | all |
| Counseling | 5 | 8 | in person, phone, telemedicine | onsite and referral to | contracted providers |
| Community Education and Outreach | 5 | 8 | on and offsite | various community locations and events, schools etc | all |
| Optional Services (e.g., Support Groups, children's services, translation services, etc.) | 5 | 8 | on and off site | onsite and as needed throughout the community | all |

All core services listed are a requirement listed in 18 NYCRR 462.4 and must be provided directly by the program in a timely manner as defined in the regulation.

Staffing Requirements

Each program must employ **both** a qualified program director **and** a sufficient number of staff who are responsible for providing core and optional services.

List each of the staff/volunteer **positions** responsible for providing non-residential services including the **title, responsibilities, and qualifications for each position***.

* Do **not** give names or qualifications of current program staff.

Staffing Chart

| Position Title | Responsibilities of Position | Qualifications of Position |
|------------------------------------|---|---|
| Program Director | DVAP oversight, supervision, representation in community | 4 years experience working with victims of domestic abuse, Supervisory experience minimum of one year, Bachelors Degree minimum |
| Family Resource Advocate | direct service provision, connections to resources, crisis intervention, safety planning | Familiarity with cycle of domestic abuse, 2 years advocacy experience, knowledge of local resources, or, ability to seek them out |
| Legal Advocate | Direct service provision, Assistance with navigation of the legal system, crisis intervention, safety planning, resource advocacy | Familiarity with cycle of domestic violence, strong understanding of legal processes, 2 years advocacy experience, knowledge of local resources, or, ability to seek them out |
| Youth Violence Prevention Advocate | Direct oversight of violence prevention programs for youth | Familiarity with cycle of domestic violence, experience working with youth, ability to facilitate trainings and groups |

PINS Pre-dispositional Placement Services

As outlined in 20-OCFS-ADM-22, [Persons in Need of Supervision Reform Changes](#), Local Department of Social Services are to have a plan to provide PINS pre-dispositional care and maintenance services as ordered by family court.

Pre-dispositional placements can only occur in the following settings:

- Foster care settings, certified or licensed by the New York State Office of Children and Family Services (OCFS) or another authorized agency, such as: foster boarding home, group home and residential treatment center.
- A short-term safe house as defined in Social Services Law 447-a for youth who have been determined by the court to be sexually exploited. Placement in a runaway and homeless youth program may not be ordered by the court without the consent of the respondent youth, as these settings are voluntary.

Please indicate below whether the LDSS has the availability of PINS pre-dispositional care and maintenance services:

- LDSS has a plan to provide PINS pre-dispositional care and maintenance Services as ordered by family court.
- LDSS **does not** have a plan to provide PINS pre-dispositional care and maintenance services as ordered by family court.

T and U Visa Reporting

18-OCFS-LCM-15, dated August 14, 2018, provided "[Protocols for Signing Forms for Non-Immigrant Clients Applying for U Visas and T Visas](#)." This LCM lays out the record keeping and reporting requirements:

9. RECORD KEEPING AND REPORTING REQUIREMENTS:

LDSSs must maintain information on the number of requests received for U visa certifications and T visa endorsements, including the number of requests granted for each type of visa. LDSSs are required to submit this information to OCFS on an annual basis as part of the county Child and Family Services Annual Plan update process.

Please provide the information requested below:

1. In 2021, how many T visa applications were received?
2. In 2021, how many T visa certifications were issued?
3. In 2021, how many U visa applications were received?
4. In 2021, how many U visa certifications were issued?

Title XX Program Services Matrix

Districts are required to enter Program Matrix information into the Welfare Management System (WMS). Please note below if changes have been made to the matrix since your last annual plan, and what those changes are.

WMS allows local districts to update their Title XX Matrix by using the **Title XX Menu**. The matrix is the basis for the authorization/payment of Title XX services and for child care assistance funded under the New York State Child Care Block Grant for each local district. State income standards are established using the Federal Poverty Levels (FPL), which are updated periodically by the U.S. Department of Health and Human Services. When new FPLs are set, the state updates the WMS Title XX Services Matrix and the Title XX Matrix Update process is initiated.

Each district must update its WMS Title XX Matrix as necessary and submit it to the state for review. Districts are not able to alter state-mandated fields. The updates are done by a district worker who has been assigned security function 180 by the district's LAN administrator. If your district needs assistance with making the changes in WMS or the process of assigning a 180 security function to a district employee please contact ocfs.sm.wms@ocfs.ny.gov.

The following resource is available to assist with updating the Title XX Matrix in WMS:

- [Click Here for Instructions to Complete the Program Matrix](#)
-

Are there changes to the services your county intends to provide during the 2022 Child and Family Services Planning cycle?

- Yes
- No

If there are changes to the services, please indicate what those changes are:

List of Data Sources

The list below contains common data sources often used in county planning. Please check all sources your county used in developing this plan. The list is not all-inclusive; if you have other sources of data, please indicate those as well.

| Data Source | Safety | Permanency | Youth & Young Adult | Adult Services |
|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| KWIC (Kid's Well-being Indicators Clearinghouse) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| U.S. Census Data | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Child Trends Data Bank | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| PRISMS (Prevention Risk Indicator/Services Monitoring System (OASAS)) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NYS Department of Health | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Domestic Violence Information System | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| NYS OCFS Data | | | | |
| MAPS (Monitoring and Analysis Profiles) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| QYDS (Quality Youth Development System) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Data Warehouse Reports | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Child and Family Services Plan Child Level Data | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Race/Ethnicity Disparity Data | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

| | | | | |
|--|--------------------------|-------------------------------------|--------------------------|-------------------------------------|
| OCFS Preventive Services Data | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Bright Spots Data | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Family First Data Packets (Congregate Care Bubble Charts and Foster Home Data Packets) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Juvenile Detention Automated System (JDAS) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Detention Risk Assessment Instrument System (DRAIS) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| OCFS Agency Online Profile (OAOP) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| YASI data (Youth Assessment & Screening Instrument) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Safe Harbour: NY program data | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Adult Services Automation Project (ASAP.Net) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Adult Protective Services (APS.Net)—NYC only | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Local Surveys | | | | |
| County Search Institute Survey | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Communities That Care | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| TAP Survey | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| United Way (Compass Survey or other) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other | | | | |

| | | | | |
|--|---|--|---|---|
| Other Data Sources | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Specify Any Other Data Sources: | <ul style="list-style-type: none"> • NYS Touchstones Kids Count Data Book • Capital District Regional Planning Commission Data • Saratoga Economic Development Corporation Data • Partnership for preventions Program Annual Assessment • Social Services Annual Report and Internal report Data | <ul style="list-style-type: none"> • NYS Touchstones Kids Count Data Book • Capital District Regional Planning Commission Data • Saratoga Economic Development Corporation Data • Partnership for Prevention program Annual Assessment • Social Services Annual Report and Internal Data. | <p style="text-align: center;">Saratoga County Youth Bureau spreadsheet to track and organize program annual report data.</p> | <ul style="list-style-type: none"> • Capital District Regional Planning Commission Data • Saratoga Economic Development Corporation Data • Program Annual Assessment • Social Services Annual Report and Internal Report Data |

Required Interagency Consultations

407(g)(3) As required by sections 423.3(a) and 473.2(b) of the Social Services Law, discussions and meetings with public, private and voluntary organizations which are involved in adult and family and children's services must be held to acquire their advice and consultation in the development of the plan. At a minimum, such organizations must include: health and mental health agencies; aging, legal and law enforcement agencies; societies for the prevention of cruelty to children; family court judges; youth bureaus or boards; and departments of probation.

Please list below all agencies that participated in the development of this section of the plan.

| Agency Type | Safety | Permanency | Youth and Young Adult | Adult Services |
|---|--|---|--------------------------------------|---|
| Health ⁴ | | | Saratoga County Public Health | Saratoga County Public Health, Saratoga Hospital, nursing homes, rehabilitation facilities, CHHAs, Environmental Health, Office for Aging-Long term care council, local hospitals |
| Mental Health ⁴ | Saratoga County Mental Health | Saratoga County Mental Health | Saratoga County Mental Health | Saratoga County Mental Health, RISE, Unlimited Potential, Four Winds Hospital |
| Youth Bureau ³ | Saratoga County Youth Bureau | Saratoga County Youth Bureau | Saratoga County Youth Bureau | |
| Department of Probation ³ | Saratoga County Probation Department | Saratoga County Probation Department | Saratoga County Probation Department | |
| Societies for the Prevention of Cruelty to Children ¹ | Saratoga Center for the family | Saratoga County Center for the Family | | |
| Law Enforcement ^{1,2,4} | Saratoga County Sheriff's Office; Saratoga County District Attorney's office; New York State Police; | Saratoga County Sheriff Office, Saratoga County District Attorney's Offices, NYS Police | Saratoga County Sheriff's Department | NYS Police, Saratoga County Sheriff Department, Saratoga Springs Police, Ballston Spa Police Department, |
| Aging ⁴ | Saratoga County Office for the Aging | Saratoga County Office for the Aging | | Office for the Aging, Southern Adirondack Independent Living, Mechanicville Community Center, Franklin Community |

| | | | | |
|---|--|--|--------------------------------------|--|
| | | | | Center |
| Legal ^{1,4} | Saratoga County Attorneys office, Saratoga County District Attorney's office | Saratoga County Attorney's Office, Saratoga County District Attorney's Office | | County Attorney, District Attorney, Public Defender |
| Family Court (judge or designee) ¹ | Saratoga County Family Court, Saratoga County Family Court Judges | Saratoga County Family Court, Saratoga County Family Court Judges | | |
| Local Advisory Council ^{1,2,3} | Transitional Services, Wellspring, District Attorney, Saratoga County Mental | Transitional Services, Wellspring, Saratoga County Mental Health, Saratoga County District Attorney's Office | Saratoga County Advisory Youth Board | |
| Other Relevant Government Agencies | | | | Social Security Administration, OPWDD, Veterans Administration, SCDSS Eligibility programs |
| Child Care Resource and Referral Agencies | | | | |
| RHYA Providers ³ | Captain Youth and Family Services | Captain Youth and Family Services | CAPTAIN Community Human Services | |
| Other Public / Private / Voluntary Agencies ^{1,4} | Saratoga Center for the Family | Berkshire Farm Center and Services for Youth | | Shelters of Saratoga, National Grid |
| Other (#1) | Berkshire Farms Center and Services for youth | Northeast Parent and Child Society | | |
| Other (#2) | Northeast Parent and Child Society | St. Anne Institute | | |

1. Must be consulted when developing Safety / Prevention section of the Plan.

2. Must be consulted when developing the Permanency / Prevention section of the plan.

3. Must be consulted when developing the Youth and Young Adult section of the plan

4. Must be consulted when developing Adult Services section of the Plan.

