



Office of Children and Family Services

Andrew M. Cuomo
Governor

52 WASHINGTON STREET
RENSSELAER, NY 12144

Sheila J. Poole
Commissioner

Local Commissioners Memorandum

Transmittal:	20-OCFS-LCM-16
To:	Local District Commissioners
Issuing Division/Office:	Strategic Planning and Policy Development Child Welfare and Community Services
Date:	October 21, 2020
Subject:	Community Optional Preventive Services (COPS) Program \$1,000,000 Set-Aside Funding Instructions (FFY 2019-20/SFY 2020-21)
Contact Person(s):	ocfs.sm.policy@ocfs.ny.gov Claiming Questions (Regions I - V): Lauren Horn, (518) 474-7549 or via e-mail at Lauren.Horn@otda.ny.gov Claiming Questions (Region VI): Michael Simon, (212) 961-8250 or via e-mail at Michael.Simon@otda.ny.gov
Attachments:	Attachment A: <i>Application for Community Optional Preventive Services \$1,000,000 Set-Aside Funding (FFY 2019-20/SFY 2020-21)</i> Attachment B: <i>Community Optional Preventive Services Set-Aside Program Report (FFY 2019-20/SFY 2020-21)</i>

I. Purpose

The purpose of this Local Commissioners Memorandum (LCM) is to advise local departments of social services (LDSSs) of the availability of \$1,000,000 in Community Optional Preventive Services (COPS) funding that has been set aside from the total COPS appropriation of \$12,124,750 available for the Federal Fiscal Year (FFY) 2019-20/State Fiscal Year (SFY) 2020-21. The \$1,000,000 COPS set-aside funding is designated as a separate funding source from the larger COPS program and has different requirements for LDSS applications for funding, program reporting, and financial claiming.

II. Background

COPS programs are a subset of the broader category of “preventive services.” COPS programs are intended to help families where placement is not imminent, but where youth and/or families have circumstances that put them at an elevated risk of foster care

placement. In 1988, a Request for Proposal (RFP) was issued to select and fund COPS programs. About 20 programs were funded from that RFP, and a subsequent RFP was issued in New York City in 2000. The Child Welfare Services finance provisions were implemented in 2002 and provided for 65 percent state reimbursement for all preventive services. The funding mechanism allowed for the expansion of COPS. For a COPS proposal to be approved, LDSSs were required to submit a plan to the New York State Office of Children and Family Services (OCFS) that described the program, specified the target population in need, and demonstrated that the population was at elevated risk of foster care placement, but not at imminent risk of out-of-home placement.

COPS programs are aimed at supporting community services that work with youth and families before a serious problem develops, with the long-term goal of reducing the need for foster care.

In 2008, LDSSs were surveyed regarding their COPS programs, and this information was published in January 2009 in *Community Optional Preventive Services (COPS): Findings from OCFS's COPS Survey*. As part of this survey, LDSSs were specifically asked to report on performance targets and achievement of these targets. LDSSs were also required to report to OCFS on performance targets or outcomes of their COPS programs.

In 07-OCFS-LCM-12, "outcome" is defined as "the anticipated change in, or maintenance of, conditions or behaviors of a targeted population as a result of the provision of services." Performance targets provide evidence of whether the program accomplished its outcomes. It is important that performance targets and outcomes established are specific, measurable, achievable, realistic, and time bound. For more information regarding how to develop outcomes, you may wish to visit the OCFS website: http://ocfs.ny.gov/main/sppd/eff_practices/.

III. Program Implications

For FFY 2019-20/SFY 2020-21, \$12,124,750 in COPS funding were made available, of which \$1,000,000 continues to be set aside to fund eligible program(s) with evaluation results that demonstrate program effectiveness and private monetary funding contribution. Any program costs supported through a district's share of the \$11,124,750 COPS allocation cannot be used to access funding from the \$1,000,000 set-aside funding. This \$1,000,000 set-aside amount is for COPS services provided from October 1, 2019, through September 30, 2020. Claims for eligible COPS expenditures must be submitted by March 31, 2021.

An LDSS must file separate claims to specifically identify costs for COPS services delivered through the COPS set-aside appropriation. To receive reimbursement for a COPS program, an LDSS must demonstrate that the program had been approved by OCFS on or before October 1, 2008. In addition, the expenses claimed cannot exceed the costs for the programs that were in effect October 1, 2008. An LDSS may contract to restart a program that had ceased to provide COPS but was both approved by OCFS and in operation as of October 1, 2008; however, this may only be done at an amount not to exceed the level of funding received as of October 1, 2008.

An LDSS cannot receive state reimbursement for any COPS service provided during a time when it did not have a contract in place, and the LDSS cannot contract retroactively for the services. For example, if an LDSS terminated a contract on December 31, 2019,

and did not enter into a new contract until April 15, 2020, it could claim for the services provided from October 1, 2019, through December 31, 2019, and for the services provided from April 15, 2020, through September 30, 2020, but not for any services provided from January 1, 2020, through April 14, 2020. That is, no claims are permissible for the period for which a contract did not exist.

LDSSs may receive dollar-for-dollar reimbursement, i.e., 50 percent state reimbursement based on the private funds they receive for the costs of eligible services provided from October 1, 2019, through September 30, 2020, up to the amount of the \$1,000,000 COPS set-aside funding. Donated funds must equal at least 25 percent of the total program cost, with a required minimum of at least \$15,000 for the period of July 1, 2019, through June 30, 2020. The dollar-for-dollar state reimbursement share cannot exceed the eligible cost of the project. If there are insufficient funds in the capped appropriation to reimburse LDSSs dollar-for-dollar for eligible COPS expenditures claimed, LDSSs will receive their proportionate share of the \$1,000,000 set-aside funding based on the total of the LDSS's actual and eligible COPS expenditures claimed. The LDSS's actual expenditure total is then compared to the statewide total of all LDSSs' eligible expenditures claimed. OCFS may reallocate any unspent funds from an LDSS to other LDSSs that have claims in excess of their allocation. Any donated funds must be received from July 1, 2019, through June 30, 2020. For claims to be approved for payment, LDSSs must demonstrate the receipt of donated funds by **November 18, 2020**.

The following narratives provide an example of LDSS reimbursement for a COPS set-aside program. If a district has \$15,000 donated funds and \$60,000 eligible COPS expenditures, the state share match is \$15,000 and the local share is \$45,000. This includes the \$15,000 donated funds and the \$30,000 regular local share. If a district has a \$200,000 eligible COPS expenditure, then the donated funds requirement would be \$50,000, the state share match would be \$50,000, and the local share would be \$150,000, which includes the \$50,000 donated funds and the \$100,000 regular local share.

Application Instructions

LDSSs that are applying for this separate \$1,000,000 of COPS funding may do so by submitting Attachment A, *Application for Community Optional Preventive Services \$1,000,000 Set-Aside Funding (FFY 2019-20/SFY 2020-21)*, and the following documentation demonstrating that they meet the eligibility criteria:

1. Program Evaluation
LDSSs or programs must demonstrate quality of services provided and program effectiveness.
 - Demonstrate how the program is a “best practice” or “evidence-based” program, and include the following:
 - Disproportionate Minority Representation (DMR) data
 - Amount of funds used for program evaluation
2. Demonstrate Private Monetary Support
LDSSs must demonstrate private monetary support received from July 1, 2019, through June 30, 2020. Documentation of private monetary support must be submitted to OCFS no later than **November 18, 2020**. The following are examples of acceptable documentation of private monetary support:
 - Letter from agency/organization providing monetary support

- Canceled check from agency/organization providing monetary support
 - Financial records showing receipt of private funds
 - Donated funds must be equal to at least 25 percent of the total program cost, with a minimum of at least \$15,000.
3. Program Budget
A detailed program budget must be provided.
 4. Program Design
Submit a program outline explaining the design, components, services to be provided, and population intended to be served that is being funded.

Each LDSS that applies for this separate \$1,000,000 COPS funding needs to complete Attachment A, with the supporting documentation listed above, and submit it by **November 18, 2020**, via email to ocfs.sm.policy@ocfs.ny.gov.

OCFS will review the timely applications for this funding with supporting documentation, and OCFS will make a determination for each LDSS that has applied for this funding. LDSSs will be notified if their COPS programs have met the eligibility criteria and the amount of their allocation.

All LDSSs that have submitted Attachment A by **November 18, 2020**, with complete documentation, and meet the criteria for this separate COPS funding of \$1,000,000, will receive a proportionate share of the funds.

COPS Program Report Form

COPS programs that are funded out of this separate \$1,000,000 allocation will need to provide OCFS with a report of their progress toward meeting stated program outcomes. For each COPS program that receives this funding, LDSSs will need to complete an Attachment B, *Community Optional Preventive Services Set-Aside Program Report*, and submit the report to OCFS by **December 16, 2020**. This template asks LDSSs to provide demographic information and to report on current performance targets or outcomes that have been required for all preventive services programs (see 07-OCFS-LCM-12).

For the purpose of this requirement, “performance” means quantifiable and verifiable interim changes in, or maintenance of, the conditions or behaviors of the target population resulting from the provision of services that indicate progress toward an outcome. “Outcome” means the anticipated change in, or maintenance of, conditions or behaviors of a targeted population as a result of the provision of services.

Please complete an Attachment B for each COPS program that receives an allocation from the \$1,000,000 separate funding, and submit the form by **December 16, 2020**, via email to ocfs.sm.policy@ocfs.ny.gov.

IV. Claiming Instructions

An LDSS will use the following set of instructions to claim reimbursement for eligible COPS set-aside services from October 1, 2019, through September 30, 2020. Claims for eligible expenditures must be final accepted in the Automated Claiming System (ACS) by March 31, 2021.

If OCFS determines there are insufficient COPS set-aside funds available to reimburse LDSSs for eligible COPS expenditures claimed, OCFS may reallocate unclaimed funding to other LDSSs that have claims in excess of their allocation.

The expenditures for the COPS 2019-2020 set-aside services should be claimed through the RF17 claim package for special project claiming. These costs should be identified as F17 functional costs and reported on the Schedule D, *DSS Administrative Expenses Allocation and Distribution by Function and Program* (LDSS-2347), in the F17 column in the RF2A claim package. The individual project costs should also be reported under the project label "COPS 2019-2020 SET ASIDE" on the LDSS-4975A, *RF17 Worksheet, Distribution of Allocated Costs to Other Reimbursable Programs*.

Salary and non-salary costs of staff may be directly charged to the RF17 claim package or may be identified by time study. Employees working part time on COPS 2019-2020 set-aside 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(s) of expense(s) on the LDSS-923B Summary-Administrative - *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 - *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).

Please note that by signing the RF17 Claim Package certification statement, the administrative official and fiscal officer also attest that their district has met the required level of donated funds and that these amounts are included in the total costs reported on the RF17 Claim Package.

Instructions for reporting expenditures on the Schedules D and RF17 Claim Package are found in Chapters 7 and 18 of the *Fiscal Reference Manual*, Volume 3. The manual is available on the intranet: <http://otda.state.nyenet/bfdm/finance/>.

/s/ Thomas R. Brooks

Issued by:

Name: Thomas R. Brooks

Title: Deputy Commissioner

Division/Office: Strategic Planning and Policy Development

/s/ Lisa Ghartey Ogundimu

Issued by:

Name: Lisa Ghartey Ogundimu

Title: Deputy Commissioner

Division/Office: Child Welfare and Community Services

Attachment A

**Application for Community Optional Preventive Services
\$1,000,000 Set-Aside Funding (FFY 2019-20/SFY 2020-21)**

COPS Program Name: _____

Name of Agency Providing COPS Services: _____

Name of OCFS-Approved Program as of 2008 _____

District: _____

Target Group or Community Served: _____

Primary Services: _____

LDSSs that are applying for this \$1,000,000 of COPS set-aside funding may do so by submitting this application with documentation that they meet the eligibility criteria:

1. Evaluation results showing program effectiveness

LDSSs or programs must demonstrate quality of services provided and program effectiveness. LDSSs must

- demonstrate how the program is a “best practice” or “evidence-based program”;
- include Disproportionate Minority Representation (DMR) data; and
- document amount of funds used for program evaluation.

2. Demonstrate private monetary support

LDSSs must demonstrate private monetary support received from July 1, 2019, through June 30, 2020. Donated funds must equal at least 25 percent of the total program cost, but not less than \$15,000.

The following are examples of acceptable documentation of private monetary support:

- Letter of agency/organization providing monetary support
- Canceled check from agency/organization providing monetary support
- Financial records showing receipt of private funds

Total Cost of Program: _____

Total Private Donations: _____(equal to 25 percent of program cost or \$15K minimum)

Total Funding Requested: _____

3. Program Budget

A detailed program budget must be provided. In order to be eligible, the COPS services must have been provided during the time period of October 1, 2019, through September 30, 2020. Expenditures must be made by October 31, 2020, and claims must be submitted no later than March 31, 2021.

4. Program Design

Submit a program outline explaining the design, components, services to be provided, and population served that is being funded.

Please complete and submit this application with your supporting documentation by **November 18, 2020**, via email to ocfs.sm.policy@ocfs.ny.gov.

Attachment B

**Community Optional Preventive Services Set-Aside Program Report
(FFY 2019-20/SFY 2020-21)**

COPS Program Name:	_____
Name of Agency Providing COPS Services:	_____
Name of OCFS-Approved Program in 2008	# of Children Served During Review Period: _____
District:	# of Adults Served During Review Period: _____
Target Group or Community Served:	# of Families Served During Review Period: _____
Primary Services:	_____
Date Completed:	Review Period: 10/1/2019 to 9/30/2020

Instructions, Performance Targets, or Outcomes

COPS funding is aimed at supporting community services that work with youth and families before a serious problem develops with the long-term goal of reducing the risk of foster care and offering a less costly alternative to placement.

In this section, describe the program’s performance targets or outcome areas, currently required of the LDSS in accordance with 07-OCFS-LCM-12, and give evidence of the COPS program’s achievement(s) for the review period, in actual data format when possible.

Outcomes are the desired benefits or anticipated changes for the target population after their involvement with the program. **Performance targets** are the quantifiable and verifiable improvements in the condition or behavior of the target population resulting from the provision of services that indicate progress related to an outcome that the program intends to achieve by the end of the contract period.

This template gives space to describe three top performance targets or outcomes, but it is not necessary to complete all three sections. If more space is needed, please use the same format on a separate sheet.

Please complete and submit this entire attachment via email by **December 16, 2020**, to ocfs.sm.policy@ocfs.ny.gov.

1st Outcome, Performance Target, and Strategy

Description of Outcome:

Evidence of Achievement in Performance Target:

Strategy or Strategies Used:

Strategy Cost and # of children, # of adults, # of family participants:

2nd Outcome, Performance Target, and Strategy

Description of Outcome:

Evidence of Achievement in Performance Target:

Strategy or Strategies Used:

Strategy Cost and # of children, # of adults, # of family participants:

3rd Outcome, Performance Target, and Strategy

Description of Outcome:

Evidence of Achievement in Performance Target:

Strategy or Strategies Used:

Strategy Cost and # of children, # of adults, # of family participants: