

## Application for Federal Assistance SF-424

\* 1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

\* 2. Type of Application:

- ☒ New  
☐ Continuation  
☐ Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

146002563

5b. Federal Award Identifier:

### State Use Only:

6. Date Received by State:

7. State Application Identifier:

NY

### 8. APPLICANT INFORMATION:

\* a. Legal Name:

Albany County

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

146002563

\* c. Organizational DUNS:

0605366530000

### d. Address:

\* Street1:

112 State Street

Street2:

Room 1200

\* City:

Albany

County/Parish:

Albany

\* State:

NY: New York

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

12207-2077

### e. Organizational Unit:

Department Name:

County Executive's Office

Division Name:

### f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

\* First Name:

Michael

Middle Name:

\* Last Name:

Lalli

Suffix:

Title:

Director

Organizational Affiliation:

Civil Service

\* Telephone Number:

518-447-5642

Fax Number:

\* Email:

michael.lalli@albanycountyny.gov

## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

Bureau of Justice Assistance

### 11. Catalog of Federal Domestic Assistance Number:

16.838

CFDA Title:

Comprehensive Opioid Abuse Site-Based Program

### \* 12. Funding Opportunity Number:

BJA-2020-17023

\* Title:

BJA FY 20 Comprehensive Opioid, Stimulant, and Substance Abuse Site-based Program (COSSAP)

### 13. Competition Identification Number:

BJA-2020-17024

Title:

Comprehensive Opioid, Stimulant, and Substance Abuse Site-based Program: Local or Tribal Applications

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

1.14 Areas Affected by Project.pdf

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Growing LEAD: Increasing Operational Capacity to Improve and Expand Service in Albany County

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**\* a. Applicant \* b. Program/Project 

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**\* a. Start Date: \* b. End Date: **18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="898,062.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="898,062.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on .
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☒ c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

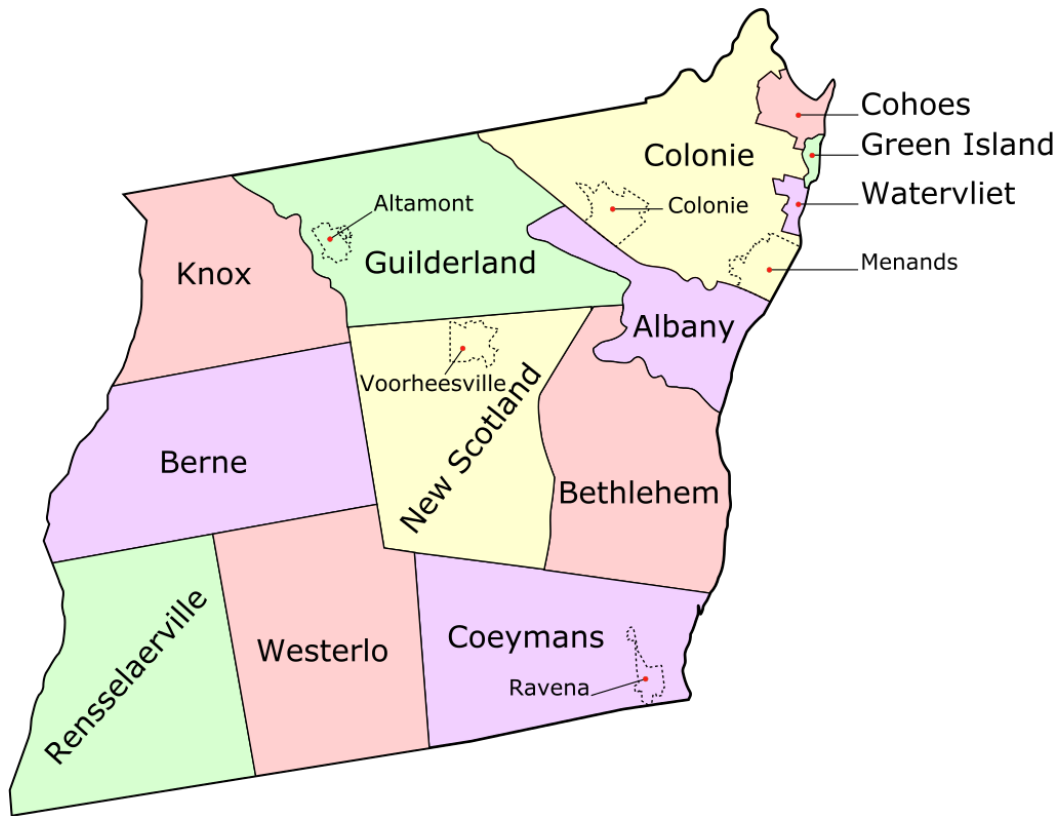
Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title: \* Telephone Number:  Fax Number: \* Email: \* Signature of Authorized Representative:  \* Date Signed:



### Cities

Albany

Cohoes

Watervliet

### Towns

Berne

Bethlehem

Coeymans

Colonie

Green Island

Guilderland

Knox

New Scotland

Rensselaerville

Westerlo

### Villages

Altamont

Colonie

Green Island

Menands

Ravena

Voorheesville

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<b>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b>	<b>TITLE</b>
Completed on submission to Grants.gov	Director
<b>APPLICANT ORGANIZATION</b>	<b>DATE SUBMITTED</b>
Albany County	Completed on submission to Grants.gov

Standard Form 424B (Rev. 7-97) Back

## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

Add Mandatory Budget Narrative

Delete Mandatory Budget Narrative

View Mandatory Budget Narrative

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To add more Budget Narrative attachments, please use the attachment buttons below.

Add Optional Budget Narrative

Delete Optional Budget Narrative

View Optional Budget Narrative

**The following attachment is not included in the view since it is not a read-only PDF file.**

**Upon submission, this file will be transmitted to the Grantor without any data loss.**

**Albany LEAD Budget Narrative.XLSM**



# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

OMB Number: 4040-0013

Expiration Date: 02/28/2022

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name <input type="text" value="Albany County"/> * Street 1 <input type="text" value="112 State Street"/> Street 2 <input type="text" value="Room 1200"/> * City <input type="text" value="Albany"/> State <input type="text" value="NY: New York"/> Zip <input type="text" value="12207"/> Congressional District, if known: <input type="text" value="NY-020"/>		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b>		
<b>6. * Federal Department/Agency:</b> <input type="text" value="Bureau of Justice Assistance, DOJ"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="Comprehensive Opioid Abuse Site-Based Program"/> CFDA Number, if applicable: <input type="text" value="16.838"/>	
<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>	
<b>10. a. Name and Address of Lobbying Registrant:</b> Prefix <input type="text"/> * First Name <input type="text" value="N/A"/> Middle Name <input type="text" value="N/A"/> * Last Name <input type="text" value="N/A"/> Suffix <input type="text"/> * Street 1 <input type="text" value="N/A"/> Street 2 <input type="text" value="N/A"/> * City <input type="text" value="N/A"/> State <input type="text"/> Zip <input type="text" value="N/A"/>		
<b>b. Individual Performing Services</b> (including address if different from No. 10a) Prefix <input type="text"/> * First Name <input type="text" value="N/A"/> Middle Name <input type="text" value="N/A"/> * Last Name <input type="text" value="N/A"/> Suffix <input type="text"/> * Street 1 <input type="text" value="N/A"/> Street 2 <input type="text" value="N/A"/> * City <input type="text" value="N/A"/> State <input type="text"/> Zip <input type="text" value="N/A"/>		
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. <b>* Signature:</b> <input type="text" value="Completed on submission to Grants.gov"/> <b>* Name:</b> Prefix <input type="text"/> * First Name <input type="text" value="Michael"/> Middle Name <input type="text"/> * Last Name <input type="text" value="Lalli"/> Suffix <input type="text"/> <b>Title:</b> <input type="text" value="Director of Civil Service"/> <b>Telephone No.:</b> <input type="text" value="518-447-5642"/> <b>Date:</b> <input type="text" value="Completed on submission to Grants.gov"/>		
<b>Federal Use Only:</b>		<b>Authorized for Local Reproduction</b> Standard Form - LLL (Rev. 7-97)



**U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS**

OMB Number: 1121-0329  
Expiration Date: 11/30/2020

**Background**

Recipients' financial management systems and internal controls must meet certain requirements, including those set out in the "Part 200 Uniform Requirements" (2.C.F.R. Part 2800).

Including at a minimum, the financial management system of each OJP award recipient must provide for the following:

- (1) Identification, in its accounts of all Federal awards received and expended and the Federal programs under which they were received. Federal program and Federal award identification must include, as applicable, the CFDA title and number, Federal award identification number and year, and the name of the Federal agency.
- (2) Accurate, current, and complete disclosure of the financial results of each Federal award or program.
- (3) Records that identify adequately the source and application of funds for federally-funded activities. These records must contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, expenditures, income and interest and be supported by source documentation.
- (4) Effective control over, and accountability for, all funds, property, and other assets. The recipient must adequately safeguard all assets and assure that they are used solely for authorized purposes.
- (5) Comparison of expenditures with budget amounts for each Federal award.
- (6) Written procedures to document the receipt and disbursement of Federal funds including procedures to minimize the time elapsing between the transfer of funds from the United States Treasury and the disbursement by the OJP recipient.
- (7) Written procedures for determining the allowability of costs in accordance with both the terms and conditions of the Federal award and the cost principles to apply to the Federal award.
- (8) Other important requirements related to retention requirements for records, use of open and machine readable formats in records, and certain Federal rights of access to award-related records and recipient personnel.

**1. Name of Organization and Address:**

Organization Name: Albany County

Street1: 112 State Street

Street2: Room 1200

City: Albany

State: NY: New York

Zip Code: 12207

**2. Authorized Representative's Name and Title:**

Prefix:

First Name:

Middle Name:

Michael

Last Name:

Suffix:

Lalli

Title:

Director of Civil Service

3. Phone: 518-447-5642

4. Fax:

5. Email: michael.lalli@albanycountyny.gov

6. Year Established:

7. Employer Identification Number (EIN):

8. DUNS Number:

1683

146002563

0605366530000

9. a) Is the applicant entity a nonprofit organization (including a nonprofit institution of higher education) as described in 26 U.S.C. 501(c)(3) and exempt from taxation under 26 U.S.C. 501(a)?



Yes



No

If "No" skip to Question 10.

If "Yes" skip to Questions 9. b) and 9. c).



**U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS**

OMB Number: 1121-0329  
Expiration Date: 11/30/2020

**AUDIT INFORMATION**

9. b) Does the applicant nonprofit organization maintain offshore accounts for the purpose of avoiding paying the tax described in 26 U.S.C. 511(a)?

☐ Yes ☒ No

9. c) With respect to the most recent year in which the applicant nonprofit organization was required to file a tax return, does the applicant nonprofit organization believe (or assert) that it satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to the reasonableness of compensation of certain individuals)?

☐ Yes ☒ No

If "Yes", refer to "Additional Attachments" under "What an Application Should Include" in the OJB solicitation (or application guidance) under which the applicant is submitting its application. If the solicitation/guidance describes the "Disclosure of Process related to Executive Compensation," the applicant nonprofit organization must provide -- as an attachment to its application -- a disclosure that satisfies the minimum requirements as described by OJP.

For the purposes of this questionnaire, an "audit" is conducted by an independent, external auditor using generally accepted auditing standards (GAAS) or Generally Governmental Auditing Standards (GAGAS), and results in an audit report with an opinion.

10. Has the applicant entity undergone any of the following types of audit(s) (Please check all that apply):

☒ "Single Audit" under OMB A-133 or Subpart F of 2 C.F.R. Part 200

☒ Financial Statement Audit

☐ Defense Contract Agency Audit (DCAA)

☒ Other Audit & Agency (list type of audit):

NYS DOT Single Audit

☐ None (if none, skip to question 13)

11. Most Recent Audit Report Issued: ☒ Within the last 12 months ☐ Within the last 2 years ☐ Over 2 years ago ☐ N/A

Name of Audit Agency/Firm: BST & Co CPA's, LLP

**AUDITOR'S OPINION:**

12. On the most recent audit, what was the auditor's opinion?

☒ Unqualified Opinion ☐ Qualified Opinion ☐ Disclaimer, Going Concern or Adverse Opinions ☐ N/A: No audits as described above

Enter the number of findings (if none, enter "0"): 0

Enter the dollar amount of questioned costs (if none, enter "\$0"): 0.00

Were material weaknesses noted in either the report or opinion? ☐ Yes ☒ No

13. Which of the following best describes your accounting system:

☐ Manual ☒ Automated ☐ Combination of Manual and Automated

14. Does the applicant entity's accounting system have the capability to identify the receipt and expenditure of award funds separately for each Federal award?

☒ Yes ☐ No ☐ Not Sure

15. Does the applicant entity's accounting system have the capability to record expenditures for each Federal award by budget cost categories shown in the approved budget?

☒ Yes ☐ No ☐ Not Sure



**U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS**

OMB Number: 1121-0329  
Expiration Date: 11/30/2020

16. Does the applicant entity's accounting system have the capability to record cost sharing ("match") separately for each Federal award, and maintain documentation to support recorded match or cost share?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
17. Does the applicant entity's accounting system have the capability to accurately track employees actual time spent performing work for each federal award, and to accurately allocate charges for employee salaries and wages for each federal award, and maintain records to support the actual time spent and specific allocation of charges associated with each applicant employee?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
18. Does the applicant entity's accounting system include budgetary controls to preclude the applicant entity from incurring obligations or costs that exceed the amount of funds available under a federal award (the total amount of the award, as well as the amount available in each budget cost category)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
19. Is the applicant entity familiar with the "cost principles" that apply to recent and future federal awards, including the general and specific principles set out in 2 C.F.R. Part 200?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
<b>PROPERTY STANDARDS AND PROCUREMENT STANDARDS</b>	
20. Does the applicant entity's property management system(s) maintain the following information on property purchased with federal award funds: (1) a description of the property; (2) an identification number; (3) the source of the funding for the property, including the award number; (4) who holds title; (5) acquisition date; (6) acquisition cost; (7) federal share of acquisition cost; (8) location and condition of the property; (9) ultimate disposition information?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
21. Does the applicant entity maintain written policies and procedures for procurement transactions that -- (1) are designed to avoid unnecessary or duplicative purchases; (2) provide for an analysis of lease and purchase alternatives; and (3) set out a process for soliciting goods and services and (4) include standards of conduct the address conflicts of interest?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
22. a) Are the applicant entity's procurement policies and procedures designed to ensure that procurements are conducted in a manner that provides full and open competition to the extent practicable, and to avoid practices that restrict competition?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
22. b) Do the applicant entity's procurement policies and procedures require documentation of the history of a procurement, including the rationale for the method of procurement, selection of contract type, selection or rejection of contractors, and basis for the contract price?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
23. Does the applicant entity have written policies and procedures designed to prevent the applicant entity from entering into a procurement contract under a federal award with any entity or individual that is suspended or debarred from such contracts, including provisions for checking the "Excluded Parties List" system ( <a href="http://www.sam.gov">www.sam.gov</a> ) for suspended or debarred sub-grantees and contractors, prior to award?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
<b>TRAVEL POLICY</b>	
24. Does the applicant entity:	
(a) maintain a standard travel policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) adhere to the Federal Travel Regulation? (FTR)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No



**U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS**

OMB Number: 1121-0329  
Expiration Date: 11/30/2020

**SUBRECIPIENT MANAGEMENT AND MONITORING**

25. Does the applicant entity have written policies, procedures, and/or guidance designed to ensure that any subawards made by the applicant entity under a federal award -- (1) clearly document applicable federal requirements, (2) are appropriately monitored by the applicant, and (3) comply with the requirements in 2 CFR Part 200 (see 2 CFR 200.331)?

☐ Yes ☐ No ☐ Not Sure  
☒ N/A - Applicant does not make subawards under any OJP awards

26. Is the applicant entity aware of the differences between subawards under federal awards and procurement contracts under federal awards, including the different roles and responsibilities associated with each?

☐ Yes ☐ No ☐ Not Sure  
☒ N/A - Applicant does not make subawards under any OJP awards

27. Does the applicant entity have written policies and procedures designed to prevent the applicant entity from making a subaward under a federal award to any entity or individual who is suspended or debarred from such subawards?

☐ Yes ☐ No ☐ Not Sure  
☒ N/A - Applicant does not make subawards under any OJP awards

**DESIGNATION AS 'HIGH-RISK' BY OTHER FEDERAL AGENCIES**

28. Is the applicant entity designated "high risk" by a federal grant-making agency outside of DOJ? (High risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant.)

☐ Yes ☒ No ☐ Not Sure

If "Yes", provide the following:

(a) Name(s) of the federal awarding agency:

(b) Date(s) the agency notified the applicant entity of the "high risk" designation:

(c) Contact information for the "high risk" point of contact at the federal agency:

Name:

Phone:

Email:

(d) Reason for "high risk" status, as set out by the federal agency:

**CERTIFICATION ON BEHALF OF THE APPLICANT ENTITY**

(Must be made by the chief executive, executive director, chief financial officer, designated authorized representative ("AOR") or other official with the requisite knowledge and authority)

On behalf of the applicant entity, I certify to the U.S. Department of Justice that the information provided above is complete and correct to the best of my knowledge. I have the requisite authority and information to make this certification on behalf of the applicant entity.

Name: Michael Lalli

Date: 04/13/2020

Title: ☐ Executive Director ☐ Chief Financial Officer ☐ Chairman

☒ Other: Director of Civil Service

Phone: 518-447-5642

## Other Attachment File(s)

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\* Mandatory Other Attachment Filename:

Add Mandatory Other Attachment

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View Mandatory Other Attachment

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To add more "Other Attachment" attachments, please use the attachment buttons below.

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Growing LEAD  
Time Task Plan

Project Timeline (January 1, 2021 - December 31, 2023)			
Project Goal	Objective	Completion Date	Responsible Party
Hire Project Director	Replace the vacant position to ensure LEAD has a dedicated, full time director	End of May/Early June 2020	LEAD Policy Coordinating Group (PCG) with assistance from LEAD National Support Bureau (LNSB)
Hold Training for LEAD Signatory Members (PCG)	Reevaluate the program, ensure members are on the same page, plan for next steps	July 31, 2020	LNSB
Conduct a data study on the diversions and cases to date	Ensure LEAD is doing what is was designed to do, serving those in need without bias	December 31, 2020	PCG w/ Program Director
Identify a new municipal law enforcement agency as a pilot agency outside of the City of Albany	Begin the planning phase of expanding LEAD geographically by identifying a new partner	December 31, 2020	PCG w/ Program Director
Hire Additional Staff	Hire new positions to increase capacity including CEOC, LEAD ADA, and Case Managers	June 1, 2021	<b>CEOC</b> - Center for Law and Justice <b>LEAD ADA</b> - District Attorney <b>Case Managers</b> - Catholic Charities *all positions hired with the consideration of the PCG
Engage in enhanced community outreach	Use the CEOC to more actively engage the community	September 31, 2021	CEOC / Center for Law and Justice
Begin planning an implementing LEAD in the identified municipality	Coordinate with the new municipality to pilot LEAD within their jurisdiction	December 31, 2021	PCG w/ Program Director
Identify additional revenue sources	Ensure LEAD has continued funding, ideally through municipally budgeted sources	June 1, 2021	Program Director

Growing LEAD  
Time Task Plan

Expand data collection and conduct a more in-depth study	Expand upon the 2020 study with better data	December 31, 2021	Program Director and CEOC
Identify additional Albany County municipalities interested in LEAD	Continue expanding LEAD to new municipalities within Albany County to share the benefits to all residents	June 1, 2022	Program Director and CEOC
Investigate and possibly implement social contact referrals	Expand LEAD beyond criminal diversions to social contact referrals, helping those in need without requiring they commit a crime to receive services	June 1, 2022	Program Director
Decrease opioid abuse and recidivism (proven through long term data)	Expand upon the 2020 and 2021 study to prove a decrease in opioid abuse and recidivism with a data driven approach	December 1, 2022	Program Director and CEOC





5/11/2020

Rebecca Brown

Consulting Expert, LEAD Proof of Concept Project

Public Defender Association

by email to: [rebecca.brown@leadbureau.org](mailto:rebecca.brown@leadbureau.org)

Re: Letter of Intent regarding LEAD National Development Cohort

Dear Rebecca:

As members of the Policy Coordinating Group (or equivalent body) for the LEAD project in the city of Albany, we are writing to respond to your invitation to join the LEAD National Development Cohort.

☒ We accept this invitation, and we identify [enter name], our Project Manager, as the primary point of contact for this project. *[Note: If you do not currently have a Project Manager or are proposing another person as the primary point of contact for this project, please use the space below to explain your reasoning for this decision.]*

Contact information for Project Manager/Primary Point of Contact:

Name: Michael Lalli	Title: Director of Civil Service
Organization: Albany County	Role in LEAD: County Executive Representative
Email address: michael.lalli@albanycountyny.gov	Office phone: 518-447-5642 Cell phone
Albany LEAD is in the process of hiring a project manager. Michael Lalli can act as a point of contact for the time being to disseminate information to the group and coordinate actions between all members	

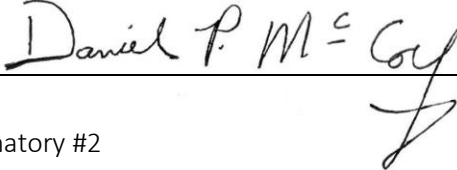
☐ We decline this invitation.

*Note: If you have decided to decline this invitation, we would be grateful if you would use this space to help us understand why you've made this decision.*

As representatives of Albany LEAD, we the undersigned endorse the information provided in this

Letter of Intent, and we look forward to executing a Memorandum of Understanding to partner with you in the LEAD National Development Cohort.

Signatory #1

Name: Daniel P. McCoy	Role in LEAD: Signatory Member
Organization: Albany County Executive's Office	Email address: County_Executive@albanycounty.com
Title: Albany County Executive	Office phone: 518-447-7040 Cell phone:
	

Signatory #2

Name: Kathy Sheehan	Role in LEAD: Signatory Member
Organization: City of Albany	Email address: mayor@albanyny.gov
Title: Mayor	Office phone: 518-434-5100 Cell phone:

Signatory #3

Name: David Soares	Role in LEAD: Signatory Member
Organization: Albany County District Attorney	Email address: AlbanyDA@albanycountyny.gov
Title: District Attorney	Office phone: 518-487-5093 Cell phone:

Signatory #4

Name: Eric Hawkins	Role in LEAD: Signatory Member
Organization: Albany Police Department	Email address: ehawkins@albanyny.gov
Title: Chief	Office phone: 518-438-4000 Cell phone:

Signatory #5

Name: Craig Apple	Role in LEAD: Signatory Member
Organization: Albany County Sheriff	Email address: Craig.Apple@albanycountyny.gov
Title: Sheriff	Office phone: 518-487-5400 Cell phone:

Signatory #6

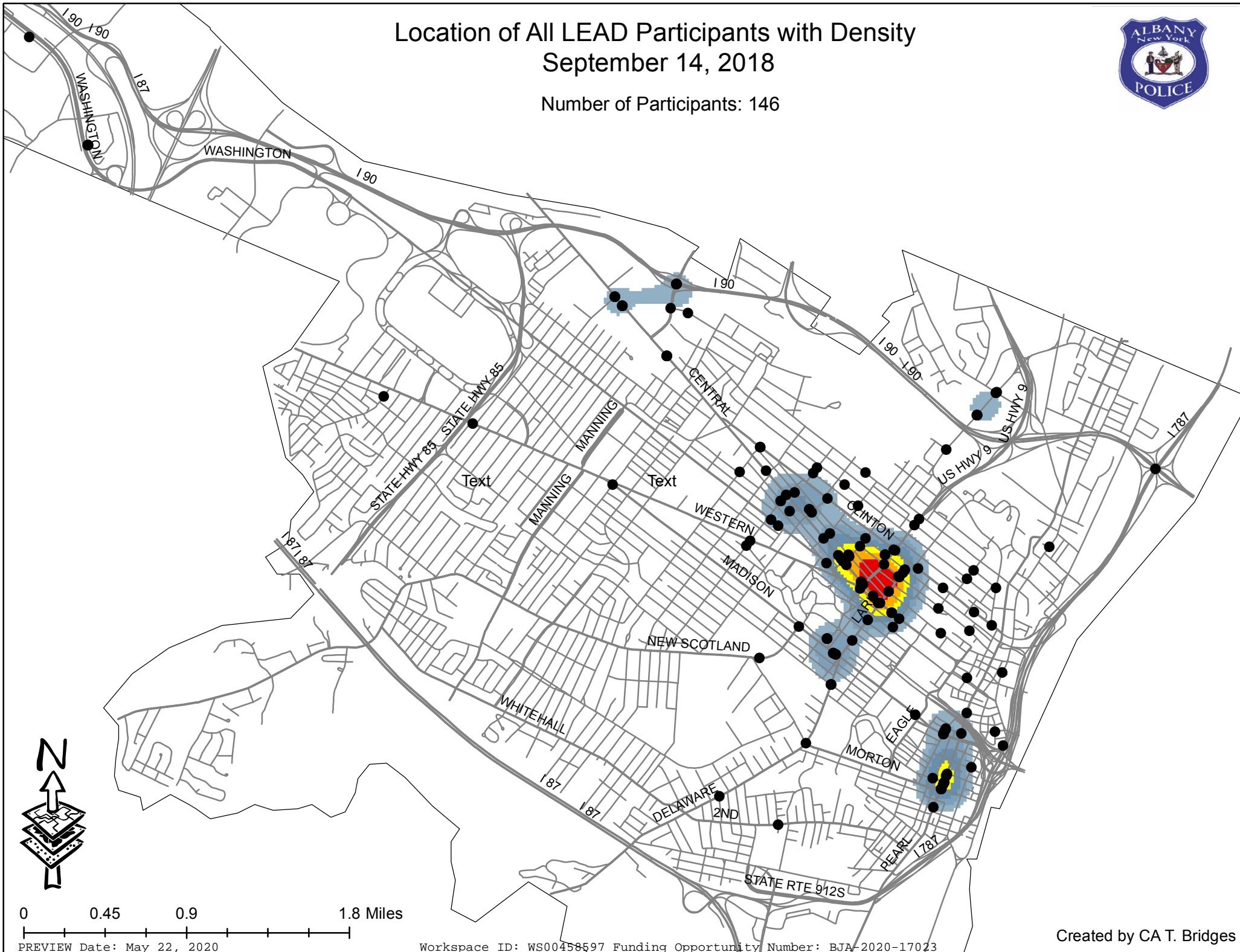
Name: Alice Green	Role in LEAD: Signatory Member
Organization: Center for Law and Justice	Email address: cflj@verizon.net
Title: Executive Director	Office phone: 518-427-8361 Cell phone:

Signatory #7

Name: Anthony Capece	Role in LEAD: Signatory Member
Organization: Central District Management Association, Inc.	Email address: anthony@centralbid.com
Title: Executive Director	Office phone: 518-462-4300 Cell phone:

# Location of All LEAD Participants with Density September 14, 2018

Number of Participants: 146



0 0.45 0.9 1.8 Miles

PREVIEW Date: May 22, 2020

Workspace ID: WS00458597 Funding Opportunity Number: BJA-2020-17023

Created by CA T. Bridges

US Census 2014-2018 Poverty Rates				
Zip Code	People in Poverty	18 Years and Younger	18 - 64	65 Years and Older
12202	35.1%	51.0%	33.1%	12.6%
12205	35.1%	51.0%	33.1%	12.6%
12206	34.6%	43.7%	34.1%	14.0%
12207	54.0%	70.2%	55.7%	40.0%

## Designated Qualified Opportunity Zones

This document was updated **December 14, 2018**, to reflect the final Qualified Opportunity Zone designations for all States.

*Please note that the below list of designated tracts is not the official list. The official list will be published in the Internal Revenue Bulletin at a later date.*

Click arrow to filter state				
State	County	Census Tract Number	Tract Type	ACS Data Source
New York	Albany	36001000200	Low-Income Community	2011-2015
New York	Albany	36001001100	Low-Income Community	2011-2015
New York	Albany	36001002100	Low-Income Community	2011-2015
New York	Albany	36001002300	Low-Income Community	2011-2015
New York	Albany	36001002500	Low-Income Community	2011-2015
New York	Albany	36001002600	Low-Income Community	2011-2015



KATHY M. SHEEHAN  
MAYOR



CITY OF ALBANY  
DEPARTMENT OF POLICE  
165 HENRY JOHNSON BOULEVARD  
ALBANY, NEW YORK 12210  
TELEPHONE (518) 462-8012



ERIC HAWKINS  
CHIEF OF POLICE

May 15, 2020

To Whom It May Concern:

On behalf of the Albany Police Department it is my pleasure to offer our support in achieving the goals outlined in the Bureau of Justice Assistance Comprehensive Opioid, Stimulant, and Substance Abuse Program grant, submitted by Albany County. The Albany Police Department recognizes the importance of taking a coordinated, public health-oriented approach in dealing with individuals with substance dependence or a co-occurring disorder where the focus is not on punishment, but rather on harm reduction, treatment, and supportive services. The proposed expansion of this successful pre-arrest diversion program will further embrace an effort to reduce the risk of overdose, reduce criminal behavior and improve overall community safety.

It is our pleasure to continue to support our partners throughout the Capital Region, as we are fully committed to protecting, promoting, and improving the health of the County of Albany residents through this partnership. The LEAD Program and its innovative public safety and public health interventions are aimed at reorienting the County's approach to substance use, mental health, and poverty-driven contact starting with law enforcement contacts. The Albany Police Department plans to continue to support the Albany LEAD Program by acting as a referral source for LEAD diversions as other law enforcement agencies throughout Albany County begin to implement diversion protocols. The Albany Police Department continues to drive a cultural change in the way law enforcement addresses individuals who are facing issues of mental illness, substance use, poverty, and/or homelessness. We will use our experiential knowledge to help guide other law enforcement partners.

The Albany Police Department, along with our community partners, is committed to expanding and overseeing a coordinated system of services for individuals in the Albany LEAD Program. It is our pleasure to support this great initiative in our community.

Sincerely,

Eric Hawkins  
Chief of Police

## Project Abstract

The Project Abstract must not exceed one page and must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. This Abstract must not include any proprietary/confidential information.

\* Please click the add attachment button to complete this entry.

Add Attachment

Delete Attachment

View Attachment

Albany LEAD Project Abstract.pdf



## **Growing LEAD: Increasing Operational Capacity to Improve and Expand Service in Albany County**

### **Albany County Executive's Office**

Albany LEAD was established in 2016 as a new harm-reduction oriented process for responding to low-level drug, alcohol and mental-illness based offenses. Law Enforcement Assisted Diversion (LEAD) gives police officers the discretion to divert these offenses out of the criminal justice system for case management. The program multi-agency partnership between the Albany County Executive, District Attorney, Sheriff, Mayor of Albany, City of Albany Police Department, Center for Law and Justice, and Central Avenue Business Improvement District with strong support from Catholic Charities and the LEAD National Support Bureau. Albany LEAD currently serves the City of Albany with a population over 97,000. Since its establishment in 2016, Albany LEAD has proven successful with over 215 diversions. 70% of these individuals had a substance abuse problem, primarily an addiction to opioids and/or crack/cocaine and 85% have been identified as having a mental health issue. As Albany LEAD continues to engrain itself more and more into the fabric of Albany's criminal justice system, demand for LEAD has increased.

Albany LEAD is looking to capitalize on its momentum by **Growing LEAD: Increasing Operational Capacity to Improve and Expand Service in Albany County**. This new effort will build upon the successful foundation that Albany LEAD has already established. Operational Capacity will be increased with the addition of case managers to grow caseload capacity by 200%, an increase of approximately 50 new clients annually. Additionally, a full time, dedicated Project Director and Community Engagement and Outreach Coordinator will be hired to improve coordination between partners and the public, increase public awareness of LEAD, and develop policies and procedures to better serve LEAD communities. Once this increased capacity is built Albany LEAD will begin its geographic expansion within Albany County, with a population over 305,000. The County Sheriff has the ability to serve the rural communities of Albany County while a number of municipal police forces have expressed interest in becoming LEAD partners. Albany County seeks the assistance of the Bureau of Justice Assistance in a funding amount of \$898,062.00 to achieve these goals. This investment into Albany LEAD will provide LEAD services to entirely new communities within Albany County and serve as a proof of concept that LEAD can operate well outside of urban cities.

## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

Add Mandatory Project Narrative File

Delete Mandatory Project Narrative File

View Mandatory Project Narrative File

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To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File

Delete Optional Project Narrative File

View Optional Project Narrative File

# **Growing LEAD: Increasing Operational Capacity to Improve and Expand Service in Albany County**

## **Project Narrative**

### **Introduction**

Albany LEAD was established in 2016 as a new harm-reduction oriented process for responding to low-level drug, alcohol, and mental illness based offenses. **Law Enforcement Assisted Diversion (LEAD)** gives police officers the discretion to divert these offenses out of the criminal justice system for case management. The program is a multi-agency partnership between the Albany County Executive, District Attorney, Sheriff, Mayor of Albany, City of Albany Police Department, Center for Law and Justice, and Central Avenue Business Improvement District with strong support from Catholic Charities and the LEAD National Support Bureau. The nature of this collaborative partnership provides a balance of public health, criminal justice, and community engagement to directly address communities disproportionately impacted by opioid abuse and crime. Albany LEAD is now looking to leverage its successful momentum through **Growing LEAD: Increasing Operational Capacity to Improve and Expand Service in Albany County.**

Since its creation, Albany LEAD has been at the forefront of criminal justice reform and using new techniques to address the growing abuse of opioids. Its collaborative partnership highlights a commitment of reform from every major criminal justice agency serving Albany. LEAD was originally met with skepticism from businesses, police officers, attorneys, and others. However, in the past four years it has become widely embraced by all partners. LEAD is no longer a trial program, but rather an integral part woven into the fabric of Albany's criminal justice system.

## Statement of the Problem

**Albany LEAD has resulted in 215 diversions to date, 125 of which are still actively receiving case management.** These diversions are helping the most vulnerable populations who have been repeat offenders in the criminal justice system. One of the main populations targeted by LEAD are repeat offenders whose crimes are drug-related or are committed to supporting an addiction. **70% of LEAD clients have a substance abuse concern,** with the most common drugs being opiates and crack/cocaine. **In the past seven years,**

**Albany County's deaths attributed to opioid abuse have increased by 129%.** Between 2010 and 2017, the crude death rate for opioid-related deaths has risen from 5 to 16.8 per 100,000 across New York State. Hospitalizations and ER visits have all skyrocketed during this time as well. One of the most telling statistics is Naloxone administrations, which totaled 347 in

### ALBANY COUNTY OPIOID DEATHS

Year	Number of Deaths
2019	62
2018	55
2017	40
2016	47
2015	39
2014	36
2013	31
2012	27

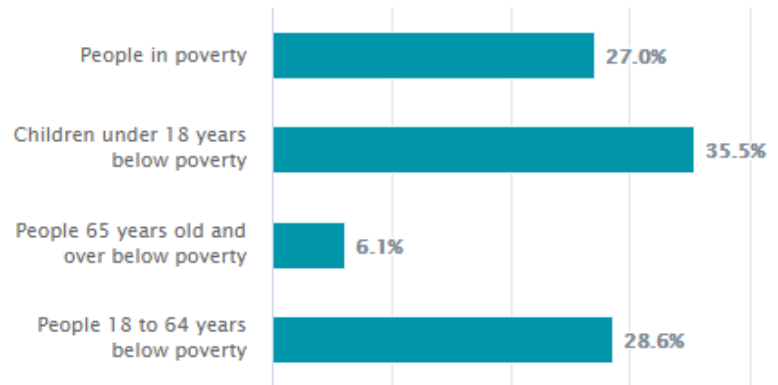
Albany County in 2018 and nearly 10,000 statewide. With Albany County's Mental Health Department and Social Services involved, LEAD clients can enroll in Medicaid/Medicare and receive immediate treatment within Albany's vast network of care providers. These numbers show that demand is climbing for programs to combat opioid abuse. While Albany County and its neighbors have increased resources and piloted new initiatives, more residents are abusing opioids than ever. **Growing LEAD's priority is to address individuals with opioid, stimulant, and substance abuse issues by providing alternatives to the criminal justice system which has proven time and time again to fail at addressing the underlying issues LEAD clients face.**

**85% of Albany LEAD clients have been diagnosed with a mental health issue, 30%** of which have serious underlying concerns such as Schizophrenia and Personality Disorders. At a time where the largest mental health facilities in New York State are its jails and prisons, Albany LEAD has proven successful in keeping individuals with mental health issues at home in their communities. The collaborative partnership between Albany County Mental Health (ACMH) and the other LEAD members ensure that all clients receive the therapy they require and that their housing, drug treatment, and employment all take into consideration their mental health needs. ACMH has a large network of contracted providers that ensure that mental health and substance abuse issues are treated, many times in the LEAD client's community. As for the physical health of LEAD clients, **40% of those diverted are non-utilizers who are not linked or engaged with a Primary Care Provider and/or don't have insurance.** 95 of these 215 individuals were successfully linked with a medical provider. The physical health of clients must always be considered in LEAD's holistic care approach, as medical conditions are typically exacerbated by drug abuse and mental health issues.

**65% of the individuals were homeless at diversion.** 85 of the 215 have been assisted in applying for stable housing and been successful in maintaining that housing. Housing is one of the most important determinants in providing stability for LEAD clients by providing one of the most basic human needs. By using case managers to navigate Albany County Social Services for emergency housing and subsequently the city's Public Housing Authority, LEAD clients are able to remove the anxiety and stigma of homelessness and focus on their recovery. The Addictions Care Center of Albany, Trinity Alliance, and several other facilities all offer inpatient treatment to ensure housing and recovery are provided in tandem for great success.

It is important to note that **six census tracts in the City of Albany qualify as Designated Qualified Opportunity Zones (QOZ)**, per the current list of designated QOZs on the U.S. Department of the Treasury’s resource webpage. Likewise, the same census tracts have an average of 27% of residents that are in poverty according to 2013 to 2018 census numbers.

Poverty Rates in Census Tract 3  
Albany, New York



Growing LEAD will provide essential services to these QOZs as a majority of diversions already occur in zip codes correlating to these census tracts (see additional attachments). These services are essential to keeping LEAD clients in their homes rather than removing them from their communities. As these zones are designed to spur economic development and job creation in distressed communities, Albany LEAD will be able to leverage the expertise of the Central Avenue Business Improvement District (BID). Since its creation in 2016, Albany LEAD has always intended to promote economic development in addition to providing criminal diversions. Business owners, at one time reluctant, have grown to appreciate LEAD for its ability to transform repeat shoplifters and panhandlers into customers.

In the past six months, Albany LEAD has experienced a number of setbacks. At the end of 2019, LEAD’s Program Director left Albany LEAD for a new job. In January of 2020, the Advisory Member of the Policy Coordinating Group (PCG) followed suit. The previous Program Director and Advisory Member were unable to secure funding for case management, a Program Director, or any other operating expenses before their departure. Albany LEAD has taken this as an opportunity to step back, reevaluate and get back into the fight with more enthusiasm than

ever before. In January of 2020, the PCG quickly organized to identify a new partner, the LEAD National Support Bureau (LNSB), which had previously worked with Albany LEAD to develop the original program in 2016. Former Albany Police Chief, Brendan Cox, returned to Albany LEAD as a National Site Advisor with LNSB, bringing with him a wealth of experience, vision, and technical support. Albany LEAD's PCG sent a cohort of its members to the LEAD National Learning Conference at the end of January. The cohort came back reinvigorated with a sense of direction. Albany LEAD continued to build upon its relationship with LNSB by joining the LEAD National Development Cohort for enhanced technical assistance as a key LEAD site.

During this time, Albany LEAD secured \$100,000 in funding from the Charles L. Touhey Foundation, a local charitable foundation that focuses on community investment. This funding has been allotted for salary and fringe for a full-time Project Director that we anticipate hiring by the end of May. Unlike past Project Directors, this position will now be administratively housed with LNSB to further strengthen the partnership between Albany LEAD and LNSB. Housing the Project Director with LNSB also provides a higher level of independence from any of the one LEAD members to ensure unbiased program management. Additionally, the position will be 100% dedicated to Albany LEAD rather than in the past when the position was tasked with many duties unrelated to the program.

Albany LEAD members have been extremely active over the past several months in an effort to not only right the ship, but chart the course into the future for LEAD. **That future involves recognizing the success of LEAD and leveraging it to increase capacity and expand geographically.** Unfortunately, the events around the turn of the year have left Albany LEAD without the funding to achieve this expansion. While the funding for a Project Director has been awarded, it will only last for a year. Additionally, with the abundance of LEAD Clients, Catholic

Charities Case Managers are becoming burdened with heavy caseloads. Catholic Charities has been a great partner and has shared the cases across various case managers who were unaffiliated with LEAD, however, they need additional dedicated staff to handle the demand of LEAD. Case Managers are the main implementers of LEAD services following a diversion.

## **Project Design and Implementation**

Albany LEAD has been a success to date, yet our growth is beginning to reach its terminal velocity. Initial funds from private grants helped Albany LEAD as a fledgling organization, but **now we need assistance in reaching the next step: increased client capacity and geographic growth.** Currently Albany LEAD provides case management for its active cases through two full-time case managers working for Catholic Charities. Each case manager currently has a load of 36 individuals. This amount is higher than we would like, however, there is no cap on cases to ensure that all individuals in need of service are accepted. In 2019, these case managers served about 150 individuals. In order to increase the supply of LEAD services to the community, case management is the vital requirement that needs to increase. We estimate that **funding two new case managers would increase our capacity by 200%.** Because the needs of the clients can be quite acute, sometimes requiring multiple, daily follow-ups, we anticipate each new case manager serving about 25 individuals.

**Since the inception of LEAD, the PCG has always envisioned expanding beyond the borders of the City of Albany.** Albany County is an extremely diverse area, with dense urban cities and sparse rural towns. Each municipality has its own difficulties with recidivism, drug abuse, and criminal justice. While the City of Albany has more concentrated areas of crime and



substance abuse, it also has more resources available for individuals in the criminal justice system. Rural areas on the other hand, lack the density, however their residents do not have access to critical infrastructures such as public transportation, local drug rehabilitation services, and accessible employment. Caseworkers will often need to travel to meet LEAD clients in their own communities, some of which are 40-minute drives from downtown Albany. Hiring additional caseworkers is essential to creating a framework for expansion.

With the County Executive, District Attorney, and Sheriff all at the table, **Albany LEAD has the framework to expand into other municipalities within the County.** Members of the Albany County Sheriff's Patrol respond to approximately 23,000 calls per service a year and make an average of 450 arrests. Between the Sheriff's New Scotland patrol station, which covers five municipalities, and Airport Station, there were 146 misdemeanor drug possession arrests in 2019, many of which would qualify for a LEAD diversion. Additionally, the Sheriff had approximately 47 petit larceny arrests, many of which would also qualify. In terms of responding directly to opioid abuse, the Sheriff's Deputies responded to 12 opioid overdoses and referred said individuals to Catholic Charities (already a LEAD partner) for follow-up services. The Sheriff provides law enforcement services to the five westernmost towns in Albany County and also provides supplemental services to many of the other towns, villages, and cities within the county. Incorporating LEAD into Sheriff served municipalities would add tens of thousands of county residents into the LEAD's service area. Additionally, it would provide more of a role to the Sheriff who already has a vested interest in new solutions to solving opioid abuse. The Sheriff's Heroin Addiction Recovery Program (SHARP) inside of the Albany County Correctional Facility offers services to individuals addicted to opioids for a unique, inpatient

treatment model inside of a jail setting. In 2019, 81 men and 41 women went through this program.

Additionally, several municipal police departments have inquired about expanding LEAD into their jurisdictions. Most recently, the Town of Colonie has expressed interest in becoming a LEAD partner. Colonie is the second-largest municipality in Albany County with 83,000 residents. The town brings its own unique problems, with the majority of its crime occurring around the commercial centers that are an attraction for the region. As the town is a commercial and residential hub within the county, it offers the opportunity to deliver LEAD services to individuals battling opioid, stimulant, and substance abuse issues that do not fall in the urban areas of the county. Piloting LEAD in Colonie or one of the more rural municipalities served by the Albany County Sheriff ensures that our program can be accessible to all county residents regardless of where they call home.

Due to the current financial climate, several municipalities have already cut budgets through personnel reductions, including one municipal police department's elimination of its police chief. To ensure that Albany LEAD can welcome new partners to the table, we are requesting additional funding for overtime costs for future participants. These funds would allow new municipal partners to ensure their deputies/police officers to participate in the OWG meetings. OWG meetings are essential as they allow officers to have much more buy-in, see the value of LEAD by learning the outcomes of their diversions, and receive more recognition for their participation with LEAD. Albany Police Department (APD) has always been vocal about the importance of attending the OWG, as many police officers were skeptical of LEAD until they used the OWG to see the positive results. APD budgets \$10,000 annually for overtime related to OWG meetings, a commitment to secure funding going into the future.

An additional essential component of expanding is the LEAD Community Engagement and Outreach Coordinator (CEOC). This position has always been identified as essential to LEAD operations, however, due to federal budget cuts, the City of Albany was unable to continue funding this position using Community Development Block Grants. The LEAD Community Engagement/Outreach Coordinator (CEOC) is expected to develop a strong, positive, and effective working relationship with the LEAD Project Manager, as well as the PCG and OWG, service providers and community members in order to promote a dynamic relational process that facilitates communication, interaction, involvement and exchanges between LEAD and the community it purports to serve for a range of organizational outcomes including criminal justice diversion, reduction of racial disparity, strong and effective case management, reduction in mass incarceration, and public safety. We are requesting funding for three years of salary and fringe to support a CEOC located in the South End of Albany, a QOZ with a high percentage of LEAD diversions.

Information about LEAD operations, policies, data collection and use, and stakeholder involvement must be openly shared in a way that protects client privacy. The CEOC must work with stakeholders to create a plan of operation to educate community residents and stakeholders about LEAD and its goals, objectives, and operations, and invite and receive input and feedback from them in a caring, open, and transparent manner. Such a plan will include instructions on how to organize a functional and representative Community Leadership Team, composed of community residents and those most directly impacted by the criminal justice system and LEAD diversion. The CEOC will work closely with and supervise additional outreach staff, volunteers, interns, and community residents to develop and execute community outreach and involvement that will keep residents informed so that they can provide steady and useful input about LEAD

and its operations. To support programs that educate and engage the community and the all-volunteer community leadership team, program supplies such as food, drinks, refreshments as well as the cost of venues for meetings, workshops, symposiums, etc. are needed by the Community Engagement outreach coordinator.

The Office of the Albany County District Attorney has played an integral part in Albany LEAD since its inception. An Assistant District Attorney (ADA) and District Attorney Investigator attend the OWG meetings while senior DA staff attend the PCG meetings. These resources have previously been offered pro bono. The recent 2020 Criminal Justice Reforms have increased workloads exponentially across the spectrum of the District Attorney Office's employees. These reforms, coupled with the prospect of Albany LEAD expanding countywide would require a full-time ADA and Investigator dedicated to operational duties for LEAD clients. These two positions will be required to interface with multiple law enforcement agencies and local courts to de-conflict and shepherd clients' cases across numerous jurisdictions. Specifically, the Assistant District Attorney involved with LEAD will continue to attend the LEAD Workgroup weekly meetings, Policy Workgroup meetings, and provide input into each LEAD client's case whenever possible. While the Case Managers assist with the physical and emotional needs of the clients, the ADA works with the Case Managers to deal with the clients pending legal cases - either the LEAD offense itself or other outstanding charges and warrants that the LEAD client has pending countywide. The ADA inputs into the LEAD clients' cases by interfacing with other ADA colleagues in the office in an effort to bring the LEAD client into compliance with warrants, appearances, and all outstanding matters. This coordination aims to strategize the entire legal situation of the LEAD client to result in a successful outcome that will

take the defendant out of the Criminal Justice System now that the client is getting the community support they need to live independent, law-abiding lives.

A final key component in the LEAD program is the Program Director. As stated before, this is a vital position that ensures that Growing LEAD is a success. While funding has been secured through the middle of 2021, we need to ensure that the position remains funded for years to come until additional sources of revenue can be identified. The Touhey Foundation is covering the salary and fringe of this position from June 2020 to May 2021. Albany LEAD requests that the remainder of 2021, 50% of the position, is covered through the COSSAP grant. The Albany County Executive has agreed to cover 50% of the salary and fringe for this position, about \$50,000 annually, for subsequent years. Until other funds can be identified, Albany LEAD is requesting the remaining half of salary and fringe in years two and three of this grant. The Project Director would provide day to day maintenance and troubleshooting of LEAD as designed, implemented and in coordination with the PCG. They would also facilitate the biweekly OWG with key operational partners in LEAD, leading discussions on referral criteria, program capacity and compliance with the LEAD protocol, and to focusing the attention of LEAD program staff and law enforcement in particular areas viewed with concern by neighborhood representatives. Furthermore, the Program Director would identify, write and submit grants, lead project implementation in new county jurisdictions, work with the CEOC to ensure public communication, and conduct other duties as assigned by the PCG.

## Capabilities and Competencies

While increasing capacity and expanding geographically are **Growing LEAD's** immediate goals, Albany LEAD views these steps as a means to secure a sustainable long term future of providing LEAD services. In March of 2020 the first step to that stabilization was made by securing funding for the new, dedicated Project Director. Rather than relying on the former advisory member for sharing one of their staff, this new Project Director will be fully dedicated to Albany LEAD. The Project Director will also be a source of funding as their duties will now include grant writing for Albany LEAD. In the past, the PCG was reliant on the Project Director for charting the path in terms of policy and programming. Now, with realizing the mistakes of the past, the PCG has realized that they must chart Albany LEAD's course themselves using the Program Director as a tool to achieve that goal. The Program Director will be able to provide much-needed coordination between partners, provide research on policy issues, and administer programmatic requirements.

To accomplish the goals above, Albany LEAD has identified the following **objectives and targets** for its Growing LEAD project:

- Reduce opioid deaths, hospitalizations, and Naloxone administration within the Albany LEAD service area
- Increase the number of LEAD clients through more diversions and increased case managers
- Reduce criminal justice costs to LEAD participants
- Increase employment for LEAD clients
- Utilize the CEOC to increase communication between law enforcement entities and the communities they serve
- Expand to new service areas

To accomplish the above targets, several short and long term goals have been identified:

**Short Term (Next 6 Months)**

- Hire a Program Director
- Hold training for all LEAD signatory members organized by LSNB
- Conduct a data study on the diversions and cases to date
- Identify a new municipal law enforcement agency as a pilot agency outside of the City of Albany

**Intermediate (2021-2022)**

- Hire additional staff (CEOC, LEAD ADA, Case Managers)
- Engage in enhanced community outreach
- Begin planning an implementing LEAD in the identified municipality
- Identify additional revenue sources
- Expand data collection and conduct a more in-depth study

**Long Term (2022 and on)**

- Identify and additional Albany County municipalities interested in LEAD
- Investigate and possibly implement social contact referrals
- Decrease opioid abuse and recidivism (proven through long term data)

Albany LEAD has learned the hard way that it cannot rely on outside funding for essential items such as its Program Director, case management, or Community Engagement and Outreach Coordinator. Going forward, several of the PCG members have committed to directly funding these essential items in addition to the expenses they already incur for supporting LEAD. APD has committed to the sustainment of LEAD through annual budgeted funds for overtime expenses relating to LEAD, specifically the OWG. Additionally, the Albany County Executive has committed 50% of the Program Director's salary and fringe. Rather than a one-shot injection of funds, this funding would be budgeted into the County's annual budget ensuring a sustainable stream of support. As the Program Director is arguably the most important position within Albany LEAD, this is a great step forward in securing the future success of LEAD. Other signatory members are looking into long-term funding as well. Additionally, the Program Director will be pivotal in leveraging new funds through grant opportunities. Since Albany

LEAD is a partnership between multiple agencies with multiple other roles, we have lacked the capacity to identify and apply for many grant opportunities. A dedicated Program Director will rectify this problem as their entire mission will be focused on the success of LEAD.

Financial considerations are not the only important measure of sustainability. To ensure the programmatic sustainability of Albany LEAD, we need to increase our quantitative and qualitative evaluation of Albany LEAD to date. Through Albany Police Department's connection to the Capital Region Crime Analysis Center (CRCAC), Albany LEAD has been able to track diversions by race, gender, and location. Separately, we have tracked the psychosocial driver for the diversion as well as the reasons for not diverting individuals, which has proven very important in identifying any programmatic or personal bias in the process.

## **Data Collection**

Albany LEAD is committed to a data-driven approach to measuring success. The Program Director will be pivotal in the collection and analysis of all data surrounding Growing LEAD. Albany LEAD collects a wide series of data ranging from diversions to successful housing placements. Unfortunately, many of our departments operate in silos. A dedicated Program Director will focus on increasing communication between PCG members to ensure that the data is viewed as a whole rather than individually. The CEOC will also be pivotal in data collection, specifically the qualitative data. Since losing the Community Development Block Grant, and subsequently the CEOC, communication is mostly one way between Albany LEAD and the communities it serves. The CEOC will open up communication by soliciting a view of LEAD from community members. Often, we have seen numbers tell different stories than people, and



we want to make sure that people's opinions about LEAD are being factored into policy decisions.

As mentioned previously, Albany LEAD has a close relationship with the CRCAC for data analytics. The CRCAC is staffed with crime analysts along with sworn members of the Albany Police Department, Albany County Sheriff's Office, Albany County Probation Department, and the New York State Police. The Center provides real-time analysis, criminal intelligence and other relevant information to enhance the capacity of law enforcement within the Capital District to reduce Part I Crime within their respective communities and provide technical assistance in data collection and analysis. Intelligence-based policing efforts under the Gun Involved Violence Elimination (GIVE) initiative are funded through the New York State Department of Criminal Justice Services, which has been nationally recognized for using technology to enhance public safety.

Additionally, Albany LEAD has worked with the Finn Institute and the State University of New York, Albany for combined quantitative and qualitative analysis. The most important part of these studies are the resulting policy implications. As Albany LEAD is committed to evolving with the growth of LEAD, we realize that while our intent is correct the outcome may be skewed. In 2018 the LEAD PCG was made aware that it was disproportionately diverting whites over people of color. This was less about officer discretion than it was the framework of LEAD, with diversion criteria being biased against people of color. By using data collection and analyzation, Albany LEAD was able to expand the diversion criteria to be more equitable for diversions. Going into the future, Albany LEAD is committed to using data to ensure that it is providing the best services possible to LEAD clients.