



**2023/24 New York State Executive Law Article 13-A
Classification/Alternatives to Incarceration (ATI) Service Plan Application for Funding**

DCJS will send the Article 13-A Classification/Alternatives to Incarceration (ATI) Service Plan Application, (herein after “application”) for funding to the Chief Elected Official in each jurisdiction. The **completed** application should be approved by the chief elected official in each county/City of New York and submitted to DCJS as instructed in the award notice. *Please see the award notice and Instruction Sheet for additional DCJS GMS instructions and information regarding the contract development process.*

Article 13-A Classification/Alternatives to Incarceration (ATI) Application General Information:

DCJS funds Alternatives to Incarceration programs serving Criminal and Supreme Courts. The programs offer a range of services that include defendant interviews, pretrial services, referrals and monitoring, program screening and assessment, case planning, cognitive-based interventions, gender-specific services, substance use disorder and mental health treatment, family-focused programming, vocational training, employment-readiness training and job-placement, educational programming and interventions, and access to medical and housing services. Programs may deliver these services directly or through referral to an established network of community-based providers.

With the passage of Bail Reform in New York State, there may be a need for localities to expand pretrial services. Funds may be used to support pretrial monitoring/supervision, and the referral of clients to court ordered services. Localities are asked to consider the justice-involved population to determine common trends that may impact the community (e.g., opioid drug related crimes). This information can be used to inform the types and nature of programming to be included in the county application. The Criminal Justice Advisory Board, Criminal Justice Coordinating Council, or Committee may be helpful in this analysis as the various agencies comprising the criminal justice system have representatives who are well-informed.

Contract Term: The contract term is for 12 months beginning July 1, 2023, to June 30, 2024.

Availability of Funds: DCJS funding provided to localities through NYS Executive Law Article 13-A Classification/Alternatives to Incarceration (ATI) is contingent upon the approval by the NYS Division of Budget and execution of the grant contract by the NYS Office of the State Comptroller.

Program Model options include, but are not limited to:

Pretrial Services, when authorized or requested by the court, will interview individuals for conditions of release; review criminal history warrants, domestic violence history, weapons restrictions, and advise the Court. Additionally, pretrial services agencies will, when authorized or requested by the court, monitor or supervise individuals, and refer clients to court ordered services. When requested by the Office of Court Administration, pretrial services agencies will also notify defendants to return for all court appearances.

Defender-Based Advocacy Services (DBA) screen and identify individuals appropriate for community-based alternatives to incarceration programs. Programs are required to prepare written Client

Specific Plans for individuals before the court that identify appropriate community-based services that will reduce (or in some cases eliminate) sentences to incarceration and reduce reoffending. DBA Service Programs refer clients to evidence-based services in the community and may provide monitoring/case-management services.

Community Service programs provide courts with community-based alternative sentencing. Community Service programs screen and identify individuals appropriate for community service. Community Service programs may refer clients to community-based service organizations or directly oversee clients performing community service. Programs work to ensure that individuals ordered by the court to complete the prescribed hours of community service do so and may be required to report the completion of community service to the court.

Treatment Accountability for Safer Communities (TASC) Model Programs screen, assess, and refer individuals with substance use disorder and/or mental illness for further evaluation and treatment. TASC model programs monitor the progress of individuals in treatment and report back to the court. TASC model programs may also provide cognitive-behavioral and/or employment-readiness training and job placement services.

Other Alternatives to Incarceration (ATI) Programs that use evidence-based services target individuals appropriate for community-based services with the goal of reducing unnecessary reliance on incarceration and reducing re-offending. These programs may refer individuals to community-based services or provide direct services, including residential. They may also provide monitoring and/or case-management services and report back to the court on client progress. Programs may provide gender specific services or services to individuals with behavioral health needs, developmental disabilities, individuals convicted of a sex offense, and other criminal justice involved populations.

Please refer to <http://www.criminaljustice.ny.gov/opca/standards.htm> for ATI program standards.

Depending on the type of program, the following are guidelines for program operation:

Screening, Assessment and Intake: TASC, DBA, and Other Alternatives to Incarceration (ATI) Programs that use evidence-based services must use an actuarial validated risk and needs assessment; Community Service programs will use an actuarial validated risk and needs assessment where applicable.

ATI Programs should use risk and needs assessments, where applicable, to identify criminogenic needs and inform case planning, including the development of specific short and long-term goals, and community supervision plans. DCJS supports the use of NYCOMPAS, an actuarial validated risk and needs instrument. ATI Programs shall develop and maintain written eligibility criteria and implement detailed, comprehensive screening and assessment protocols that will facilitate referrals to appropriate services for clients.

Program Procedures and Services: The program shall develop and implement written protocols and procedures for delivering services. The procedures *may* include, but are not limited to the following areas:

- Some program models use a validated risk/need instruments that identify criminogenic factors to be addressed in the case plan. This protocol shall include a process for periodic review and re-assessment.
- Screening, monitoring and referral protocols (e.g., substance abuse, mental health, medical, entitlements, housing, employment, vocational and educational services, etc.) and follow up.
- Use of evidence-based practices and cognitive interventions, including the incorporation of risk, needs and responsivity principles.
- Mechanisms for regular reporting to the court on participant's program compliance and the prompt reporting of non-compliant behaviors.

- A written protocol for the use of incentives and rewards that recognize individual progress and achievement and graduated responses to address non-compliant behaviors.
- Discharge planning (if applicable).

Liaison/Court Staff: The program may maintain a presence in and/or staff the courts in the counties they serve. Program staff assigned to the court may:

- Screen potential participants, when authorized or requested by the court.
- Advocate for program services.
- Report to the court on participant’s progress in program and compliance with court order(s) and conditions (if applicable).

Court Screening and Collaboration with Criminal Justice Agencies: The program will work with criminal justice agencies that may include: the court, prosecutors, defense counsel, police, probation and community-based agencies (housing, social services, treatment agencies, etc.) to facilitate participant identification, screening, assessment and enrollment in community-based services.

Personnel and Staff Development: The program will employ and retain qualified personnel. Programs will ensure that personnel are trained and continue to receive in-service training consistent with accepted evidence-based principles. Each funded program must complete the Inventory of Program Staff trained in Key Evidence-Based Practices table.

Training: OPCA Training in Evidence-Based Practices: ATI programs will be notified of available DCJS provided training; however, programs should not rely solely on training provided by DCJS. Funded programs will be prioritized to participate in DCJS training, subject to availability, in the following areas: NYCOMPAS Risk and Needs Assessment; Thinking for a Change (T4C); Motivational Interviewing; Women’s Risk Needs Assessment (WRNA); Interactive Journaling; and Workforce Development Specialist (WDS) Training, among others. Many of these training curricula can be completed in a virtual and remote environment. For information regarding these trainings please see Appendix: DCJS Office of Probation and Correctional Alternatives (OPCA) Training in Evidence-Based Practices.

Administration: The program is to maintain appropriate facilities for the population being served and have a system to track and monitor participant progress and service delivery.

Criminal Justice Advisory Board/Local Planning Group – (Please complete once for the county)

It is recommended that localities utilize a Local Planning Group or Team when developing the ATI application for funding. Existing Criminal Justice Advisory Boards or Criminal Justice Coordinating Councils may also be utilized.

Was there a Local Planning Group or Team utilized when developing the ATI application for funding?

Yes **No -will be scheduled upon contract approval**

NAME

AFILLIATION

William Connors

Albany County Probation

Stephen Herrick

Albany County Public Defender

Michael OConnor

Albany County Probation

Mary Sill

Albany County Public Defender

Kim Pelletier

Albany County Probation

Matthew Calderwood

Albany County Probation

Joseph Bonarrigo

Albany County Executive Office

Section II

Please fully Complete the Program Contact Information Sheet below along with the following additional required items for each program proposed (multiple copies of the program contact information sheet and sections a-f will need to be made if your county funds more than one program with Article 13-A money):

- a. Current Year's Progress form
- b. Program Funding ID form
- c. Program Staff form
- d. Table of Organization
- e. Actuarial Risk/Needs Assessment
- f. Inventory of Program Staff trained in Key Evidence-Based Practices

Program Contact Information Sheet

LEGAL NAME OF PROGRAM	Albany County Pre Trial ROR/RUS			ACRONYM	ATI/ROR/RUS
PROGRAM DIRECTOR	Mathew Calderwood			TITLE	Probation Supervisor
PROGRAM ADDRESS	60 South Pearl Street				
CITY, STATE	Albany			ZIP CODE	12207
PHONE	518-487-5200	FAX	518-487-5204	EMAIL	matthew.calderwood@albanycountyny.gov

LEGAL NAME OF MANAGING/SUPERVISING AGENCY	Albany County Probation Department				
AGENCY HEAD	William Connors			TITLE	Probation Director
ADDRESS	60 South Pearl Street				
CITY, STATE	Albany, New York			ZIP CODE	12207
PHONE	518-487-5200	FAX	518-487-5204	EMAIL	william.connors@albanycountyny.gov

FISCAL REPORTING PERSON	Elizabeth Knapp, Budget Officer				
ADDRESS	60 South Pearl Street				
CITY, STATE	Albany, New York			ZIP CODE	12207

PHONE	518-487-5200	FAX	518-487-5204	EMAIL	elizabeth.knapp@albanycountyny.gov
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PERSON PREPARING QUARTERLY REPORTS	Matthew Calderwood				
ADDRESS	60 South Pearl Street				
CITY, STATE	Albany, New York			ZIP CODE	12207
PHONE	518-487-5200	FAX	518-487-5204	EMAIL	matthew.calderwood@albanycountyny.gov

(Please add Contact Information Sheets as needed)

Program Contact Information Sheet

LEGAL NAME OF PROGRAM	Albany County Defender Based Advocacy			ACRONYM	DBA
PROGRAM DIRECTOR	Stephen W. Herrick			TITLE	Public Defender
PROGRAM ADDRESS	112 State Street				
CITY, STATE	Albany, NY			ZIP CODE	12207
PHONE	518-447-7153	FAX	518-447-5533	EMAIL	stephen.herrick@albanycountyny.gov
LEGAL NAME OF MANAGING/SUPERVISING AGENCY	Albany County Public Defender				
AGENCY HEAD	Stephen W. Herrick			TITLE	Public Defender
ADDRESS	112 State Street				
CITY, STATE	Albany, NY			ZIP CODE	12207
PHONE	518-447-7153	FAX	518-447-5533	EMAIL	stephen.herrick@albanycountyny.gov
FISCAL REPORTING PERSON	Mary Sill				
ADDRESS	112 State Street				
CITY, STATE	Albany, NY			ZIP CODE	12207
PHONE	518-487-5338	FAX	518-447-5533	EMAIL	mary.sill@albanycountyny.gov

PERSON PREPARING QUARTERLY REPORTS		Mary Sill			
ADDRESS	112 State Street				
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PHONE	518-487-5338	FAX	518-447-5533	EMAIL	mary.sill@albanycountyny.gov

(a) Current Year’s Progress Form

1. Provide a complete and detailed description of your program, the **population served**, and the **services provided**. Include a description of the program’s impact within the local criminal justice system.

Albany County Probation provides Pre Trial Services to the Courts of Albany County. Courts depend on this quality service provided to defendants who are released after having been arraigned. Probation staff also interview eligible persons at Albany County Jail post arraignment and Albany City Court Pre Arraignment. We are using a validated risk instrument. Prepared reports are sent to Courts. Under Bail Reform Courts are utilizing GPS monitoring at a high rate.

The Albany County Public Defender provides defender based advocacy to clients it serves.

2. Provide current contract milestone(s) and outcome target numbers and compare to the actual numbers achieved during the contract period to date (for each program funded) in (please refer to your 2022-2023 Appendix B1):

Performance Milestones (Matches name on Appendix B1)	Annual Milestone Target #'s (2022-23 Term)	Year to Date Achievements
<i>404 monitor/supervise</i>	<i>404</i>	<i>573</i>
<i>112 DBA Plans Prepared</i>	<i>112</i>	<i>58</i>
<i>104 DBA Plans Accepted</i>	<i>104</i>	<i>54</i>

3. Describe any programmatic barriers the program has faced. or N/A

If the program is continuing and it has experienced barriers to providing services, please describe an action plan to address any barriers identified. or N/A

4. If new programming or a modified program model is being applied for, please describe the program, the need for this program, and how the program will be implemented. **Albany County Probation has obtained a validated RISK instrument. In 2022 correspondence was sent to every Court and Judge in the County indicating we would begin using the risk instrument on eligible defendants and would send reports with**

interviews to the Court. The instrument is also used on direct referrals being released to the Probation Department. Probation ATI will begin the use Brief Intervention Tools (BITS) on select cases.

*Proposed program milestones and targets for new programs need to be submitted with this application in the form of an Appendix B1.

(b) Program Funding Identification (ID) Form

A program funding identification form must be completed for **each program** and must reflect all funds expected to be spent to support this program for the proposed contract year.

All sources of funding for this program must be reported, including the one percent statutory fee taken from bail funds.

This itemization must accompany the budget worksheets and budget summary.

	AMOUNT OF FUNDS
DCJS Funds	49,037.00
Other State Funds (specify source)	
Federal Funds	
County Funds	581,760.
Other Funds (specify sources)	

Total Program Budget (include all sources)	630,797

(c) Program Staff Form (positions that are supported with monies from Article 13-A Classification funds either in full or partially).

Staff Position	Incumbent	Salary Budgeted	Actual Salary	Contract FTE	Fill Date (Date began working in the program)	Quals. Met (Meets all requirements for the position Y/N)
Senior PO	Kim Pelletier	65,446.	65,446.	full		yes
Probation Officer	Mary Starr	59,963.	59,963.	full		yes
Probation Officer	John Autrey	53,587.	53,587.	full		yes
Probation Assistant	Michelle Driscoll	49,987.	49,987.	full		yes
Attorney	Avery Sullivan	90,940.	90,940.	full		yes
Attorney	Edmond Schupp	104,171.	104,171.	full		yes
Attorney	Jonathan Moberg	78,833.	78,833.	full		yes
Attorney	Kelly Vidur	78,833.	78,833.	full		yes
TOTALS						
		581,176.	581,760.			

This signature will certify that the person(s) listed above are current employees of the program and that the incumbent(s) are qualified and satisfy minimum county requirements for each staff position presented in this document. *Electronic signatures are accepted.* If not available, document can be signed and scanned.



 Signature

2.24.2023

 Date

(d) Table of Organization

Please attach a Table of Organization that describes how this funded project fits within the overall county criminal justice system. **See attached Probation**

Public Defender

xx-DBA provided by Attorneys under the Public Defender.

(e) Actuarial Validated RISK/NEEDS Assessment

Where appropriate, programs should be using validated risk and need instruments that identify the criminogenic needs that inform effective case planning and supervision/case management. Numerous principles of best practice in community corrections (risk, needs and responsivity) are contingent upon obtaining timely, relevant measures of an individual's risk of recidivism and criminogenic needs. Assessing individuals' risk and needs is achieved when using a validated instrument for the effective supervision and treatment of individuals. Assessments are most reliable and valid when staff are formally trained to administer the tool(s). Screening and assessment tools that focus on dynamic and static risk factors, profile criminogenic needs, and have been validated on similar populations are preferred. (Andrews, et al, 1990; Andrews & Bonta, 1998; Gendreau, et al, 1996; Kropp, et al, 1995; Meehl, 1995; Clements, 1996)

Please answer the following questions regarding the program's use of Actuarial Validated Risk and Needs Assessment Tools.

1. If the program requires, when and how is the Risk and Needs Assessment tool used to assess program population(s)? Please enter N/A if not applicable. **The Risk and Needs Assessment is being used to interview eligible defendants at Pre Arraignment in Albany City Court and post arraignment at Albany County Jail. It is also being used on all Court ordered direct referrals.**
2. What specialized screens or assessment tools are being used and for which populations? (e.g., sex offenses, domestic violence, mental health, substance abuse) N/A. Please enter N/A if not applicable. **No specialized risk instruments other than a validated RAI are being used at this time.**

Please provide a description of how specialized screens or assessments are used. **No specialized risk instruments other than a validated RAI are being used at this time.**

(f). Inventory of Program Staff trained in Key Evidence-Based Practices (EBP)

Please provide below the names of program staff, supported with Article 13-A funds, currently trained in the EBP listed.

Program staff name:	Validated Actuarial Risk and Needs Assessment Tool <u>Provide name of tool here:</u>	Motivational Interviewing	Cognitive Based Intervention (e.g., Interactive Journaling; T4C) <u>Provide name of curriculum here:</u>	Workforce Development Specialist (WDS)	Other Evidence-Based Practices <u>Provide name here:</u>
Michelle Driscoll	Niagara County RAI	yes	Brief Intervention Tools(BITS)	yes	Career U

Kim Pelletier	Niagara County RAI	yes	Brief Intervention Tools(BITS)	yes	Career U
Mary Starr	Niagara County RAI		Brief Intervention Tools(BITS)		
John Autrey	Niagara County RAI		Brief Intervention Tools(BITS)		



**Division of Criminal
Justice Services**

Appendix: OPCA Training in Evidence-Based Practices

Training Costs - Limited trainings may be offered by DCJS and many of these training curricula have been converted in order to be able to be completed in a virtual and remote environment. Programs are encouraged to include funding in their budgets for staff to attend trainings, as needed.

COMPAS Training - ATI programs will continue to be invited to apply for access and use of the COMPAS, with the *exception* of pretrial services agencies which have their own requirements in CPL 510.45 3 (a) and (b i, ii). Access and training will be provided by DCJS at **no cost** to the ATI program.

NIC Workforce Development Specialist (WDS) Training – DCJS presents the Workforce Development Specialists (WDS) training as part of an In-State Partnership with NIC. Through this three-week training program, individuals are specially trained to facilitate job readiness groups (Ready, Set, Work!) for persons with a criminal history, both in facilities and after release. For those under supervision, these groups can provide supervision contacts and can also greatly increase the job-readiness skills and sustained employment of unemployed individuals. Those in facilities who are able to participate in Ready, Set Work! before release are better prepared to go to work once they are back in the community.

NIC Thinking for a Change Facilitator Training (T4C) – This 32-hour training experience prepares participants to deliver the Thinking for a Change program.

Motivational Interviewing training (MI) - Motivational Interviewing (MI) is a person-centered approach that seeks to bring about change through the reduction of ambivalence and resistance to efforts that promote such change. The course will outline the theory underlying the philosophical tenets of motivational interviewing and provide methods and techniques for its implementation. Participants will also have an opportunity to practice the skills learned during the training.

Women’s Risk Needs Assessment (WRNA) training – Administered over the course of three days, this training will provide participants with the skills and knowledge required to effectively administer and interpret the results of the Women’s Risk Needs Assessment (WRNA) instrument that will soon be available via the COMPAS suite of the Integrated Justice Portal. Participants will be trained to properly administer the various components of the WRNA assessment process including performing a case file review, the interview and written survey components, and how to properly assemble a case-management treatment plan that provides or makes referrals to appropriate services.

Interactive Journaling (IJ) - an evidence-based program designed to promote lasting behavioral change in the criminal justice population. The design of this program provides structure to the service delivery process, while building and enhancing rapport. The two-day Facilitator Training will include an introduction to The Courage to Change model, the research that supports the efficacy of the program, along with opportunities to practice the facilitation and delivery of the curriculum.