

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	The Office of Aging and People with Disabilities
Program:	Design (APS)
Policy Package Title:	Community Abuse Determination Project
Policy Package Number:	POP 102
Related Legislation:	HB2175 (2009), HB2442 (2009), HB4084(2012), HB151 (2014)

Summary Statement:

Significant legislative changes to increase safety of vulnerable Oregonians served by ODHS Aging & People with Disabilities (APD) have been signed into law over the last ten years. In addition, internal audits and a DOJ memo outlined draft recommendations for ODHS/APD procedural due process for persons substantiated in abuse investigations. DOJ and Internal Audits have highlighted critical weaknesses in APD’s safety and protection system for Oregon’s ever-growing vulnerable populations of older adults and adults with physical disabilities.

The investment of the resources necessary for APD to respond to these changes has not occurred. As a result, APD is currently not in compliance with multiple statutory requirements, DOJ and audit recommendations related to safety; and are not providing statutorily mandated levels of oversight to APS Specialists.

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	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$2,549,127	\$0	\$0	\$2,549,127	12	10.56

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

Significant legislative changes intended to increase safety of the vulnerable Oregonians served by the Aging & People with Disabilities (APD) program have been signed into law over the last ten years, including HB 2175, HB 2442, HB 4084, and HB 4151. Internal audits have also highlighted critical weaknesses in APD’s safety and protection system for Oregon’s ever-growing vulnerable populations of older adults and adults with physical disabilities.

Unfortunately, the investment of the resources necessary to build the infrastructure required to address these changes has not occurred. As a result, the Department and APD are currently not in compliance with multiple statutory requirements and audit recommendations related to safety; are not keeping up with the rate of growth in protected populations; and are not providing statutorily mandated levels of training and oversight to a growing cohort of abuse investigators and protective service workers.

This gap has been recognized by many observers, including the Adult Safety Protection Team convened in 2011 by the former ODHS Director, which contracted with national experts who determined the APD’s central support services for APS were critically under-staffed and therefore unable to provide essential oversight services and technical assistance to workers serving vulnerable adults.

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Specifically, this POP will provide staffing to partially meet the requirements of the following statutes and audit recommendations that affect the APD program.

HB 2175 and HB 2442 (2009 Session)

House Bills 2175 and 2442 created new authority, requirements, and expectations for the Department's use of abuse history. Among other things, HB 2175 provided clear statutory authority for the Department to consider a person's abuse history when conducting a determination of their fitness for employment. HB 2442, among other things, required that the Department – when it has a record of substantiated abuse committed by an employee of a home health agency, in-home care agency, adult foster home, or residential facility – notify the employer and the employee or potential employee of the substantiation, in writing.

Full implementation of these laws would have required APD to develop new infrastructure for the notification of substantiated perpetrators of findings and the provision of due process to perpetrators prior to the required sharing of their abuse information. Unfortunately, the resources necessary to complete the work required to comply with HB 2175 and 2442 were not allocated at passage, leaving the Department unable, to the present day, to complete the work required by law.

HB 4084 (2012 Session)

House Bill 4084 created new requirements and expectations for the investigation of abuse of vulnerable adults served by APD, including increased reporting to legislative groups studying elder abuse and the development of new training and continuing education curricula for persons who investigate reported abuse of older adults and adults with physical disabilities. Required areas of additional training included risk assessment, investigatory techniques, evidence gathering and report writing.

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Full implementation of this law would have required additional investment in training and development resources, but unfortunately, the resources necessary to complete the work required to comply fully with HB 4084 were not allocated at passage, leaving the Department unable to fully complete the work required by law.

HB 4151 (2014 Session)

House Bill 4151 created additional new requirements and expectations for the investigation of abuse of vulnerable adults served by APD. Among other things it called for the creation of a statewide database of reports of abuse and required the Department to work toward standardization of procedures and protocols for receiving reports of abuse and investigating them. It also set new statutory timeframes for the completion of APD investigation reports.

The (2014) estimate for APD was a minimum requirement of 8 FTE to complete the work necessary to comply with HB 4151. Unfortunately, one position was provided at the passage of HB 4151, leaving APD unable to complete the work required by law.

ODHS Internal Audit #12-013

Thousands of cases of substantiated abuse every year are not currently considered by the Department when determining an applicant's fitness for employment as a care provider. This is largely due to a lack of notification to substantiated perpetrators in APD's community APS cases, and the lack of opportunities for perpetrators to appeal substantiations before they are used in fitness determinations.

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For this reason, ODHS’s Internal Audit #12-013 report dated April 7, 2014, recommended that APD notify substantiated perpetrators in Community APS cases formally of a substantiation and provide an opportunity to contest the finding. Doing so would remove the barrier to considering that abuse history in fitness determinations and sharing it with others as required by law.

To meet this requirement, APD needs additional staff to review an estimated 2,300 substantiated abuse allegations from the estimated 10,250 APD community APS cases annually, excluding self-neglect. These cases are not currently reviewed by APD central office staff, therefore there are no notification and administrative review opportunities to perpetrators. An estimated 1,500 substantiated Community APS abuse investigations completed annually, are considered “Potentially Disqualifying” by the ODHS/OHA Background Check Unit when conducting employment and provider screening.

To date, no additional staff have been allocated for this work, and it remains undone.

DOJ Memo August 2016

In August of 2016, DOJ issued an internal memo with draft recommendations for improving ODHS procedural due process for persons substantiated in abuse investigations. The memo outlined (5) key areas that impact APD:

- Ensuring that APS rules clearly reflect the proper standard of proof, and investigators are trained on applying it properly.
- Ensuring that substantial, documented efforts are made to interview the alleged perpetrator.
- Providing adequate and timely notification of substantiations to alleged perpetrators and offering opportunities to request administrative review.

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- Delaying the use of substantiations in licensing or employment decisions until notice was provided and any review process was completed; and
- In the interim, allowing collateral attack of abuse substantiations in contested case hearings for SOQ sanctions if separate notice and review has not been provided initially for the underlying abuse finding.

From February to May 2017, a ODHS cross-program workgroup met and developed a generic model for ensuring procedural due process to persons substantiated in ODHS adult abuse investigations, including Aging & People with Disabilities (APD), Office of Developmental Disabilities Services (ODDS) and the Office of Training, Investigations & Safety (OTIS). APD the only program unable to implement this procedural model to-date.

Growth in Vulnerable Populations – and APD Program Staff that Serve Them

The demographic growth in populations considered ‘at-risk’ in statute is well-known, especially in the case of older adults eligible for protection by APD programs. In 2019, local APS offices received a total of 50,832 calls. APS Specialists are on trend to complete more than 10,000 investigations covering over 12,700 allegations of abuse in private homes and unregulated settings in 2019. In addition, they completed 35,000 intakes that did not result in formal investigations in private homes and unregulated settings in 2019.

2. What would this policy package buy and how and when would it be implemented?

This POP addresses a critical lack of compliance and capacity that will serve APS by:

- Providing the level of review and oversight of APD-related abuse screenings and investigations statewide that is required by statute but not occurring today.

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- Ensuring that the Department's and APD's response to abuse is consistent and standardized as required by statute, rather than subject to wide variations across programs and populations as it is currently.
- Providing consistent, transparent, and legally sufficient due process to Oregonians substantiated for abuse by APD, as required by statute but not provided today, to ensure that APD-related abuse history can be considered when the Department determines fitness for employment.
- Developing policy and protocols to ensure that APD-related abuse information is used and shared as required by statute within the Department and with state partners, providers, and the public.
- Providing advanced training needed to ensure that program staff conduct objective, unbiased and legally sufficient investigations as required by statute.
- Ensuring quality assurance of the work conducted by program staff as required by statute, including development and analysis of performance metrics to ensure safety and the provision of sufficient internal controls to identify areas of risk before they become systemic or impact client safety.
- Providing the full range of policy development, technical assistance and operational support that is required by statute to APD program staff and contractors as they respond to ever-growing service needs.

As a step forward, the following (12) positions will enable APD to initiate this important work, improve the ability to address and support APD's core value of safety and ensure the Legislature's expectations are met.

In order to ensure that we meet basic level. legislative, audit and safety requirements, this request would support the following:

- Full compliance with Elder Abuse Audit #12-013.
- 100% central office review of all substantiated (non-self-neglect) Community APS investigations.

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- Align with DOJ Recommendations and other Program areas to ensure Notification, Administrative Review and a final Order is provided to all substantiated AP's advising of outcome, rationale, next steps. Currently, APD is the only program in ODHS out of compliance with this specific area of safety related business.
- Increase the ability for the state to use C-APS substantiations for employment screening, reduce the use of this system gap as a mitigating factor for AP's.
- Provide enhanced support to the delivery system (APD/AAA supervisors) who have limited time/expertise by providing a central review of substantiated abuse allegations and assuming responsibility for notification and due process for substantiated AP's.
 - All *substantiated-non-self-neglect* C-APS abuse allegations (2,300 /year) receive central review.
 - All substantiated APs (2,300) receive preliminary notice of substantiation and offer of Central Office administrative review including telephone interview.
 - Final Orders Issued to all substantiated APs (2,300) explaining APS finding and judicial review available under ORS 183.484.

APD is respectfully requesting the following (12) permanent positions to accomplish this critical safety work:

(1) Principle Executive Manager (PEM-E) position-Supervisory

(2) Operations & Policy Analyst 3 Positions-MMN/Lead

These positions are needed to perform the statewide coordination and oversight necessary to ensure that over 12,700 allegations of abuse investigated by APD and AAA staff annually meet the requirements of HB 2175,

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HB 2442, HB 4084, HB 4151, and the recommendations of Audit #12-013, and to manage due process procedures (including petitions for reconsideration) for substantiated perpetrators.

These duties include the provision of advanced policy/legal analysis skills necessary to coordinate the formal notification, review process and administrative review of substantiated abuse findings for Community APS investigations. Lastly, these positions will address long overdue gaps in policy, procedure, and administrative rule for APD programs and guide the process of revising and aligning them to meet the needs for consistency and sufficiency called for in HB 2175, HB 2442, HB 4084, HB 4151, and the recommendations of Audit #12-013.

Six (6) Program Analyst 2-Positions-MMN

Six full-time PA2 positions are needed to perform the individual review of substantiated APD community abuse investigations annually to ensure that the abuse investigations conducted and documented by APD and AAA staff meet the requirements of HB 2175, HB 2442, HB 4084, HB 4151, and the recommendations of Audit #12-013. This will involve extensive case-by-case review and follow-up with field staff to make necessary adjustments for compliance and legal sufficiency, as well as assisting with due process reviews and issues. Estimates include a review caseload of 375 cases per year.

Two (2) Administrative Specialist 2 Positions-MMN/Confidential

Two full-time AS2 positions are needed to provide the operational and administrative support needed to ensure that the required notifications and due process procedures for substantiated abuse findings are provided for substantiated community abuse investigations conducted annually by APD and AAA staff, in accordance with the requirements of HB 2175, HB 2442, HB 4084, HB 4151 and the recommendations of Audit #12-013.

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One (1) Training and Development Specialist (2) Position

One full-time TDS2 position is needed to provide training to ensure adequate notifications and due process procedures are followed and to meet the requirements of HB 2175, HB 2442, HB 4084, HB 4151, and the recommendations of Audit #12-013, and due process procedures (including petitions for reconsideration) for substantiated perpetrators. This includes the full range of advanced training needed to ensure that program staff conduct objective, unbiased and legally sufficient investigations as required by statute; and ensuring quality assurance of the work conducted by program staff as required by statute, including development and analysis of performance metrics to ensure safety and the provision of sufficient internal controls to identify areas of risk before they become systemic or impact client safety.

Total: 12 positions that will enable APD to initiate this important work, improve the ability to address and support APD's core value of safety and ensure the Legislature's expectations are met.

3. How does this policy package further ODHS's mission and align with its strategic plan?

Doing so will directly address and support the Department and APD's core value of safety and ensure that the Legislature's expectations regarding the safety of Oregon's older adults and adults with physical disabilities are met. In addition, this POP is a direct link to the ODHS/APD Fundamentals Map including key process and outcome measures that ensure our services are measurable and impactful.

ODHS/APD Fundamental Map: Outcome measure O1 "Consumers are Safe."

ODHS/APD Fundamentals Map: Key goals for Well-Being, Service Quality, Service Equity and Engagement.

ODHS/APD Fundamentals Map: Core process OP4 "Providing Services & Protection."

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APD Strategic Plan:

APD Vision, Goals for well-being, accessibility, quality outcomes, service equity, engagement.

APD Strategic Goal #1: “Older adults and people with disabilities feel safe and experience their best quality of life.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

Yes, ODHS Internal Audit #12-013. Thousands of Community APS cases of substantiated abuse every year are not currently considered by the Department when determining an applicant’s fitness for employment as a care provider. This is largely due to a lack of notification to substantiated perpetrators in APD’s community APS cases, and the lack of opportunities for perpetrators to appeal substantiations before they are used in fitness determinations.

To date, no additional staff have been allocated for this work, and it remains undone, even as the ODHS/OHA Background Check Unit and other entities continue to use the APS findings as the basis for Fitness Determinations. This includes the Office of Child Care who is statutorily required to use C-APS findings to determine fitness for childcare providers.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

- Full compliance with Elder Abuse Audit #12-013.
- 100% central office review of all substantiated (non-self-neglect) Community APS investigations.
- Align with DOJ Recommendations and other Program areas to ensure Notification, Administrative Review and a final Order is provided to all substantiated AP’s advising of outcome, rationale, next steps.

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- Increase the ability for the state to use C-APS substantiations for employment screening, reduce the use of this system gap as a mitigating factor for AP's.
- Provide enhanced support to the delivery system (APD/AAA supervisors) who have limited time/expertise by providing a central review of substantiated abuse allegations and assuming responsibility for notification and due process for substantiated AP's.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

ODHS/APD Fundamental Map: Outcome measure O1 "Consumers are Safe."

ODHS/APD Fundamentals Map: Key goals for Well-Being, Service Quality, Service Equity and Engagement.

ODHS/APD Fundamentals Map: Core process OP4 "Providing Services & Protection."

7. What are the long-term desired outcomes?

The long-term desired outcomes associated with this POP are to enable APD to initiate this important work, improve the ability to address and support APD's core value of safety and ensure the Legislature's expectations are met by:

- Providing the level of review and oversight of APD-related abuse screenings and investigations statewide that is required by statute but not occurring today.
- Ensuring that the Department's and APD's response to abuse is consistent and standardized as required by statute, rather than subject to wide variations across programs and populations as it is currently.
- Providing consistent, transparent, and legally sufficient due process to Oregonians substantiated for abuse by APD, as required by statute but not provided today, to ensure that APD-related abuse history can be considered when the Department determines fitness for employment.

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- Developing policy and protocols to ensure that APD-related abuse information is used and shared as required by statute within the Department and with state partners, providers, and the public.
- Providing the full range of core competency and advanced training needed to ensure that program staff conduct objective, unbiased and legally sufficient investigations as required by statute.
- Ensuring quality assurance of the work conducted by program staff as required by statute, including development and analysis of performance metrics to ensure safety and the provision of sufficient internal controls to identify areas of risk before they become systemic or impact client safety.
- Providing the full range of policy development, technical assistance and operational support that is required by statute to APD program staff and contractors as they respond to ever-growing service needs.

In addition, long-term desired outcomes include a measurable improvement in Outcome and Process Measures as identified in the APD Fundamentals Map and Scorecard.

This policy package promotes the vision of “Safety, Health and Independence for all Oregonians” by increasing the visibility of this group of ODHS consumers who experience abuse. With visibility, we create awareness and with awareness, we create prevention.

Lastly, there is a Cost of Abuse for this specific cohort of vulnerable adults:

- Elders who suffer even moderate abuse have a 300% higher risk of death when compared to elders who have not experienced any abuse (National Center on Elder Abuse).
- The annual cost of financial abuse or exploitation of older adults is more than \$2.9 billion nationally (MetLife Study).

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- Elder abuse victims are three times more likely to be admitted to a hospital for their injuries (Journal of American Medical Association).
- Elder abuse injuries are estimated to contribute more than \$5.3 billion to the nation's annual health expenditures (Journal of American Medical Association).
- Freedom from abuse is critical to benefiting from services.

Without this policy package in place:

We lose the ability to fully measure how many Oregonians are at risk and/or being abused. This means we also lose the opportunity to intervene prior to crisis-level episodes of abuse and help victims and their families develop strategies to respond in a healthy way to the warning signs/risk factors of abuse and prevent the escalation/duration of abuse episodes.

8. What would be the adverse effects of not funding this policy package?

Overall, the risks are legislative/legal/safety/consumer based; all impacting our ability to keep vulnerable consumers safe, prevent mobility of perpetrators in systems by sharing legally sufficient information with others who need it. In addition, APD is at risk by not being aware of the content of investigation reports in non-licensed settings. This is critical given the continued movement by APD to create more community based, non-licensed service delivery settings. A strong protection framework must be built for this system to remain viable, safe.

Specific risks:

- We have been out of compliance with multiple legislative mandates for more than a decade.

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- We have been out of compliance with Audit 12-013 for more than 6 years.
- We are currently involved in a lawsuit and working with DOJ Trial Division involving a C-APS investigation and findings, filed in circuit court.
- We received a 2016 DOJ recommendation notifying us that our current process is risky and should consider not using C-APS abuse investigation findings for employment decisions until a process is in place.
- We currently have no system or process in place to review more than 10,073 C-APS investigation reports completed each year by field offices, by both state and AAA offices. The inability to review and determine the quality of investigations, findings and use of this information is an area of risk exposure for APD.
- Other entities such as Child Care Licensing are expanding the use of adult abuse reports for employee or Provider fitness determinations and are unaware this gap in our system exists.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

Short-term mitigations have been to use limited types of abuse findings for employment screening purposes and applying the lack of due process as a mitigating factor. It was recommended that we discontinue this process that has been in place since the passage of HB2175 in the (2009) session when the law passed.

Other actions that have been taken to resolve this issue include training focused on investigation practice such as ensuring APS Specialists make multiple attempts to contact alleged perpetrators – in-person, by phone and by mail. interview the alleged perpetrator in person, unless a deviation has been approved; be clear about the purpose of the interview with the alleged perpetrator, allowing them to respond to each specific abuse allegation and provide evidence in their support; explaining the investigative process and associated timeframes to alleged perpetrators and

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ensuring they provide contact information so the alleged perpetrator can ask questions or provide additional information.

APD advanced a Policy Option Package (#130) in 2018 to begin funding the work of centralized review, notification, and administrative review of APS findings, but the requested funds were not included in the Governor's 2019-2021 budget.

Subsequently, in September of 2019, APD advanced a double-fill authorization within ODHS, which was ultimately not approved due to budget constraints.

10. What alternatives were considered and what were the reasons for rejecting them?

- Delaying the use of abuse substantiations in licensing and employment decisions until a notice and a formal review process can be provided for substantiated abuse findings related to Community APS investigation reports.

This alternative is not feasible as it will not address the critical weaknesses in APD's safety and protection system highlighted by DOJ and the Internal Audits Division. As a result, without this POP, APD will continue to be out of compliance with multiple statutory requirements, DOJ and audit recommendations related to safety, and statutorily mandated levels of oversight to APS Specialists and their work.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

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No statute changes or LC.

**12. What other state, tribal, and/or local government agencies would be affected by this policy package?
How would they be affected?**

This POP mainly affects APD Central and APD/AAA Field offices.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

From February to May 2017, a ODHS cross-program workgroup met and developed a generic model for ensuring procedural due process to persons substantiated in ODHS adult abuse investigations, including APD, DD and OTIS. In addition, a courtesy notification regarding this POP was provided to the Background Check Unit as they process abuse findings for ODHS/APD.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

This POP will allow the Department to fully implement laws requiring standardization of practices across the state and across populations, leading to increased equity in the response to the abuse of different at-risk populations.

STAFFING AND FISCAL IMPACT

Implementation date(s): 10/01/2021

End date (if applicable): N/A

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15. What assumptions affect the pricing of this policy package?

Assumptions such as a dramatic increase in the number of C-APS allegations of abuse that are substantiated, the impact of the pandemic (COVID-19) and enhancements to the Centralized Abuse Management (CAM) system may impact the pricing of this policy package.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

These responsibilities were previously required by legislation enacted over the last 10 years or per audit findings. The new responsibilities primarily impact the APD program and Background Check Unit.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

Equipment, OIS and HR support will be needed for the positions associated with this POP. This includes an enhancement to the Centralized Abuse Management System (CAM) and CAM licenses for each employee.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

Yes, this POP will require new staff as follows:

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- (1) Principle Executive Manager-E position, Supervisory, Permanent, 21 months
- (2) Operations & Policy Analyst 3 positions, MMN/Lead, Permanent, 21 months
- (1) Training & Development Specialist 2 position, Permanent, 21 months
- (2) Administrative Specialist 2 position, MMN-Confidential, Permanent, 21 months
- (6) Program Analyst 2 positions, MMN-Permanent, 21 months

Total: (12) additional staff to initiate compliance with legislative requirements and audit recommendations related to Safety of vulnerable adults.

20. What are the start-up and one-time costs?

Modification will be needed to the Centralized Abuse Management System to expand due process and coordinator review functionality for Community APS investigations; new materials and outreach and training will be covered by the positions that are requested as part of this POP.

21. What are the ongoing costs?

Budget to support the permanent costs of these positions. CAM licenses for each employee, increased costs for DOJ (review process/written materials, due process proceedings).

22. What are the potential savings?

Reduced risk to vulnerable adults by allowing APD to fully implement legislative expectations and audit findings related to safety of vulnerable adults.

23. What are the sources of funding and the funding split for each one?

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Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$2,092,956	\$0	\$0	\$2,092,956	12	10.56
Services & Supplies	\$456,177	\$0	\$0	\$456,177		
Capital Outlay	\$0	\$0	\$0	\$0		
Special Payments	\$0	\$0	\$0	\$0		
Other	\$0	\$0	\$0	\$0		
Total	\$2,549,133	\$0	\$0	\$2,549,133	12	10.56

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$2,549,127				\$2,549,127
Other Funds	\$0				\$0
Federal Funds	\$0				\$0
Total Funds	\$2,549,127				\$2,549,127
Positions	12				12
FTE	10.56				10.56

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Division: Aging and People with Disabilities
Program: Long Term Services and Supports
Policy Package Title: Oregon Project Independence (OPI) Expansion
Policy Package Number: POP 103
Related Legislation: N/A

Summary Statement:
 This policy package would create a stable and sustainable program to assist consumers who need a lighter amount of supports through an expanded Oregon Project Independence (OPI) program, with the goal of helping these consumers remain independent while delaying or avoiding entry into the full Medicaid long term services and supports system.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$4,367,260	\$0	\$40,371,221	\$44,738,481	52	18.81

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

While Oregon serves thousands of older adults and people with disabilities in its Medicaid long term services and supports program, there are fewer supports for consumers who need assistance with activities of daily living who are not accessing Medicaid services. The proportion of Oregonians needing supports for activities of daily living will grow over the next 25 years. This policy package would create a stable and sustainable program to assist consumers who need a lighter amount of supports through an expanded Oregon Project Independence (OPI) program. APD proposes to obtain federal matching funds for these programs through an 1115 Medicaid Demonstration project with the federal Centers for Medicare and Medicaid Services (CMS).

2. What would this policy package buy and how and when would it be implemented?

This policy package would enable the department to draw federal funds to expand the current OPI program to serve more consumers. Program elements include:

Eligibility:

- Adults aged 18 or over.
- Assessed as meeting Service Priority Level 1 through 18.
- Have income no greater than 400 percent of Federal Poverty Level,
- Have assets no greater than the average cost of six months in a nursing facility.
- Reside in their own home or their family's home; and
- Do not receive Medicaid.

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Estate Recovery:

- These OPI benefits are not subject to estate recovery.

Services:

The service package would reflect the current services offered in statute and rule for OPI, including case management, in home support and personal care services, adult day services, home delivered meals, assisted transportation, assistive technology, and other supports.

Additionally, approximately \$5 million of OPI's current budget would be kept in its current form. The intent of this program would be as "Maintenance of Effort" funding with which to draw down federal Older Americans Act funds, and the program would serve individuals who might otherwise be ineligible (based on income, immigration status, or other criteria) from receiving services funded by federal Medicaid dollars.

Once the department obtains federal approval of matching funds for this policy package, this program will be administered locally with the Office of Aging and People with Disabilities and the Area Agencies on Aging (AAAs). APD and Type B AAAs determine financial and service eligibility while ongoing case management would be provided by the local AAAs.

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3. How does this policy package further ODHS’s mission and align with its strategic plan?

This policy package aligns with the statutory mission for the Office of Aging and People with Disabilities in Oregon Revised Statutes, Chapter 410: that older adults and people with disabilities live with independence, choice, and dignity. Additionally, this policy package is aligned with:

- The Governor’s policy priority of Healthy and Safe Communities: older adults and people with disabilities can live independently and with dignity, and where consumers have opportunities to overcome hardship and live their lives as they choose.
- The Office of Aging and People with Disabilities’ Strategic Plan: this policy package is guided by two strategic goals of the Plan: Well-being (older adults and people with disabilities feel safe and experience their best quality of life) and Accessibility (Oregonians can readily and consistently access services and supports to meet their needs).

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

ODHS will measure the success of this policy package through internal and federal reporting that demonstrates consumers delaying or avoiding entry into full Medicaid services. Measures include:

- Analysis of the cost per case of consumers in the expanded OPI.
- Comparison of Medicaid caseload projections to actual Medicaid utilization after this program is implemented.

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- Consumer satisfaction with the quality, timeliness, and individualized services received in the program; and
- The slower growth of cost and utilization of full Medicaid long term services over the period of this program.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

The policy package is tied to the following KPMs:

- KPM #10: The need for LTC services; and
- More indirectly, KPM #11: LTC recipients living outside of nursing facilities. This KPM is listed as an indirect tie under the assumption that for those consumers utilizing OPI services who may enter the Medicaid system, it would be highly likely that they would enter the system by getting services in their own home or in a community setting, and less likely in a nursing facility.

7. What are the long-term desired outcomes?

The long-term desired outcomes include:

- More older adults and people with disabilities having access to a limited package of services to maintain independence.
- Lower than projected growth of the utilization of Medicaid long term services and supports.
- Higher satisfaction with person-centered supports and services.
- More accessible and responsive services for historically underrepresented communities; and
- Overall lower than projected costs for the entire services and supports system for older adults and people with disabilities, as demand for these services will increase over the next 25 years.

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8. What would be the adverse effects of not funding this policy package?

The adverse effects of not funding this policy package include:

- More consumers not getting light, preventative, and limited services.
- Consumers accessing Medicaid at a point when they have the highest level of need.
- A higher number of consumers accessing Medicaid; and
- With a higher number of consumers and a higher than anticipated cost per case for services, a less sustainable system to serve the growing number of older adults and people with disabilities needing services over the next 25 years.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

In 1975, Oregon implemented OPI to assist older adults age 60 and older, as well as individuals with dementia, with in-home services and case management so that these individuals would remain in their homes and avoid entering the higher levels of care or more expensive Medicaid services. Since this time, OPI has been limited in its ability to meet demand because of limited state funds and ongoing funding instability because it is vulnerable to budget reductions.

10. What alternatives were considered and what were the reasons for rejecting them?

The alternative to this policy package is to maintain the current level and system of services. Maintaining the existing service level is inadequate to meet current needs (there are wait lists for OPI, for example), and the existing funding structure is highly vulnerable to budget cuts in the absence of federal matching funds. Further, without this policy package, Oregon will face much greater challenges in supporting older adults and people

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with disabilities over the next 25 years, and these consumers will be at risk of not receiving services until their need for support is at its highest level.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No. This policy package anticipates that the original OPI program will continue under its existing statute, with a level of funding sufficient to draw federal funds for Older Americans Act programs and to serve individuals otherwise not eligible for programs with federal matching funds.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

ODHS will work with the Oregon Health Authority to obtain federal approval through CMS for matching funds for this program. Before Oregon applies for this federal match and throughout the 1115 Demonstration Waiver approval process, ODHS will engage with its tribal partners on how this program and services can serve tribal members across the state of Oregon. ODHS will work with and co-administer the programs with the local AAAs.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

There is an advisory committee working with ODHS and OHA on the proposal for the 1115 Demonstration Waiver to CMS. Advisory committee members include AAAs, providers, advocacy organizations for older adults and people with disabilities, and members of state commissions and local advisory committees for older adults and people with disabilities.

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14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

This policy package helps populations impacted by inequities and disproportionalities. Communities of color, immigrant communities, and other historically underrepresented groups disproportionately access services in their own homes and with family caregivers in comparison to other demographic groups of older adults and people with disabilities. This policy package offers expanded access to services for individuals in their own homes; it would be an expansion of services that can be culturally responsive to the services that historically underrepresented groups are accessing, and perhaps increase accessibility to these services within these communities.

STAFFING AND FISCAL IMPACT

Implementation date(s): OPI – 1/1/2022

End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

This policy packages assumes that there will be approximately 2,250 more consumers accessing OPI.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

Yes, there will be new responsibilities to administer the work, and new workload for ODHS eligibility staff to determine financial and service eligibility for the program. There will be new responsibilities of case management for ODHS’s AAA partners, and these responsibilities are priced into the policy package for the staffing cost.

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17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

Yes, there will be responsibilities that include system changes to implement the new program and benefit, new costs associated with hiring new staff (HR, facilities, IT supports, etc.), and these are accounted for in the pricing of the policy package.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

Not for existing programs. The estimates for caseloads in the new programs are provided in number 15, above.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

N/A

20. What are the start-up and one-time costs?

N/A

21. What are the ongoing costs?

The ongoing costs include maintenance of current service level.

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22. What are the potential savings?

In order to apply for an 1115 Medicaid Demonstration Waiver, the state needs to show that its proposed program will save federal and state Medicaid dollars over a period of three to five years. This policy package assumes that by offering a lighter and limited package of services to individuals with some need for assistance, these individuals will avoid or delay entry into the Medicaid system. If the Demonstration is successful in its results, the cost of the policy package will be much less than the costs that the Medicaid program would bear in absence of these programs.

23. What are the sources of funding and the funding split for each one?

The sources of funding or General Fund and Federal Funds, and the funding split for each one is shown in the table below:

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$1,451,819	\$0	\$1,451,819	\$2,903,638	52	18.81
Services & Supplies	\$590,066	\$0	\$589,632	\$1,179,698	0	0
Capital Outlay						
Special Payments	\$2,325,375	\$0	\$38,329,770	\$40,655,145		
Other						
Total	\$4,367,260	\$0	\$40,655,336	\$44,738,481	52	18.81

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Fiscal impact by program

	APD	Program 2	Program 3	Program 4	Total
General Fund	\$4,367,260				\$4,367,260
Other Funds	\$0				\$0
Federal Funds	\$40,655,336				\$40,655,336
Total Funds	\$44,738,481				\$44,738,481
Positions	52				52
FTE	18.81				18.81

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Division:	Shared/Central Services
Program:	ODHS Human Resources
Policy Package Title:	Resources Staffing Stabilization
Policy Package Number:	POP 105
Related Legislation:	N/A

Summary Statement:

The purpose of this request is to create permanent positions for current staff working within the ODHS HR Department in unfunded positions. As ODHS is the largest state agency providing critical services to 1.5 million vulnerable Oregonians, ODHS Programs must be able to recruit, select, retain, and appropriately manage their human resources.

If this POP is not approved, ODHS will be at significant risk for employment litigation, lack of staffing resources for ODHS Programs and impacted services for Oregon’s most vulnerable citizens.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$ 7,533,359	\$0	\$3,228,668	\$10,762,027	39	39.00

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

- The ODHS Office of Human Resources is only budgeted at about 50% of the level necessary to meet the minimum service requirements of the Agency. The use of double-fills, job rotations and temporary employees have been used to provide necessary human resource management support to critical ODHS programs including Child Welfare, Self-Sufficiency Program, Adults and Persons with Disabilities, Vocational Rehabilitation, and Individuals with Developmental Disabilities.
- HR industry standards generally support a ratio of one HR staff per 100 employees. (1:100). Currently, ODHS HR, with its double-fills and job rotations is understaffed at a level of one HR staff member to 122 employees (1:122). The permanently budgeted resources of ODHS HR only provide for one HR position for every 182 employees (1:182). Clearly this is not acceptable.
- this policy option package is a request for 43 FTE.

2. What would this policy package buy and how and when would it be implemented?

- The FTE provided in this policy package would allow ODHS Human Resources to stabilize their Human Resources department to continue to provide services to ODHS programs who serve 1.5 vulnerable Oregonians. The cost of this package is \$10,992,322.

3. How does this policy package further ODHS's mission and align with its strategic plan?

This policy option package is essential for ODHS and will ensure stability within the agency and aligns with the ODHS mission to continue to support the following:

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- Support Governor Brown’s policy priority on Healthy and Safe Communities are directly supported by the services the Office of Human Resources provides to staff who work with Oregon’s most vulnerable populations. Specifically, when the clients we support can live independently and with dignity, have access to health care and the opportunity to overcome hardship.
- Supports Governor Brown’s Office of Diversity, Equity, and Inclusion /Affirmative Action by promoting the need and creating the opportunity for ODHS to have a workforce that mirrors the communities they live in and that employee retention is improved.
- Supports the ODHS Strategic Plan by providing the infrastructure for managers to hire, train and retain a diverse and qualified workforce. They are also fundamental elements related to HR in RiSE and other ODHS initiatives.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No, this policy option package is not related to an audit.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

- HR will focus on the outcomes of performance measures outlined in question#6 on a quarterly basis.
- ODHS will have a diverse workforce, that is hired in an expedient manner, onboarded appropriately, and is retained in the agency.

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6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

- ODHS Office of Human Resources has a strategic plan to meet the Agency’s operational and program priorities. ODHS HR’s priorities this biennium include:
 - Improving operational efficiency and effectiveness of recruitment, hiring and onboarding processes.
 - Design a performance management system that includes feedback, mentoring and coaching system to maximize retention and improve employee performance.
 - Develop meaningful workforce analytics to inform and support operational priorities across the agency and also evaluates HR services.
- ODHS Performance metrics to report the percentage of ODHS employees who: (1) identified in a “Minority Class”, and (2) identified as “Disabled”.
- ODHS Performance metrics to report the percentage of employees that left ODHS (voluntary or involuntary).
- ODHS Performance metrics to report the percentage of ODHS employees who promoted within ODHS: (1) identified in a minority class and (2) identified as “Disabled”.
- Each of these measures’ ties to ODHS’s key goals as the ODHS workforce is responsible to perform their jobs to protect Oregon’s most vulnerable populations.

7. What are the long-term desired outcomes?

- Stabilization of Human Resources services and staff to serve the agency programs

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- ODHS relies on the Office of Human Resources to recruit, hire, train, and effectively manage workforce management issues.
- Effectively addresses employment litigation and labor disputes resulting from program operations.

8. What would be the adverse effects of not funding this policy package?

- The ODHS Office of Human Resources has a critical role to provide multi-faceted services and support to vital agency programs. This POP will allow ODHS to have a minimally staffed Human Resources Office to support ODHS Programs. Each of these positions are vital. Without these positions the agency is exposed to significant enterprise risk and compromises the Agency's ability to deliver critical program services to Oregonians. Without these services ODHS Program areas will be unable to recruit, retain and adequately manage its workforce

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

- The ODHS Office of Human Resources has relied on job rotations, temporary employees, and double-filling positions to meet the significant workload of an agency of 9,200 employees.

10. What alternatives were considered and what were the reasons for rejecting them?

- The alternative to this package is a larger package which would increase positions requests by 20%. This proposal meets minimum operating requirements for an agency.

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11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

None

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

Without approval, other state, tribal and/or local government agencies will be impacted as ODHS HR will be unable to provide critical services, due to lack of staff, slowed recruitments, employment litigation and other service issues where program will be unable to partner and assist in providing services to Oregon's most vulnerable citizens.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

The office of Equity and Multi-Cultural Services collaborates with ODHS Human Resources through technical assistance and planning.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being and independence?

The ODHS Office of Human Resources assists agency staff and programs addressing disproportionalities through:

- HR Classification and Compensation Unit establishes and maintain equitable compensation practices in accordance with Oregon law.

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- HR Recruitment Unit facilitates and ensures equitable and non-discriminatory hiring practices throughout the agency.
- HR Labor and Employment unit supports managers to provide a non-discriminatory work environment and investigates cases of harassment and discrimination.
- HR Family and Medical Leave Unit ensures employees are provided legally entitled protected leave.

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2021

End date (if applicable): Ongoing

15. What assumptions affect the pricing of this policy package?

The majority of these positions are currently on staff and have necessary equipment, supplies and facilities to perform their duties.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

This policy option package will provide the continuation of the current service level of human resources services to ODHS Programs.

17. ODHS? Specify which programs and describe their new responsibilities.

This policy option package will provide the continuation of the current service level of human resources services to ODHS Programs.

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18. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

The requested FTE already have equipment, supplies and facilities- there is no additional impact to Shared Services.

19. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No direct impact

20. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

1 FTE	PEM H	HR Director	24 months	Permanent
1 FTE	PEM E	Recruitment Manager	24 months	Permanent
2 FTE	PEM D	Assistant HR Manager	24 months	Permanent
1 FTE	OPA3	Data & Policy Analyst	24 months	Permanent
1 FTE	OPA3	Onboarding Analyst	24 months	Permanent
1 FTE	OPA1	Workday Analyst	24 months	Permanent
1 FTE	TDS2	Workday Trainer	24 months	Permanent
1 FTE	AS1	Workday Administration	24 months	Permanent
9 FTE	HRA3	HR Business Partner	24 months	Permanent
1 FTE	HRA3	ADA Coordinator	24 months	Permanent
2 FTE	HRA3	HR Executive Recruiter	24 months	Permanent
9 FTE	HRA2	Recruiter	24 months	Permanent

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1 FTE	HRA2	ADA Analyst	24 months	Permanent
2 FTE	HRA2	Class/Comp Analyst	24 months	Permanent
5 FTE	HRA1	Recruitment Specialist	24 months	Permanent
3 FTE	HRA1	Class/Comp Specialist	24 months	Permanent
<u>2 FTE</u>	HRA1	Onboarding Specialist	24 months	Permanent
43 FTE				

21. What are the start-up and one-time costs?

Not Applicable

22. What are the ongoing costs?

None

23. What are the potential savings?

This policy option package will potentially save:

- Costs associated with decreasing turnover and strong retention with good human resources practices.
- Costs associated with managing disruptions in the workplace and mitigating associated losses in Program productivity.
- Costs associated with expensive employment litigation.
- Costs associated with fees paid to DOJ Labor & Employment for consultation.

24. What are the sources of funding and the funding split for each one?

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Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$ 7,533,359	\$0	\$3,228,668	\$10,762,027	39	39.00
Services & Supplies						
Capital Outlay						
Special Payments						
Other						
Total	\$7,533,359	\$0	\$3,228,668	\$10,762,027	39	39.00

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$7,533,359				\$7,533,359
Other Funds					\$0
Federal Funds	\$3,228,668				\$3,228,668
Total Funds	\$10,762,027				\$10,762,027
Positions	39				39
FTE	39.00				39.00

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Division:	Director’s Office and Self-Sufficiency
Program:	DHS Communications, Self-Sufficiency and Office of Equity and Multicultural Services
Policy Package Title:	Diversity, Equity, and Inclusion
Policy Package Number:	POP 107
Related Legislation:	N/A

Summary Statement:

The purpose of this request is to advance equity initiatives that will result in more equitable, accessible service delivery to communities of color and historically disadvantaged groups. The four initiatives contained within this POP include: 1) Rebranding the agency to align the agency’s image with our values, 2) Rebranding the Oregon Trail card (Electronic Benefit Transfer card) to achieve greater cultural sensitivity and mitigate stigma experienced by SNAP participants, 3) Investment in the Office of Development Disabilities Services to provide greater language access, and 4) Investment in the agency’s Office of Equity and Multicultural Services to increase capacity for equity expertise and implementation of strategies.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$4,377,378	\$18,336	\$1,202,246	\$5,597,960	7	5.74

Oregon Department of Human Services

2021-23 Policy Option Package

PURPOSE

1. Why does DHS propose this policy package and what issue is DHS trying to fix or solve?

At the core of its mission and values, the Department of Human Services believes that every human being deserves equitable access to health, safety, economic stability, and participation in their communities. We are aware, now more than ever, that an individual's ability to experience these things is significantly influenced by the neighborhood they grew up in, their family's socioeconomic status, the color of their skin and other elements of systemic bias and inequity. Disparities shown in our data reflect systemic racism, historic injustice, and inequitable distribution of power and resources in Oregon communities. DHS has a responsibility to continue improving the state's responsiveness to communities of color and, by engaging and understanding the need will lead the creation of a clear action plan that addresses the root causes of disparities. The Department can positively influence these factors for millions of Oregonians, and this package seeks to make change in four concrete ways:

- Rebrand the agency to align more closely with mission and values and. Since its inception, the Department of Human Services has been known by Oregonians by the acronym DHS. However, in recent years, there has been increasing confusion among those we serve because the federal Department of Homeland Security is also known as DHS. This has become problematic as the federal agency has taken steps to make it more difficult for some residents, particularly immigrants, to access services (for example, the public charge rule). More recently, the Department of Homeland Security has had a strong presence in Portland, which has exacerbated the confusion. As a result, the Oregon Department of Human Services seeks to rebrand the agency, with the goal of developing a name and brand that more accurately reflects the department's values and gives Oregonians more comfort in coming to us for services. This Policy Option Package will fund that work and ensure we have the resources to conduct this work with equity at the center and to fully engage the community in the process.

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- Rebrand the Oregon Trail Card. The current Oregon Trail Card features imagery that fails to uphold the dignity of Oregon’s native people. Additionally, the distinctive graphics on the Oregon Trail Card set it visually apart from mainstream credit and debit cards, contributing to stigma experienced by persons on the SNAP program. The rebrand effort would achieve greater respect for native culture and would make the SNAP program more accessible for families in poverty.
- Office of Developmental Disabilities Services (ODDS) Language Access. Within existing capacity, ODDS is unable to provide enough language access supports and services to meet minimum requirements. ODDS is committed to its obligations under law, rule, and policy, in addition to its vision for an equitable system that is easy to use and navigate. In order to provide the necessary level of language access, an intentional resource investment is needed. This POP would advance service equity by reducing or eliminating language access barriers and increase communications that are designed specifically to reach people with intellectual and developmental disabilities.
- Invest in the Office of Equity and Multicultural Services (OEMS). As an agency of over 9,400 employees, the current Office of Equity and Multicultural Services (OEMS) holds only seven positions to support equitable service delivery across all our programs throughout the state. While the agency has an opportunity to engage in transformative work to eliminate long standing inequities and realize its mission of becoming a more equitable organization, the current capacity of OEMS is not enough to accomplish this. Investing in OEMS would equip us to address disparities with specific actions such as addressing:
 - Disproportionate over-representation of African American and Native American children in the foster care system
 - Disproportionate under-representation of employees of color and those with disabilities at all levels of the organization
 - A workforce which is not linguistically nor culturally agile

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- An absence of structures and systems which can ensure service equity for all the clients we serve
- 2. **What would this policy package buy and how and when would it be implemented?**
 - **Agency and Oregon Trail Card Rebrand: \$615,000 GF**
 - **Project Research and Rebranding: \$350,000 GF**

Project research would include both qualitative and quantitative research, including interviews, focus groups, and surveys with internal and external stakeholders. Rebranding work will include brand strategy, messaging, copywriting, and transcreation for diverse audiences. We will seek a contractor to work on both projects for efficiency.
 - **Collateral: \$150,000**

Once a new agency brand is established, the agency will need to change electronic and print materials, distribute materials to field offices throughout the state, and provide new signage for buildings.
 - **Community outreach: \$100,000 GF**

Once a new EBT brand is established, there will need to be updated Retailer signage and extensive community outreach to introduce the new identity for both the EBT card and the agency.
 - **EBT Card Vendor: \$15,000 GF**

There will be specific production costs associated with the EBT card vendor and there are specific costs associated with destroying the old cards for privacy and security reasons.

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- **ODDS Language Access: \$475,000 GF and \$475,000 FF**
 - **Document and Content review and complete translations.** Complete inventory of ODDS forms, documents and web content that must be made available in required major languages. Complete translation of those materials using DHS and Program specific language glossaries. This work would include revision of existing translations to align with new glossaries.
 - **Reverse translations of case documents.** Provide reverse translation services of documents developed in languages other than English to Case Management Entities (CMEs) to ensure that those documents are also available in English for the purposes of continuity of supports, quality assurance, audit, and other administrative uses.
 - **Verbal interpretation.** Provide verbal interpretation supports for services delivered by CMEs to individuals with I/DD and their families.
 - **Alternate tools and materials.** Develop tools and materials for individuals who do not communicate using written or spoken language, who may not read and may require alternative and flexible means of receiving information in order to fully participate in all parts of the service system.
 - **Training.** Develop and deliver training for ODDS staff and contracted case management entities and service providers on requirements, timelines, and best practices in language access that align with state and federal law, rule, and policy, and the values of ODDS.

- **OEMS Investment:**
 - **OEMS Staff: \$836,757 GF \$18,370 OF and \$728,439 FF or 1,583,566 TF**
DHS proposes to double the staff dedicated to Diversity, Equity, and inclusion work by adding 7 new positions (6.16 FTE) into OEMS:

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- 6 Service Equity Managers (OPA3) for each DHS program which includes, (Office of Developmental Disabilities, Office of Vocational Rehabilitation, Office of Self Sufficiency Programs, Office of Aging and Peoples with Disabilities and Human Resources and Shared Services) to provide more capacity to implement a more holistic Diversity, Equity and Inclusion plan and provide a more definitive connection to DHS programs.
- 1 PEM E lead worker position to both assist the Director in the operations of OEMS but also to act as a lead over the analysts to ensure a coordinated approach to implementation of the plan. This will ensure that programs receive the support needed to understand the disparities within their program and build strategies to address them through equity plans, equity councils and tracking of data.
- **Employee Resource Groups: \$450,000 GF**
Employee Resource Groups (ERGs) are officially chartered groups that are organized around shared cultural identity(ies) to support historically underrepresented employees and/or underserved client populations. ERGs are employed as a diversity and inclusion best practice to leverage collective experiences, skills, and backgrounds that our most valuable resource, our employees, bring to work every day. Currently, DHS has nine active employee resources groups, and this policy option page will allow for additional support toward their functions
- **Investment in Community Based Organizations: \$1,500,000 GF**
This investment into an Equitable Communities Fund would resource community-based organizations to do outreach, education, and service navigation for communities of color, people with disabilities, LGBTQ+ communities, and other marginalized groups. DHS must engage differently than it currently does with these communities and their leaders. This Community Fund would meaningfully improve the agency’s ability to provide culturally appropriate services and community events for outreach, listening, sharing and the diverse

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recruitment of staff. The Fund will also foster conversations and engagement with community through joint convenings with OHA/DHS leadership, engagement through the Governor's Office and correspondence with Urban League of Portland, the Communities of Color Coalition, and many other DHS stakeholders. This investment will also allow for development of community advisory councils and meaningful partnership between DHS and community to ensure a collaborative approach to our service delivery.

- **Training & Development: \$500,000 GF**

The ability of OEMS to provide training and development opportunities to its staff is imperative to advancement of equity and inclusion work. Access to State Equity Conferences and Equity, Diversity, Inclusion and Access (EDIA) related training is also critical to our mission of transformation. In addition, these funds will allow for delivery of training and development to our internal workforce and advance knowledge and expertise related to equity.

3. How does this policy package further OHS's mission and align with its strategic plan?

- Rebranding the agency will ensure the image we put out to the public aligns with our mission and values. It will also make the agency more approachable and accessible to communities of color, immigrant and refugee populations, and other historically disadvantaged groups.
- Rebranding the Oregon Trail Card will result in greater access to the SNAP program, decreased stigma for families in poverty, and greater respect for the dignity of Oregon's native people.
- Investing in OEMS will result in increased service equity for the individuals we serve by mitigating the impacts of systemic and structural inequity. Additional capacity within OEMS will allow for increased knowledge and expertise within agency programs, technical support in the development of service equity strategic plans, and capacity to invest in culturally responsive Community Based Organizations.

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- Investing in Language Access within ODDS will ensure equal access and ability to engage in services for individuals who speak languages other than English, aligning with the agency’s service equity goals.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

A 2018 internal assessment of DHS’ efforts related to diversity, equity and inclusion found “DHS has not invested sufficiently in equity, diversity and inclusion efforts at every level of the organization...

Underinvestment has created system-wide frustration due to the fact that need for support promoting and ensuring diversity and inclusion, as well as equitable access and outcomes, far outweigh the resources available to address those needs. Further, insufficient funding and staffing perpetuates a widespread conception of equity, diversity and inclusion work as ‘extra’ and not essential to daily human services work.” This package directly addresses the historically insufficient investment in equity work and lays a foundation for systematic, strategic, and coordinated work moving forward.

QUANTIFYING RESULTS

5. How will DHS measure the success of this policy package?

DHS will measure the success of this policy package by:

- Consistently reviewing programmatic data both quantitative and qualitative.
- Reviewing Key Performance Measures to ensure that equity is foundational to program service delivery.

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- Tracking community engagement efforts and participatory patterns to improve participation from partners.
- Tracking the deployment of Community Investment dollars and related outcomes.
- Measuring engagement of DHS staff in training and development opportunities relating to EDIA.
- Tracking ODDS data including:
 - Increase in number of individuals accessing interpretation services compared to baseline and in relation to individuals indicating language other than English as preferred option
 - Number of files where English is not the preferred language included in QA reviews
 - Completion of translation for ODDS forms and documents
 - Completion of tools for individuals who do not communicate using written or spoken language, who may not read and may require alternative and flexible means of receiving information
 - Representatives from all CMEs trained on language access requirements and process
- Monitoring race and ethnicity in DHS data sets over time to see if previously under-served populations are reached differently after rebranding is complete.
- Conduct a brand sentiment analysis among participants and stakeholders to evaluate any changes in brand resonance, particularly as it applies to a sense of inclusiveness.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an DHS performance measure? If yes, identify the performance measure(s).

This package is tied to several Program Key Performance Measures. Through implementation of the DHS Management System, more measures are being reported by race and ethnicity to help uncover disparities that may exist.

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These include:

- #4 – Absence of repeat maltreatment of abused/neglected children (CW)
- #5 – Timely reunification of foster children (CW)
- #6 – Timely adoption once children are legally free (CW)
- #7 – Disparity of foster youth achieving permanency (CW)
- #8 – Children served by Child Welfare residing in parental home (CW)
- #14 – Housing stability (SSP)
- #15 – Food security (SSP)
- #16 – Self-Efficacy (SSP)
- #21 – DHS customer satisfaction

Two additional Child Welfare KPMs are being proposed for the 2021-23 biennium: reduction of race/ethnicity disparities in length of stay and reduction in disproportionality of children at entry into substitute care. In addition to KPMs, we have started reporting at DHS Quarterly Target Reviews on workforce diversity as well as promotions and turnover by race, ethnicity, and disability status. The DHS management system and the measures on the scorecard will identify barriers and opportunities, inform action, and ultimately ensure we are being intentional and proactive about equity and inclusion.

7. What are the long-term desired outcomes?

The agency's vision is for every individual and community to have dignity, respect, and the full measure of human rights. Long-term, accomplishing service equity means that an individual or family's group affiliation no longer determines their life outcomes, meaning all children, individuals and families experience economic stability, health, safety, and participation in their communities to an equal extent. Each of the initiatives in this package moves the agency closer to this goal.

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The rebranding of key elements of the department like the EBT card and the agency's name will reduce the stigma currently attached to over 700,000 Oregonians who utilize program services through this card. Overall, the long-term outcome is to increase usage and participation of programs and services with low-income Oregonians to support their success. Currently there are many programs that use the DHS EBT card to deliver program benefits, this includes programs like SNAP, TANF and most recently the Pandemic-EBT benefits for children.

8. What would be the adverse effects of not funding this policy package?

Continued under-investment in equity and inclusion work, particularly the initiatives included in this package, may result in:

- Barriers will persist connecting DHS' services and benefits to individuals who need them due to associations with the agency's branding.
- Individuals struggling with food insecurity will face continued barriers in accessing the SNAP program due to stigma. SNAP currently serves over 700,000 Oregonians with food benefits every month. Currently there are over 350,000 active SNAP EBT cards used every month.
- There are seasonal increases in the EBT usage when other programs like Summer EBT for Children and Pandemic-EBT programs are in action. Having a more generic card will allow greater flexibility of use for participants of these programs.
- Imagery on the Oregon Trail Card will cause continued damage to relationships with tribes and Native Americans in Oregon.
- Agency programs and staff will continue to have limited training, access to expertise and resources related to equity and inclusion work.

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- OEMS will continue to be constrained in its ability to coordinate effective, cross-program equity and inclusion strategies.
- The agency may lose equity and inclusion expertise due to over-taxing staff and burnout.
- The agency will continue to lack resources to appropriately invest in culturally specific Community Based Organizations.
- ODDS will continue to be constrained in its ability to provide language access to all consumers, resulting in inequitable access and outcomes for non-English speakers.
- Consumers of agency services and benefits will continue to experience inequitable outcomes, further compounding the structural and systemic disadvantage they experience.
- The agency may face legal action for non-compliance with requirements and inequitable service delivery
- Potential loss of federal ODDS funding due to non-compliance with language access requirements

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

OEMS Investments:

- The agency has used temporary stopgap measures such as rotations and Limited Duration positions to address equity expertise needs within OEMS. This is not a sustainable strategy, nor has it sufficiently addressed the need. Additionally, in the short term, limited funding has been allocated from OEMS' budget for ERGs and Training & Development functions, which is both limited and unsustainable.

ODDS Investments:

- State government and DHS has made strides towards improving language access:

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- Department of Administrative (DAS) services has engaged in bringing on-board translation and interpretation contracts with qualified vendors and making them available to state government agencies and some non-profit agencies that are registered with Oregon Cooperative Procurement Program (OrCPP). However, the ability for ODDS to fund access these contracts for all of our case management entities is limited by resources available and some CMEs do not have access to the DAS contracts since they are not a government entity or registered with OrCPP. Moreover, current contracts with CMEs and the workload-based reimbursement structure does not include funding and clear requirements around verbal interpretation supports and reverse translation.
- DHS is currently in the process of developing glossaries of terms for the Department and each Program area, including ODDS. These glossaries will be translated into major languages to ensure that when translations are done, vendors use accurate and consistent terminology.

Oregon Trail Card Rebrand and Agency Rebrand:

- These are new initiatives. The Agency has taken steps to perform minimal rebranding free-of-cost, such as changing social media handles and releasing internal messaging.
- DHS has ensured that all rules with reference to the Oregon Trail Card have been altered to the more generic term of EBT card. This will ensure a smooth transition to any newly branded card.

10. What alternatives were considered and what were the reasons for rejecting them?

Alternatives to Agency Rebrand:

- Continue forward with current agency branding. This option would promote continued misconceptions about the agency's work and challenges forming positive relationships with marginalized communities.

Oregon Department of Human Services 2021-23 Policy Option Package

Alternatives to Oregon Trail Card Rebrand:

- Continue using current Oregon Trail Card branding. This option would result in continued negative impact on the agency's relationship with Oregon's tribes, negative perception of the SNAP program among Native Oregonians, and experiences of stigma among all SNAP participants which acts as a barrier to SNAP access.

Alternatives to ODDS Language Access:

- See Question 9

Alternatives to OEMS Investments:

- Continue using non-budgeted positions to address staffing needs. This is an unsustainable practice that results in a lack of transparency in the agency's budget. Continuing to under-fund ERGs may result in lack of employee engagement, lack of feelings of support, and ultimately staff turnover.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

Maybe. If the rebranding of the department results in a new name, statutes with the existing agency name would need to be updated.

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**12. What other state, tribal, and/or local government agencies would be affected by this policy package?
How would they be affected?**

Tribal governments will be positively impacted by the Oregon Trail Card rebranding. The current imagery depicted on the card does not uphold dignity and respect for Oregon’s native people. Changing this imaging will allow for more positive relationship between the agency and the tribes and will aid positive perception of the SNAP program among Native Oregonians.

The rebranding of the Oregon Trail Card will also allow for greater flexibility in the usage of the card to meet the diverse program needs of participants in services that use the EBT card as the mechanism to receive benefits. This includes other programs like TANF, Summer EBT for Children (SEBTC) and Pandemic-EBT. This card is also used by the Department of Corrections (DOC) to connect prisoners back to services prior to release, including SNAP and any wages earned while they were incarcerated.

Rebranding of the Department of Human Services (DHS) would lessen confusion with the Department of Homeland Security, providing clarity to tribal governments and other government agencies that we partner with on programs and policies.

Increasing OEMS staff, along with staffing from the Office of Tribal Affairs in the Directors office, will have a positive impact on the cultural competency of DHS to serve tribal and other communities of color.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

None

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

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This package entirely revolves around helping populations impacted by inequities and disproportionalities by supporting their health, well-being, and independence. This will be accomplished by:

- Staff becoming more skilled and knowledgeable about equity and inclusion
- Staff having the tools they need to provide equitable, unbiased service delivery
- Programs having strategies in place to address structural inequity and technical support to implement them
- Staff feeling supported and engaged through participation in ERGs, including increased ability to effect change for marginalized groups within the agency.
- Consumers having access to information, forms, resources, and services in their native languages
- Oregonians using their SNAP benefits to address food insecurity without stigma
- Tribal members and Native Oregonians having their dignity upheld through the elimination of disrespectful imagery
- Community-Based Organizations and stakeholders having meaningful ways to create institutional accountability and create change in their communities
- Analysis of data through consistent incorporation of REAL+D (Race, Ethnicity, and Language + Disability) data at the forefront of our practice
- Oregonians perceiving the agency as a compassionate, supportive resource where they can receive equitable services

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2020

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End date (if applicable):

One-time costs for Agency Rebrand: \$500,000 GF
and Oregon Trail Card Rebrand: \$500,000 GF –
rest ongoing

15. What assumptions affect the pricing of this policy package?

- Staffing costs of 7 new staff
- Assumption that DHS will contract out the one-time funding for rebranding of EBT and Agency
- Employee Resource Groups (ERGs) are officially chartered groups that are organized around shared cultural identity(ies) to support historically underrepresented employees and/or underserved client populations. Funding to support the efforts of these Employee Equity groups is key in sustaining them.
- Investment in Community Based Organizations: This investment into an Equitable Communities Fund would resource community-based organizations to do outreach, education, and service navigation for communities of color, people with disabilities, LGBTQ+ communities, and other marginalized groups.
- Training & Development: The ability of OEMS to provide training and development opportunities to its staff is imperative to advancement of equity and inclusion work.

16. Will there be new responsibilities for DHS? Specify which programs and describe their new responsibilities.

No new responsibilities, however, this pop will help increase the OEMS presence and with the addition of the RiSE initiative keep racial inequities and other issues regarding marginalized populations at the forefront of DHS work. The goal is to imbed Diversity, Equity, and Inclusion best practices within each position's duty, so Equity is not an "add on" but part of how DHS does business.

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17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

May have some impact on Publications and Design Services a shared service housed in DHS and serving both DHS and OHA.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

OEMS and RiSE work will help address and remove disparities within the DHS systems and practices.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

DHS proposes to double the staff dedicated to Diversity, Equity, and inclusion work by adding 7 new positions (6.16 FTE) into OEMS:

- 6 Service Equity Managers (OPA3) for each DHS program which includes, (Office of Child Welfare, Office of Developmental Disabilities, Office of Vocational Rehabilitation, Office of Self Sufficiency Programs, Office of Aging and Peoples with Disabilities and Human Resources and Shared Services) to provide more capacity to implement a more holistic Diversity, Equity and Inclusion plan and provide a more definitive connection to DHS programs.
- 1 PEM E lead worker position to both assist the manager in the operations of OEMS but also to act as a lead over the analysts to ensure a coordinated approach to implementation of the plan. This will ensure that programs receive the support needed to understand the disparities within their program and build strategies to address them through equity plans, equity councils and tracking of data.

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Current OEMS staffing levels are not sufficient for an organization the size of DHS. Adding capacity will help improve DHS equity outcomes both internally and externally.

20. What are the start-up and one-time costs?

One-time costs for branding of EBT card and Agency.

21. What are the ongoing costs?

Staff
Training and development,
ERG investment,
Community investment

22. What are the potential savings?

Staff – if DHS can retain employees at a greater number there will be less downtime training new people.
Clients – if DHS can address disproportionality in CW the overall caseload is likely to drop leading to savings.
Other program may see savings, though if there are underserved populations that can be identified there may be increases in some programs.

23. What are the sources of funding and the funding split for each one?

OEMS is cost allocated to all appropriate funding sources within DHS. This involves GF, OF and a variety of FF grants.

Total for this policy package

Oregon Department of Human Services 2021-23 Policy Option Package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$696,575	\$15,247	\$604,658	\$1,316,480	7	5.74
Services & Supplies	\$2,180,813	\$3,089	\$597,588	\$2,781,490		
Capital Outlay						
Special Payments	\$1,500,000	\$0	\$0	1,500,000		
Other						
Total	\$4,377,388	\$18,336	\$1,202,246	\$5,597,970	7	5.74

Fiscal impact by program

	Director Office	OEMS	IDD	Program 4	Total
General Fund	\$500,000	\$3,287,378	\$590,000		\$4,377,378
Other Funds		\$18,336			\$18,336
Federal Funds		\$727,246	\$475,000		\$1,202,246
Total Funds	\$500,000	\$4,032,960	\$1,065,000		\$5,597,960
Positions		7			7
FTE		5.74			5.74

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	Child Welfare
Program:	Treatment Services
Policy Package Title:	BRS OWI Update Package
Policy Package Number:	POP 110
Related Legislation:	N/A

Summary Statement: Update Child Welfare BRS rate model with the most current salary information available from the Oregon Employment Department as part of regular budget build processes. Because the Employment Department Oregon wage information (OWI) becomes available in June each year, the agency proposes to use the average annual growth rate to account for anticipated OWI increases in the 21-23 biennium.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$3,102,604	\$0	\$3,049,627	\$6,152,231	0	0.00

Oregon Department of Human Services

2021-23 Policy Option Package

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

ODHS (and OYA) are proposing to address a timing issue with the updating of Oregon wage information (OWI) in the building of rates in the BRS rate model. The rates paid to BRS providers part of CSL is based upon 2020 OWI information; when the 2021-23 biennium begins in July 2021, the wage data used to build rates will already be out-of-date. With average salaries increasing by approximately 3.25% per year over the last several years, it is easy to see how the budget cycle can quickly become out of alignment with the current job market. The result of this is that the providers (often not-for-profit organizations) may be forced to pay the staff working with Oregon's most traumatized and behaviorally difficult youth at rates below industry and local standards. This also means that BRS service providers can become reliant on additional sources of income to support their operational costs, placing the services themselves in jeopardy when those other funding sources are withdrawn. While all providers find it difficult to hire and retain staff when the BRS rates are based on wages that do not reflect the current reality, new entrants into service provision become essentially blocked when the rates do not support competitive salaries. Established providers can supplement BRS payments with other community support, but we cannot expect new providers to be able to generate such support for services that have no track record, regardless how well-intentioned they may be.

For the 2021-23 biennium, this policy option package intends to use the most current data available, determine the annual average growth rate over a biennium and use that growth rate to determine the 21-23 BRS rates. This leads to a 6.5% increase in wages for classifications within the BRS Rate model for 21-23 and more accurately reflect wages actually paid to BRS staff in the 21-23 biennium.

2. What would this policy package buy and how and when would it be implemented?

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This package would update the BRS rate model with current wage data and estimated future wage data, allowing providers to recruit and retain qualified staff. Implementation date is July 2021.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

An array of residential and proctor-care BRS services is critical to meet the needs of children/youth committed to the Department. Without appropriate levels of compensation, providers will increasingly become unable to recruit, train, and retain a workforce needed to treat and supervise these children.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

Ample supply of residential treatment capacity to meet the needs of children/youth within the state of Oregon.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

No.

7. What are the long-term desired outcomes?

Oregon Department of Human Services 2021-23 Policy Option Package

Stable BRS residential/proctor care system that has capacity to match youth treatment need with available resources.

8. What would be the adverse effects of not funding this policy package?

Providers being unable to recruit staff in BRS programs. In many cases, BRS providers would not be able to remain in business, dramatically reducing capacity for ODHS children. The Department will find it necessary to try to locate service providers out of state.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

Legislators in the 2020 short session were supportive of re-timing of how OWI information is incorporated into the BRS rate model, but the session ended without final action.

10. What alternatives were considered and what were the reasons for rejecting them?

None.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

Oregon Department of Human Services 2021-23 Policy Option Package

Oregon Youth Authority and county juvenile departments that participate in the BRS program.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

Oregon Youth Authority, Oregon Alliance of Children’s Programs, Oregon Health Authority, Oregon juvenile departments.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

STAFFING AND FISCAL IMPACT

Implementation date(s): July 2021

End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

The weighted 11-year average annual growth rate, using the Employment Department Oregon Wage Information (OWI) reports, shows an overall biennial 6.5% increase in salaries of pertinent position classifications. These estimate wages were used to calculate the rate increases for each level of care within residential treatment program.

The pricing is for 24-months.

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16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

No.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

None.

20. What are the start-up and one-time costs?

None.

21. What are the ongoing costs?

This package assumes the increase will become part of continuing service level.

22. What are the potential savings?

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Maintaining and expanding in-state capacity may have a positive impact on the number (and costs) of children placed in out-of-state programs.

23. What are the sources of funding and the funding split for each one?

General Fund, Federal Funds (Title IV-E, Title XIX).

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$0	\$0	0	0.00
Services & Supplies						
Capital Outlay						
Special Payments	\$3,102,604	\$0	\$3,049,627	\$6,152,231		
Other						
Total	\$3,102,604	\$0	\$3,049,627	\$6,152,231	0	0.00

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$3,102,604				\$3,102,604
Other Funds	\$-				\$-
Federal Funds	\$3,049,627				\$3,049,627
Total Funds	\$6,152,231				\$6,152,231
Positions					0
FTE					0.00

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	Child Welfare
Program:	Training
Policy Package Title:	Increase Child Welfare Training Capacity
Policy Package Number:	POP 111
Related Legislation:	N/A

Summary Statement:

Increase Child Welfare Internal Training and Workforce Development Capacity in accordance with recommendations made by Alvarez & Marsal under Executive Order 19-03. Recommendations included increased staff and resources to provide improved in-field supports, transfer of learning, advanced supervisor training, and accountability for training and workforce development. Capacity would take the form of additional positions and fiscal resources necessary to enhance instructional design, training delivery, quality assurance, data analysis, and performance evaluation of our workforce as they navigate their respective training paths. In addition, a comprehensive framework will be developed to inform clear paths to proficiency, competency, equity and expertise through formal instruction, field training, ongoing professional development, and promotional opportunities. These combined efforts will increase retention and the skills of our workforce and ultimately improve outcomes for children and families.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$992,940	\$-	\$2,978,570	\$3,971,510	19	16.72

Oregon Department of Human Services

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

ODHS is proposing to enhance the current Child Welfare Training Unit to provide additional staff to address a deficit in Child Welfare's internal organic capacity in design, deliver, evaluation, and oversight of training received by Child Welfare Staff. The training unit is currently made up of 7 staff, 3 of which are limited duration positions that end June 30th, 2020. In its current state, the Training Unit only has the capacity for budget, contract, and training administration, with limited ability to provide direct training support. This has resulted in a reliance on external contract or fee-for-service providers to deliver training for Child Welfare staff. Staff and Managers at Central Office and in the Field have routinely reported that these training offerings are not sufficient in effectively preparing Child Welfare Staff for their conducting the work, as is evidenced by Internal Fidelity Reviews, Child & Family Services Reviews(CFSR), Secretary of State(SOS) Audit, and other practice evaluations.

2. What would this policy package buy and how and when would it be implemented?

This package would build out the Child Welfare Training Unit to include the following staff: Training & Workforce Development Manager(PEM-E), Training Program Assistant Manager(PEM-D), Curriculum Lead(OPA3), Instructional Technologist(OPA3), Instructional Designer x2 (OPA3), Budget & Contracts Specialist(OPA3), Training Administration & Operations Specialist(OPA3), Child Welfare Trainers x12 (TDS2), Communications Specialist (OPA2), and Training Support Specialist (AS2), as well as the requisite operational budget to support ongoing training.

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Due to the high priority need of increased training and retention, this package would be implemented immediately. Additional staff would be hired, trained on existing curricula, and begin work on developing enhancements to initial, basic, and advanced training offerings for all Child Welfare Staff.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

This enhanced training capability will provide an additional tool to Child Welfare Staff and Leadership in effectively engaging with and meeting the needs of Oregon Families. This increased competency will lead to a higher rate of confidence in the Child Welfare Workforce, which will result in increased retention.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

This package supports recommendations made by the Alvarez & Marsal in accordance with Executive Order 19-03 delivered by Governor Kate Brown. In addition, fidelity reviews and needs assessments conducted by ODHS/Child Welfare, Secretary of State of Oregon, and the Children’s Bureau have concluded that many of the deficiencies observed in audited casework are the result of inadequate training and workforce support.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

The success of this policy package will be measured through Staff Retention, Fidelity Reviews, and Customer Engagement reviews. Evaluative tools will be developed to assess knowledge and skills, as well as customer surveys to identify additional training needs.

Oregon Department of Human Services 2021-23 Policy Option Package

- 6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).**

No.

- 7. What are the long-term desired outcomes?**

Long-term desired outcomes of an enhanced Training Unit would include: A comprehensive training experience for Child Welfare staff in any classification, delivered in a multi-layered training system. A confident and competent workforce who receive regular ongoing trainings designed to provide them with the mastery necessary to effectively execute their duties. An increase in staff retention, customer approval, and staff advancement through promotion or rotational opportunities.

- 8. What would be the adverse effects of not funding this policy package?**

Fidelity reviews and audits will continue to receive negative reports. Child Welfare would be reliant on external organizations to provide the initial and ongoing training to staff. Outcomes for children in the care of ODHS/Child Welfare would not improve.

HOW ACHIEVED

- 9. What actions have occurred to resolve the issue prior to requesting a policy package?**

Legislators met in 2020 during short session and were supportive of increased resourcing to Child Welfare Training, but the session ended without final action.

- 10. What alternatives were considered and what were the reasons for rejecting them?**

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None.

- 11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.**

No.

- 12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?**

Tribal Child Welfare Organizations, Oregon Youth Authority, OTIS, and other State, County, and City organizations with ties to Child Safety would be welcome to attend trainings developed by ODHS/Child Welfare.

- 13. What other agencies, programs or stakeholders are collaborating on this policy package?**

None.

- 14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being and independence?**

One of the key tenets of the Training Unit strategic plan is to infuse Diversity, Equity, Inclusion, and Ability into all learning experiences. Enhancement of the Child Welfare Training Unit will increase the number of these learning opportunities offered to Child Welfare Staff, further supporting populations impacted by these inequities including clients, communities, and coworkers.

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STAFFING AND FISCAL IMPACT

Implementation date(s): July 2021

End date (if applicable): Ongoing

15. What assumptions affect the pricing of this policy package?

None.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

No.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

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19 total new positions would be needed to implement this policy package. 1 Principal Executive/Manager D(PEM-D), 5 additional Operations and Policy Analyst 3(OPA3), 12 additional Training and Development Specialist 2(TDS2), 1 additional Operations and Policy Analyst 2(OPA2).

20. What are the start-up and one-time costs?

None.

21. What are the ongoing costs?

Staff and operating expenses for the Child Welfare Training Unit would be ongoing.

22. What are the potential savings?

Direct savings could be identified in the reduction of contract training provided by fee-for-service and contract providers. Indirect savings would be experienced as retention increases and the reduced costs of hiring and initial training.

23. What are the sources of funding and the funding split for each one?

General Fund(25%), Federal Funds(75%).

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$812,421	\$0	\$2,437,207	\$3,249,628	19	16.72
Services & Supplies	\$180,519	\$0	\$541,363	\$721,882		
Capital Outlay	\$0	\$0	\$0	\$0		

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Special Payments	\$0	\$0	\$0	\$-0		
Other	\$0	\$0	\$0	\$0		
Total	\$992,940	\$	\$2,978,570	\$3,971,510	19	16.72

Fiscal impact by program

	CW Design	Program 2	Program 3	Program 4	Total
General Fund	\$992,940				\$992,940
Other Funds					
Federal Funds	\$2,978,570				\$2,978,570
Total Funds	\$3,971,510				\$3,971,510
Positions	19				19
FTE	16.72				16.72

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	Child Welfare
Program:	Foster Care & Youth Transitions
Policy Package Title:	Independent Living Program
Policy Package Number:	POP 112
Related Legislation:	N/A

Summary Statement:

This POP seeks to expand the Independent Living Program (ILP) and youth transition services through a tiered level of ILP services, and an expanded age range of youth to be served, to improve outcomes for youth in their young adulthood. This will be achieved by:

- Implement a tiered level of ILP service provision, providing monthly service rates based on the youth’s identified needs (four tiers).
- Expanding services to begin serving 14 – 15-year-olds and 21 – 22-year-olds (currently, contracted ILP services are limited to 16 – 20-year-olds).

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$5,892,004	\$-	\$-	\$5,892,004	2	1.76

Oregon Department of Human Services

2021-23 Policy Option Package

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

The State lacks the funding to fully implement the Chafee Independent Living Program (ILP) services and adequately compensate contracted providers for services. Several of the community providers/contractors have informed the Department that the costs associated with offering ILP services are greater than the contracted budget amount provided. Often these organizations are underwriting the true costs of ILP services with private fund-raising or other means within their larger organization, this is no longer sustainable. Recently, organizations have decided to stop providing ILP Services due to the low contract amount. Additional Contractors are letting us know that they, too, may close their programs due to insufficient funding. The following factors are impacting the contractors' ability to continue as a service provider at the current rates:

- Community organizations have been underwriting ILP contracts for a long time, and the private donation community is not as stable as it once was, particularly in light of COVID-19.
- State Minimum wage increases directly impact these programs as most of the frontline staff earn just above the minimum wage and programs must increase their pay as well.
- Increased program requirements by ODHS and program changes in ILP over the past five years with minimal increase in compensation.
 - Youth Engagement Services – ongoing re-assessments of youth progress and service plans
 - Increased documentation and reporting due to increased contract expectations.

The Department also believes assisting youth with life skills training at an earlier age will help to gain and maintain compliance with the temporary lodging settlement agreement. Teens and young adults will be better equipped to focus on goals and gain needed skills to participate in the ILP Housing Programs. Thereby increasing their stability and success as they transition to adulthood. By providing supports through their transition out of foster care, though age 22, young adults will be less reliant on the adult welfare

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system. It should be noted that federal funding has decrease over the last few years because it is a capped grant based on a national methodology of the number of youths in foster care. As the foster care population increases in other states, Oregon receives a smaller share.

2. What would this policy package buy and how and when would it be implemented?

1. Stability of Community Contracted Providers: By providing adequate funding and allowing Child Welfare to provide payment based on the youth's identified needs, ILP resources could be better targeted. Four (4) tiers have been identified as listed below and are based on level of need and intensity of services. Several providers have been able to demonstrate their costs are closer to \$300 per month for traditional ILP services (Tier 2); ODHS currently provides \$200 per month per youth for traditional ILP services. Using the Tiered system, funds would be targeted as follows:

- a) Tier 1 ages 14 – 15/16: skills training provided primarily in a group setting, focusing on Stage I awareness and social development, with introduction to goal setting and planning),
- b) Tier 2 ages 16 – 20: traditional ILP services focusing on Stage II life skills development and comprehensive transition planning,
- c) Tier 3 ages 16 – 20: more intensive services targeting youth with high needs and multiple system involvement, focusing on Stage II life skills development and comprehensive transition planning with an emphasis on developing internal assets,
- d) Tier 4 ages 21 – 22: Stage III transition support as needed; supporting youth with transition to adult system services and supports (education, employment maintenance/career planning, health care, etc.).
- e) Increase community contractor staff recruitment and retention with higher salaries.
- f) **Calculations** to provide adequate funding to community service providers:
 - a. Tier 1 ILP Life Skills Services (618 youth eligible in a given month, anticipate serving 60%):
 - i. Current Rate: service doesn't currently exist
 - ii. New Rate: $\$200 \times 300 \text{ youth} = \$60,000 \text{ per month} \times 12 = \$720,000$

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- iii. Difference: \$720,000 increase needed per year, **or \$1,440,000 for the biennium**
- b. Tier 2 ILP Life Skills Services (2,268 eligible in a given month, current & former foster youth):
 - i. Current Rate: \$200/mo. X 750 youth = \$150,000 per month X 12 = \$1,800,000
 - ii. New Rate: \$300 X 750 youth = \$225,000 per month X 12 = \$2,700,000
 - iii. Difference: \$900,000 increase needed per year, **or \$1,800,000 for the biennium**
- c. Tier 3 ILP Life Skills Services: (15% of eligible current foster youth in a given month):
 - i. Current Rate: service doesn't currently exist
 - ii. New Rate: \$500 X 95 youth = \$47,500 per month X 12 = \$570,000
 - iii. Difference: \$570,000 increase needed per year, **or \$1,140,000 for the biennium**
- d. Tier 4 ILP Life Skills Services:
 - i. Current Rate: service doesn't currently exist (anticipate serving 20% of eligible population)
 - ii. New Rate: \$200 X 100 youth = \$20,000 per month X 12 = \$240,000
- e. Difference: \$240,000 increase needed per year, **or \$480,000 for the biennium**
- f. Youth Engagement Services Calculation:
 - i. Tier 1: Current rates: not currently served (initial + 50% updated every 6 months)
 - ii. New Rate: \$100 X 495 youth X 1.5 = \$78,900
 - iii. Difference: \$74,250 increase per year, **or \$148,500 per biennium.**
- g. ILP Discretionary Funds:
 - i. Current Rate: \$100,000 per year
 - ii. New Rate: \$200,000 per year
 - iii. Difference: \$100,000 increase needed per year, **or \$200,000 for the biennium**
- h. Chafee Housing:
 - i. Current Rate: \$75,000 per year
 - ii. New Rate: \$250,000 per year
 - iii. Difference: \$175,000 increase needed per year, **or \$350,000 for the biennium**

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This POP also funds one Program Analyst 1 and one Administrative Specialist 1 as permanent full-time positions to support the new work related to this POP.

Overall service increase request: \$ \$2,946,002 per year **or \$ \$5,892,004 per biennium.**

Note: Due to COVID-19, service rates for the 16- to 20-year-olds have dropped slightly. The above numbers have been revised downward, to reflect both potential lack of referrals due to COVID-19 and the possible lower number of teens entering foster care as a result of the implementation of the Family First Prevention Services. The decrease is an estimate. We are not able to determine at this time whether the projected decrease in referrals is accurate or may result in ILP Providers needing to reinstate waitlists.

3. How does this policy package further ODHS's mission and align with its strategic plan?

The support requested will assist young adults transitioning out of foster care to live as independently as possible and minimize the need to access the adult welfare system.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

ODHS partners with PSU to track and report outcomes achieved as reported by the National Youth in Transition Database. Success will be measured by the number of youths completing secondary education,

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enrolling in postsecondary education, and obtaining employment as outlined in the performance measures indicated in question 6 below.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

The above requests are tied to the ODHS Performance Measures as follows:

- Item 12A: Needs assessment and services to children.
 - Chafee ILP Key Activity/Intervention 1: Improve youth engagement in the life skills assessment process.
 - Chafee ILP Key Activity/Intervention 2: Ensure appropriate services are available.
- Item 13: Child involvement in case planning.
 - Chafee ILP Key Activity/Intervention: Improve youth engagement in the transition planning process.
- Item 16: Education needs of the child.
 - Chafee ILP Key Activity/Intervention: Improve foster youth preparation for high school completion and pre-college/career readiness.
- Item 31: Agency Responsiveness to the Community

7. What are the long-term desired outcomes?

Stabilize funding available to assist current and eligible former foster youth with a successful transition to adulthood. Minimize the need of former foster youth to rely on the adult welfare system, lower incarceration rates among former foster youth, increase completion rates for both secondary and postsecondary education, and increase wages for former foster youth. Minimize the number of former foster youth who become homeless following foster care. Minimize the number of young adults in foster care who become coded as

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“Missing/Runaway” in OR-Kids following their 18th birthday. Minimize the number of individuals in youth and adult homelessness programs who have foster care history. Minimize the number of teens and young adults accessing temporary lodging.

8. What would be the adverse effects of not funding this policy package?

ODHS may not be able to find community partners willing to contract for needed independent living services. Current and former foster youth will not have access to culturally and linguistically appropriate needed life skills and comprehensive transition planning. Former foster youth will have increased need for resources and supports from the adult welfare system or adult corrections system. In order to maintain community providers, the ODHS must move to increase the rate of pay to for ILP services as indicated above. To stabilize the ILP Provider community, the Department will need to increase ILP Provider rates for traditional ILP services (tier 2) to \$300. With no increase in state funds, this rate increase will result in 297 current and former foster youth (ages 16 through 20) having their ILP life skills training service closed. ODHS will not have assistance needed for crafting federally required transition plans with those 297 youths, or any new teens entering foster care, further exacerbating the Department’s lack of compliance in this area.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

In 2014, due to high demand and limited funding, ODHS adjusted the minimum age of youth to be served from 14 to 16 years. This adjustment was made to ensure youth most in need of services received services. This eliminated the wait lists that existed. However, it did not provide the funding needed to meet the service provision costs incurred by community service providers. The elimination of 14- and 15-year-olds from the ILP service population has also resulted in a decline in compliance with state and federal

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requirements to assist 14- and 15-year-olds craft a comprehensive transition plan. The Department has increased the contracted amounts as much as possible given the Federal Grant and State General Funds available per year. The last increase for Independent Life Skills Training was in November 2015, when the rate increased from \$155 per youth to \$200 per youth. This was prior to the minimum wage increases passed into law. Youth Engagement Services were added to the contracts in January 2016 in an effort to incentivize timely completion of life skills assessments and transition planning. This has increased the number of transition plans completed for youth ages 16 and older; however, comprehensive transition plans for youth ages 14 – 15 have significantly declined since the minimum age of contracted life skills services was raised to age 16 (in 2014). Assisting foster youth to craft a transition plan, beginning at age 14, is a federal requirement and best practice for assisting youth to be prepared for a successful transition to adulthood.

10. What alternatives were considered and what were the reasons for rejecting them?

The Department conducted several pilots to determine the best model for serving the younger teen population. A tiered model for ILP services was created. However, due to lack of funding, the Department was not able to implement the tiered model. However, the model called for a lower rate of pay for the Youth Engagement Services, in anticipation of an increase in the overall monthly ILP service rate. While the increase did not occur, the decrease for Youth Engagement Services was implemented.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

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The nine federally recognized Tribes in Oregon have few older teens in foster care. Tribal foster youth would have increased access to ILP services if the age was lowered to 14 for contracted ILP life skills services. Allowing younger youth (ages 14 – 15) to access culturally and linguistically appropriate and LGBTQ affirming Independent Living Program (ILP) services enables providers to improve youth engagement. Younger youth are more willing to engage in services. This will allow providers to help teens fill in gaps in basic life skills and be better prepared for the more intensive training needed at ages 16 and older. If Independent Living Program services can be extended through age 22 (services end on 23rd birthday), youth and young adults will have access to a resource for assistance with problem solving and funding to assist with emergency needs, which can often derail a young adult’s efforts to be self-sufficient. This should result in less young adults needing to access the adult welfare supports through the Self Sufficiency Program Office (SNAP, TANF, etc.). Post-secondary completion rates would increase, allowing young adults to find a career providing a living wage.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

Our Children Oregon/Oregon Foster Youth Connection (OFYC)
New Avenues for Youth
Institute for Youth Success
Inn Home for Boys
Neighborhood Economic Development Corporation (NEDCO)
Polk Youth Services
Independent Living Program Contractors (18 across the state)
FosterClub, Inc.

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14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

Funding is needed to stabilize and increase the number of culturally agile, linguistically appropriate, and LGBTQ+ affirming Independent Living Programs available to foster youth between the ages of 14 and 23. Increasing the congruency of community providers with populations served will increase the likelihood that all foster youth in Oregon, including youth in Tribal foster care, will experience a successful transition to adulthood.

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2020

End date (if applicable): n/a

15. What assumptions affect the pricing of this policy package?

The ILP assumes 60 percent of eligible 14 – 20-year-olds will be served in a given month. This would result in approximately 80 percent of eligible youth receiving ILP services over time. The ILP also assumes 3.5 percent of former foster youth ages 21 – 22 would return for ILP assistance as young adults.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

New responsibilities would fall on the Foster Care and Youth Transitions Unit at Central Office. The young adults returning for voluntary ILP services would be served as “Admin Only” cases and assigned to the Youth Transitions team staff at Central office. These staff will connect with youth and make a referral for ILP services. It is also anticipated the workload for validating invoices would increase. This would be an added

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workload for the Central Office youth Transitions team. It is also anticipated that more young adults would access Chafee housing. Resulting in a workload increase to the Youth Transitions team, who review monthly budgets and enter the housing payments in OR-Kids.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

There will be minimal impact. ILP services would need to have the service age ranges updated in OR-Kids, the case management system.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

Yes. New service populations: Approximately 60 percent of 14 – 15-year-olds in foster care (370 youth) will receive life skills training services and approximately 15 percent of the former foster youth ages 21 - 22 (156 young adults) will receive life skills training and emergency financial support (if necessary). No increase in caseload to the field is anticipated as the model for serving the 21 – 22-year-olds will be considered “after care services,” which will not require a ODHS caseworker be assigned the case. The ILP contracts will be adjusted to include “after care services.”

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

The community providers will need to increase staffing to accommodate the new populations to be served. ODHS will need to receive two additional FTE (AS1 and PA1). Increased service entries, invoice validation

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lines, and Monthly Service and Progress Report entry, as well as increased Chafee Housing services and budget processing will require additional staff.

20. What are the start-up and one-time costs?

None. A model is already created and ILP Providers have already created plans for implementation.

21. What are the ongoing costs?

The increase rates and additional staff will be on-going costs to the state and program.

22. What are the potential savings?

This is difficult to calculate. The cost savings comes from eliminating the need for young adults who leave the foster care system to rely on the adult welfare system for supports. By expanding the age range for ILP and youth transitions services, you are investing in a successful, tax paying, and contributing member of society.

23. What are the sources of funding and the funding split for each one?

The services noted here can be paid for using the IV-E Chafee Independent Living Federal Grant, but this is a capped grant, and all funding is currently utilized. Therefore, this policy option package is priced at 100% General Fund.

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Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$257,931	\$0	\$0	\$257,931	2	1.76
Services & Supplies	\$75,573	\$0	\$0	\$75,573		
Capital Outlay	\$0	\$0	\$0	\$0		
Special Payments	\$5,558,500	\$-	\$-	\$5,558,500		
Other	\$-	\$-	\$-	\$-		
Total	\$5,892,004	\$-	\$-	\$5,892,004	2	1.76

Fiscal impact by program

	Child Welfare	CW Design	Program 3	Program 4	Total
General Fund	\$5,558,500	333,504			\$5,892,004
Other Funds	\$0				\$0
Federal Funds	\$0				\$0
Total Funds	\$5,558,500	333,504			\$5,892,004
Positions		2			2
FTE		1.76			1.76

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Division:	Child Welfare
Program:	Safety Program
Policy Package Title:	Family Preservation and Prevention Services
Policy Package Number:	POP 114
Related Legislation:	N/A

Summary Statement:	<p>Families that are at high risk or with specific needs can be connected to Community based resources to support the family without a higher level of Child Welfare intervention. Child Welfare must develop a Continuous Quality Improvement program to ensure effective and quality services are provided.</p>
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	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$4,607,137	\$0	\$1,535,672	\$6,142,809	29	25.52

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

The State of Oregon does not have a strong infrastructure to focus on Family Preservation, to include Prevention of Foster Care for children and families. Children who have been maltreated have a higher risk of experiencing a range of negative well-being outcomes, with significant direct and indirect societal costs, and children who are removed from their home may experience additional trauma that can compound the effects of maltreatment (Kolko et al., 2010). Trauma occurs when children experience or perceive one or more negative events or circumstances that cause them emotional pain and impair their ability to cope (Bartlett & Steber, 2019).

A comprehensive and coordinated approach to serve children and families without a higher level of Child Welfare intervention does not currently exist in Oregon. Through a Family Preservation and Prevention model children and families may receive services and supports within their family and community which decreases deeper involvement with the Child Welfare agency.

Many reports to the Oregon Child Abuse Hotline do not meet statutory criteria for a Child Protective Services assessment; however, many of these families have identified risk factors and needs for services and support. Creating a Family Preservation and Prevention model would allow for a family who is identified as needing some level of support, a less intrusive, less intensive and a more cost-effective intervention to be obtained. This may include intensive family preservation efforts and additional services to prevent maltreatment and foster care. Many services and supports may be available within the community but the state is lacking a coordinated process of identification, resource development and service modification as the needs of children and families change.

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Currently, there is no state entity who is creating a comprehensive and coordinated approach to serve families who may need require a higher level of Child Welfare intervention. Oregon Child Abuse Hotline staff are responsible for screening reports of child abuse for the entire state. They often refer callers and families to 211 or the local ODHS offices for resources and services. They do not have information regarding local, county, or regional community resources or services that could be offered to children and families when a need is identified.

Through the development and implementation of a Family Preservation and Prevention model the department believes that there will be a reduction in the numbers of children being separated from families and entering foster care system, and a reduction in families being referred to the Oregon Child Abuse Hotline due to reoccurrence of child abuse.

In addition, Oregon is lacking a Continuous Quality Improvement program to ensure that effective and quality services are provided. The Family First Prevention Services Act of 2018 (Family First Act) has changed the landscape of federal child welfare funding in significant ways to support children to remain safely in their homes and encourage family-based placement when foster care placement is necessary. With specific requirements around evidence-based programs and tools, the legislation expands opportunities to use research and data to drive decision making and direct funding to ensure that children and families receive the most effective services.

The research and evaluation provisions of the Family First Act require that (1) prevention and kinship programs be evidence-based, (2) states rigorously evaluate and support implementation of prevention programs through data-driven continuous quality improvement efforts, and (3) assessment tools used to determine the appropriateness of residential treatment programs be evidence-based. In order to realize these requirements, the Department must create a robust Continuous Quality Improvement program.

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2. What would this policy package buy and how and when would it be implemented?

The Department proposes to create a Family Preservation and Prevention program that will be charged with the development of internal infrastructure to provide supports and coordination of community-based prevention services for children and families. This body of work will incorporate the needs arising from the federal legislation of Family First Prevention Service Act as well as the needs for comprehensive and coordinated services within communities.

A) Family Preservation and Prevention model for Oregon will be led by a centralized team of staff (not necessarily all housed in the same place) who will develop and assist in the delivery of the model.

- 1 PEM-F Family First Preservation Manager will build a Family Preservation program model, provide leadership to the Preservation team, develop, and monitor budgets and represent ODHS in cross system engagement with other departments, state, federal and community partners.
- 2 - OPA3 will be charged with the development of building community partnerships and capacity for closed at screening referrals. They will be responsible for rule, procedure, and practice changes that are necessary to ensure efficiency and consistency within Oregon.
- 2- OPA3 Contract coordinator with a primary focus on Family Preservation contract management, solicitation, gap analysis and budget monitoring. – (FFPSA, ISRS, SPRF, SOC)
- 1 - OPA3 Kinship Care Navigator Program Coordinator; cross systems coordination within ODHS to build preventive support services and approaches for relatives caring for kin with CW, SSP, I/DD, APD.
- 8 – SSS2 Family Advocates/Navigators that can be used for Peer to Peer / advocacy /mentoring as well as staff training and support to caseworkers for practice change. This would be the area to include staff with prior CW lived experience and used as Peer-to-Peer mentoring of parents.
- 1 – AS2 Administrative Specialist to provide the administrative support to ensure Program Manager and program staff are not spending time with administrative tasks.

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The future state may require a realignment of existing or added positions to the field structure for Family Preservation and Prevention staff. Staff will be required to have a unique skill set that can engage and team with families and their communities in a culturally responsive and supportive manner. Once the infrastructure is in place and the model development is underway a better understanding of the necessary skill sets, and staffing capacity will be assessed.

- B) Continuous Quality Improvement program will use research and data to drive informed decision making to ensure that children and families receive the most effective services. The Continuous Quality Improvement model for Oregon will be led by a centralized team of staff (not necessarily all housed in the same place) who will develop and assist in the delivery of the model.
- 1 PEM-F Continuous Quality Improvement- CQI Manager will build a CQI model, provide leadership to the CQI team, develop and monitor budgets, work closely with Child Welfare program managers and represent ODHS in cross system engagement with other departments, state, federal and community partners.
 - 2 PA-3 Program Analyst to work on dash boards, data collection and coordination across programs, provide training and oversight to field staff who may be doing continuous review or data technician. These staff will primarily be internal facing to branch offices, Child Welfare leadership and other state and tribal entities.
 - 2 PA-3 Program Analyst to provide program integrity and oversight of the evidence-based program service array. FFPSA requires the state to evaluate and continually monitor the EBP services. These staff will primarily be external facing to service providers, contractors, and community.
 - 8 OPA 2's to conduct monthly case review across internal child welfare programs (CPS, Well-being, Permanency), their primary functions will include making sure data entry is done correctly, case plans and assessments are completed timely, and children and families are provided effective services.

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- 1 – AS2 Administrative Specialist to provide the administrative support to ensure Program Manager and program staff are not spending time with administrative tasks.

C) The Strengthening, Preserving and Reunifying Families budget is restored to be 75% of the 17-19 Total Fund budget.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

Family Preservation and Prevention full supports ODHS mission:

To help Oregonians in their own communities achieve wellbeing and independence through opportunities that protect, empower, respect choice, and preserve dignity.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

In part yes, the Secretary of State Audit (2018), and the subsequent Governor Brown Executive Order 19-03, which utilized the technical assistance from Alvarez & Marsal (2019) both speak to the need to build a more robust and adequate foster care system in Oregon. Part of the adequacy of a foster care system in Oregon is to ensure only those children who have no other resource but foster care, enter foster care. Oregon cannot build its way out of the influx of children entering foster care by merely creating more foster care placements.

Additionally, the Secretary of State Audit (2018) speaks to the need for a Centralized Hotline for efficiency and consistency within Oregon. The statewide Hotline is fully operational, 24/7/365. To have other options available in referring and serving families without a screened in report of child abuse, allows a tool such as Family Preservation and Prevention model to provide a level of support for families statewide.

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Several citations within various audits, reports and evaluation have noted the lack of accurate data, limited use of data in making informed decisions and the lack of Continuous Quality Improvement.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

The Department has been moving toward Data Analytics and with a Family Preservation and Prevention model, analytics will be highly effective in determining the level of needs within communities across the state. Knowing the needs of the community and the capacity of the community to provide the necessary supports and services will be critical.

- Success will be measured when the rate of children entering foster care in Oregon is reduced through these efforts.
- Success will be measured when a Hotline screener has a family with identified needs and the resources to offer families in all communities in Oregon to prevent child abuse.
- Success will be measured by a reduction in the length of stay for children entering foster care who are able to return home sooner as a result of community services and supports to the family.
- Success will be achieved when the rate of reoccurrence of child maltreatment is reduced.
- Success will be achieved by increasing the number of services in Oregon which meet the criteria for Evidence Based Program.
- Success will be achieved by increasing the number of families who have access to Evidence Based Program within their communities.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

KPM #4 Absence of repeat maltreatment of abused/neglected children

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KPM #5 Timely reunification of foster children

KPM #8 Children served by Child Welfare residing in Parental Home.

7. What are the long-term desired outcomes?

Family Preservation model that is applied statewide will.

- Increase family access to community services and supports of families to prevent child abuse.
- Reduction in assigned reports to Child Protective Services.
- Reduction of children entering foster care system.
- Child Welfare system that is more cost effective by utilization of Prevention rather than full system intervention.

Continuous Quality Improvement model that is applied statewide will.

- Assist in the development of a comprehensive and coordinated continuum of child and family services in all communities statewide.
- Assist the Department to ensure only services that have a level of evidence of success are used for children and families in Oregon.
- Increase the availability of community based, culturally responsive services by continually evaluating programs and services, increase those that add value and decrease those who are not producing positive outcomes.

8. What would be the adverse effects of not funding this policy package?

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The Oregon Department of Human Services Child Welfare will continue to be caught in a cycle of only being able to offer foster care as a resource for vulnerable families struggling to ensure the safety of their children (*If the only tool available is a hammer, everything starts looking like a nail*). Oregon will miss out on the

opportunity to further develop the Family Preservation and Prevention services array afforded to the state through the federal Family First Prevention Services Act, matching funds.

The Department will continue to explain to the Legislature, Secretary of State, Federal Office, Media, communities, parents, and children that Prevention services and resources in Oregon are limited and not available in all communities or to all residents.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

The Department has attempted to build out the overall system through increased foster care capacity, investing in recruitment of more foster families, and investing in resources for more residential care services. The department has consolidated 15 regional child abuse hotlines into one statewide, centralized system. The department has been able to increase the number of staff working in Child Welfare.

While these activities and strategies have been critically important due to the vast deficit the department has faced, it is also well understood that building more in this same direction will not necessarily meet the needs of children and families. Many can be served with less intensive, less intrusive and more community-based services at an earlier phase of prevention.

Multiple efforts have been made over the last decade at developing a Quality Continuous Improvement with limited success. Most often it has been created with limited capacity and a much larger scope of responsibility,

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all of ODHS. A CQI program within Child Welfare and targeted directly at service array and efficiency in case management has a high rate of success.

10. What alternatives were considered and what were the reasons for rejecting them?

The department has assessed that while expertise can be found within the department, resource capacity is not available. This must be value added and not something that is merely added to the already overflowing workload. It will take some intentionality and focus to bring this shift in practice forward.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

Tribal communities can help inform the department on a path forward considering several of the tribes provide a level of family preservation and prevention practices that ODHS can learn from.

Other state and local agencies will be involved in the development of the comprehensive and coordinate Preservation and Prevention approach considering there is an array of community resource interwoven through governments, local resources and within the community.

Intentionality and connection with other state, tribal and local governments will be important in the success of a CQI approach. Many of the community prevention services may be found at the local level or within other state agencies such as Oregon health Authority and Department of Education.

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13. What other agencies, programs or stakeholders are collaborating on this policy package?

The department will be requesting consultation with the Child Welfare Advisory Committee, Indian Child Welfare Advisory, Governors Children’s Cabinet and Parent Advisory committees. This request is also building on much information that has been gathered over the last several years by audits, consulting firms, community conversations, survey’s, etc....

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

Taking a Family Preservation and Prevention approach as well as utilization of community-based resources aligns well with addressing the negative disproportionality impact currently found within the foster care system. Serving children within their communities with local providers who may share in the cultural context will provided greater results.

Utilizing the data analytics, the department will be better equipped with identifying and building resources earlier on with communities.

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2021

End date (if applicable): _____

15. What assumptions affect the pricing of this policy package?

Staffing model. Unable to determine impact of Evidence Based Programs at this time.

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16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

Yes. The department will move toward preservation and prevention services for families. While many families served within the communities may not require Child Welfare intervention, many will need a level of services that currently does not exist within the current Child Welfare structure for service provision. There will be a requirement for the department to develop, implement and modify a comprehensive and coordinated preservation and prevention services array.

In addition, to achieve the level of Evidence Based Programs required by the Family First Prevention Services Act, due diligence is required of the department to provide oversight, monitoring of program fidelity of service providers.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

Office of Contracts and Procurement will be required to increase scrutiny of service provider contracts to ensure the department has corrective action steps for services providers who are not meeting the level of evidence required for federal funding.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

The overall caseload capacity is not anticipating growth but there may be realignment within Child Welfare as to “who” is carrying the case.

Oregon Department of Human Services 2021-23 Policy Option Package

The service array the department will provide will be realigned through current services of ISRS, SPRF, SOC and foster care prevention and build on community's resources.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

- A) Family Preservation and Prevention model for Oregon will be led by a centralized team of staff (not necessarily all housed in the same place) who will develop and assist in the delivery of the model.
- 1 PEM-F Family First Preservation Manager will build a Family Preservation program model, provide leadership to the Preservation team, develop, and monitor budgets and represent ODHS in cross system engagement with other departments, state, federal and community partners.
 - 2 - OPA3 will be charged with the development of building community partnerships and capacity for closed at screening referrals. They will be responsible for rule, procedure, and practice changes that are necessary to ensure efficiency and consistency within Oregon.
 - 2- OPA3 Contract coordinator with a primary focus on Family Preservation contract management, solicitation, gap analysis and budget monitoring. – (FFPSA, ISRS, SPRF,)
 - 1 - OPA3 Kinship Care Navigator Program Coordinator; cross systems coordination within ODHS to build preventive support services and approaches for relatives caring for kin with CW, SSP, I/DD, APD.
 - 8 – SSS2 Family Advocates/Navigators that can be used for Peer to Peer / advocacy /mentoring as well as staff training and support to caseworkers for practice change. This would be the area to include staff with prior CW lived experience and used as Peer-to-Peer mentoring of parents.
 - 1 – AS2 Administrative Specialist to provide the administrative support to ensure Program Manager and program staff are not spending time with administrative tasks.

The future state may require a realignment of existing or added positions to the field structure for Family Preservation and Prevention staff. Staff will be required to have a unique skill set that can engage and team with

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families and their communities in a culturally responsive and supportive manner. Once the infrastructure is in place and the model development is underway a better understanding of the necessary skill sets, and staffing capacity will be assessed.

- B) Continuous Quality Improvement program will use research and data to drive informed decision making to ensure that children and families receive the most effective services. The Continuous Quality Improvement model for Oregon will be led by a centralized team of staff (not necessarily all housed in the same place) who will develop and assist in the delivery of the model.
- 1 PEM-F Continuous Quality Improvement- CQI Manager will build a CQI model, provide leadership to the CQI team, develop and monitor budgets, work closely with Child Welfare program managers and represent ODHS in cross system engagement with other departments, state, federal and community partners.
 - 2 PA-3 Program Analyst to work on dash boards, data collection and coordination across programs, provide training and oversight to field staff who may be doing continuous review or data technician. These staff will primarily be internal facing to branch offices, Child Welfare leadership and other state and tribal entities.
 - 2 PA-3 Program Analyst to provide program integrity and oversight of the evidence-based program service array. FFPSA requires the state to evaluate and continually monitor the EBP services. These staff will primarily be external facing to service providers, contractors, and community.
 - 8 OPA 2's to conduct monthly case review across internal child welfare programs (CPS, Well-being, Permanency), their primary functions will include making sure data entry is done correctly, case plans and assessments are completed timely, and children and families are provided effective services.
 - 1 – AS2 Administrative Specialist to provide the administrative support to ensure Program Manager and program staff are not spending time with administrative tasks.

20. What are the start-up and one-time costs?

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Evidence Based Programs are known to be more costly. While it is not clear what those costs are at this time it is necessary to note that when other state agencies; Oregon Youth Authority, Oregon Health Authority moved services toward Evidence Based Programs there was an increase in the cost of delivering and monitoring those services.

21. What are the ongoing costs?

Undetermined. Evidence Based Programs are known to be more costly. While it is not clear what those costs are at this time it is necessary to note that when other state agencies; Oregon Youth Authority, Oregon Health Authority moved services toward Evidence based Programs there was an increase in the cost of delivering and monitoring those services.

22. What are the potential savings?

None realized in the first 12-months. Reassess for reduction in foster care caseload 12-24 months. Cost savings associated with reducing services not effective will be re-invested in services deemed effective.

23. What are the sources of funding and the funding split for each one?

Child Welfare will access current funding resources available; Title IV-E, IV-E, SSBG,

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$3,780,393	\$0	\$1,260,153	\$5,040,546	29	25.52
Services & Supplies	\$826,744	\$0	\$275,519	\$1,102,263		
Capital Outlay	\$0	\$0	\$0	\$0		
Special Payments	\$0	\$0	\$0	\$0		

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Other	\$0	\$0	\$0	\$0		
Total	\$4,607,137	\$0	\$1,535,672	\$6,142,809	29	25.52

Fiscal impact by program

	CW Design	Program 2	Program 3	Program 4	Total
General Fund	\$4,607,137				\$4,607,137
Other Funds					
Federal Funds	\$1,535,672				\$1,535,672
Total Funds	\$6,142,809				\$6,142,809
Positions					29
FTE					25.52

Oregon Department of Human Services 2021-23 Policy Option Package

Division: Child Welfare Programs
Program Name: Foster Care
Policy Package Title: Governor’s Child Foster Care Advisory Commission
Policy Package Number: POP 115
Related Legislation: HB 2332- A of 2019

Summary Statement:

This policy options proposal accompanies a legislative concept that is effectively a re-introduction of HB 2332 – A of 2019.

HB2332 – A of increased the membership of the commission from 11 to 13 makes modifications to appointments and membership requirements. Appropriates money to the commission for compensation and expense reimbursement of members. As well as directs the Department of Human Services(ODHS) to provide staff and support including a full-time equivalent policy analyst.

This proposal accounts for the

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
<u>Policy Package Pricing:</u>	\$166,400	\$0	\$55,466	\$221,866	1	.88

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PURPOSE

1. WHY DOES ODHS PROPOSE THIS POP (WHAT ISSUE ARE YOU TRYING TO FIX/SOLVE)?

The Commission, created in 2016 by the passage of HB4080, is tasked with monitoring accountability in the foster care system by measuring a comprehensive list of outcomes that includes, but is not limited to, promotion of responsible statewide advocacy for children in foster care, decreasing demographic disproportionality of children in foster care, and decreasing the number of placements in substitute care. Despite the Commission's broad duties, HB 4080 did not appropriate any funding for the Commission to do its work in compiling relevant information or a dedicated staff person. This lack of funding has made it difficult for the Commission to fulfill its full mandate of monitoring and ensuring accountability in the foster care system.

2. WHAT WOULD THIS POLICY OPTION PACKAGE (POP) DO AND HOW WOULD IT BE IMPLEMENTED?

The legislative concept that accompanies this proposal directs ODHS to provide the commission with clerical and administrative staff support, including one full-time equivalent policy analyst position (OPA3). The concept increases the commission's membership from 11 to 13 and appropriates funds to compensate and reimburse members of the commission.

3. HOW DOES THIS FURTHER THE AGENCY'S MISSION OR GOALS?

The mandate of the commission aligns with the agency's goal of actively engaging the community in a variety of collaborative and meaningful ways to influence and shape the Child Welfare system. The currently mandated responsibility of providing monitoring and accountability in the foster care system by measuring outcomes aligns with Child Welfare's commitment to continuous improvement that is data informed.

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QUANTIFYING RESULTS

- 4. IS THIS POP TIED TO A ODHS PERFORMANCE MEASURE? IF YES, IDENTIFY THE PERFORMANCE MEASURE. IF NO, HOW WILL ODHS MEASURE THE SUCCESS OF THIS POP?**

This is not tied to a specific ODHS performance measure as it concerns a legislatively mandated commission. However, several data and performance measures are required to be shared with the commission which informs their legislative agenda.

- 5. WHAT WOULD BE THE ADVERSE EFFECTS OF NOT FUNDING THIS POP?**

If unfunded the commission will continue to struggle to fulfill its full mandate of monitoring and ensuring accountability in the foster care system. The lack of funding will also continue to hinder the Commission's ability to make those who have lived experiences in the foster care system foster care children and youth, parents and families, and foster parents. The reason given for the lack of representation has been the lack of reimbursement for the members.

HOW ACHIEVED

- 6. DOES THIS POP REQUIRE ANY CHANGE(S) TO EXISTING STATUTE(S) OR REQUIRE A NEW STATUTE? IF YES, IDENTIFY THE STATUTE AND THE LEGISLATIVE CONCEPT.**

Yes. ORS 418.041 and 418.043. Additionally, this is ODHS L/C [10000-007](#)

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7. WHAT ALTERNATIVES WERE CONSIDERED AND WHAT WERE THE REASONS FOR REJECTING THEM?

It is the departments understanding that this request was born from the Commission itself and was a recommendation of the commission but was preempted as a privately sponsored HB 2332 of 2019. The legislature did not pass that legislation at that time.

8. WHAT ACTIONS HAVE OCCURRED TO RESOLVE THE ISSUE PRIOR TO REQUESTING A POLICY PACKAGE?

The Commission has attempted to conduct its work and mandate without appropriations currently but has struggled to meet its mandate without dedicated staff.

9. WHAT OTHER AGENCIES (STATE, TRIBAL AND/OR LOCAL GOVERNMENT) WOULD BE AFFECTED BY THIS POP? HOW WOULD THEY BE AFFECTED?

The legislative concept directs Chief Justice of Supreme Court to appoint any member of commission who is representative of Judicial Department however as this is only an appointing requirement the impact on the Oregon Judicial Department is anticipated to be minimal.

10. WHAT OTHER AGENCIES, PROGRAMS or STAKEHOLDERS ARE COLLABORATING ON THIS POP?

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This proposal is a direct request from the Governor's office on behalf of the Governor's Child Foster Care Advisory Commission. This commission is currently made of up members representing foster care alumni, caregivers, service providers, foster parents, child and parent attorneys, CASA, and tribal representatives.

11. WHAT IS YOUR EQUITY ANALYSIS?

This commission sits outside of the department and is mandated to study legal and policy issues pertaining to the foster care system in Oregon and monitor accountability in the foster care system by measuring outcomes that reduce demographic disproportionality in substitute care. Therefore, it is expected that further supports

to fulfill that mandate would enhance our ability to provide equitable services and reduce existing disparities, with the aim of eliminating disproportionality within Oregon's Child Welfare program.

12. WHAT ARE THE LONG-TERM DESIRED OUTCOMES (LONGER THAN THE UPCOMING BIENNIUM)?

The long-term outcomes are specifically outlined by the commission and are:

- Increasing the number of children committed to the custody of the Department of Human Services who are placed with family members, relatives or next of kin.
- Decreasing the number of placements in, and removals from, substitute care for individual children committed to the custody of the department.
- Decreasing the length of time children spend in substitute care.
- Decreasing incidences of abuse, neglect, and maltreatment for children in substitute care.
- Increasing the number of children who receive permanent placements within 24 months of entering substitute care.

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- Decreasing the number of children who, upon becoming ineligible for substitute care, have not achieved independent living status.
- Increasing the number of children who are placed with adoptive parents within 12 months of termination of the parental rights of a child’s biological parents.
- Reducing demographic disproportionality in substitute care.
- Increasing the number of families involved in the foster care system receiving services and assistance to make it possible for children in substitute care to safely return home; and
- Increasing the number of families involved in the foster care system having access to culturally relevant services.

STAFFING AND FISCAL IMPACT

13. WHAT ASSUMPTIONS AFFECT THE PRICING OF THIS POP?

Implementation Date(s): _____

End Date (if applicable): Ongoing_____

- a. Based on these answers, is there a fiscal impact?**
Yes.

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- b. Will there be new responsibilities for ODHS/OHA? Specify which Program Area(s) and describe their new responsibilities.**

<input checked="" type="checkbox"/>	ODHS Office of Child Welfare Programs	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>

Responsible for providing staffing and support to the commission.

- c. Will there be new Shared Services impacts sufficient to require additional funding? Specify which office(s) (i.e., facilities, computer services, etc.) and describe how it will be affected.**

Yes, a single (OPA3) is proposed to provide the support to the commission and would be housed at 500 Summer St NE, Salem OR 97301.

- d. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.**

No.

- e. Will it take new staff or will existing positions be modified? For each classification, list the number of positions and the number of months the positions will work in each biennium. Specify if the positions are permanent, limited duration or temporary.**

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1 OPA3, Permanent, 24 Months

- f. What are the start-up costs, such as new or significant modifications to computer systems, new materials, outreach, and training?**

none

- g. What are the ongoing costs?**

Staff cost

- h. What are the potential savings?**

It is not anticipated that there will be savings.

Total for this policy package

<u>Category</u>	<u>GF</u>	<u>OF</u>	<u>FF</u>	<u>TF</u>
Personal Services	\$137,862	\$0	\$45,955	\$183,817
Services & Supplies	\$28,538	\$0	\$9,511	\$38,049
Capital Outlay	\$0	\$0	\$0	\$0
Special Payments	\$0	\$0	\$0	\$0
Other	\$0	\$0	\$0	\$0

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Total	\$166,400	\$0	\$55,466	\$221,866
Position				1
FTE				.88

Fiscal impact by program

					Total
General Fund	\$166,400				\$166,400
Other Funds	\$0				\$0
Federal Funds	\$55,466				\$55,466
Total Funds	\$221,866				\$221,866
Positions					1
FTE					.88

Oregon Department of Human Services 2021-23 Policy Option Package

Division: Child Welfare
Program Name: Treatment Services
Policy Package Title: Foster Family Recruit Team
Policy Package Number: POP 116
Related Legislation: N/A

Summary
Statement:

Oregon does not currently have a formalized respite care program. Respite care is short-term childcare services that offer temporary relief, improves family stability, and has been shown to reduce the risk of abuse or neglect. This Policy Option Package is derived from the recommendation from the assessment conducted by the consulting firm Alvarez & Marsal. Respite care provides foster parents with short-term child caring services that offers temporary relief, improves family stability, and reduces the risk of abuse or neglect. Respite can be planned on an ongoing basis or offered during emergencies or times of crisis.

This Policy Option Package seeks a multifaceted approach to solve a longstanding problem by providing respite services to foster parents. One approach would create a formalized, consistent, structured statewide respite program. This program would bolster foster family supports for those with limited resources, increase retention of foster families and increase placement stability. The other approach will provide emergency/crisis respite to ODHS certified families and Tribal Certified families with children in their homes in the custody of ODHS by overlaying the Behavioral Rehabilitative Services (BRS) infrastructure. This respite plan relies on the BRS infrastructure, primarily the Proctor Care system, to diversify their placement services by adding respite supports. Current BRS rules note that Proctor

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homes can serve 1 or 2 youth whom are not BRS clients, depending on the adult to child ratios natural to the home.

Keeping in line with our agencies priority of preserving families, 25% of these funds will go to provide the respite services outlined above to families receiving In Home services and where the children in those homes are not in foster care.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
<u>Policy Package Pricing:</u>	\$18,275,883	\$0	\$1,165,112	\$19,440,995	1	.88

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
<u>Final Funded after Package 801 Reduction (program funded for 18 months vs. 24)</u>	\$ 13,668,148	\$0	\$ 887,701	\$ 14,555,849	1	.88

Oregon Department of Human Services 2021-23 Policy Option Package

PURPOSE

1. WHY DOES ODHS PROPOSE THIS POP (WHAT ISSUE ARE YOU TRYING TO FIX/SOLVE)?

In April 2019, Governor Kate Brown contracted the services of consulting firm Alvarez & Marsal to assess the Oregon foster care system. Alvarez and Marshal alongside program management determined Oregon Child Welfare would benefit from a standardized, formal statewide respite program.

This recommendation echoes a consistent theme voiced by foster parents statewide which is a lack of support/breaks from the considerable demands of foster parenting. Foster parents often do not have the identified resources to provide respite. A formalized, consistent, structured statewide respite program would provide a needed service for ODHS certified families. This program would bolster foster family supports for those with limited resources, increase retention of foster families and increase placement stability.

2. WHAT WOULD THIS POLICY OPTION PACKAGE (POP) DO AND HOW WOULD IT BE IMPLEMENTED?

This proposal would allow for ODHS to provide ODHS certified foster parents and foster parents certified by the tribe with children in ODHS custody placed in their homes, with a respite payment of \$55.00/day up to 3 days per month per child for an average of 3,882 children in foster care (75% of the total 5,176 children in the substitute care setting) as of the Spring 2020 21-23 Forecast, with additional opportunity to contract with other programs to provide ongoing respite services to serve more foster youth per month. (see pricing section 15).

The Emergency/Crisis Respite portion of this proposal would allow ODHS to serve 317 foster youth per month in crisis or emergency respite at various rates (see pricing section 15). This construct relies on the

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BRS infrastructure, primarily the Proctor Care system, to diversify their placement services. Current BRS rules note that Proctor homes can serve 1 or 2 youth whom are not BRS clients, depending on the adult to child ratios natural to the home.

This would require one Operations and Policy Analyst 3 that would serve as a respite coordinator located in the ODHS Office of Child Welfare Programs.

District offices would be responsible for assigning existing Certification Staff to any additional workload that would be created by new rules to achieve the certification or licensing of respite providers.

3. HOW DOES THIS FURTHER THE AGENCY’S MISSION OR GOALS?

A core goal of ODHS is to ensure that children and youth are safe, well and connected to their families, communities and cultural identities. To accomplish this the Child Welfare system needs a robust network of quality foster parents that can support the needs of the youth in their care while balancing their needs to ensure they remain willing to be resources for the department. Providing respite care as proposed would provide foster parents with short-term child caregiving services that offers temporary relief, improves family stability, and reduces the risk of abuse or neglect.

QUANTIFYING RESULTS

4. IS THIS POP TIED TO A ODHS PERFORMANCE MEASURE? IF YES, IDENTIFY THE PERFORMANCE MEASURE. IF NO, HOW WILL ODHS MEASURE THE SUCCESS OF THIS POP?

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No. ODHS plans to measure 1) how many children and family are served and receive respite, 2) placement stability rates, 3) qualitative satisfaction responses from populations served, 4) resource family retention rates.

5. WHAT WOULD BE THE ADVERSE EFFECTS OF NOT FUNDING THIS POP?

Child Welfare will continue to struggle to provide respite care for foster parents. As this continues to be shared as a barrier for foster parent recruitment and retention it will continue to impact the state's ability to recruit and retain qualified foster parents. If we do not improve in this area, we risk the continued difficulties in retention of current foster parents and continued difficulties in recruitment.

HOW ACHIEVED

6. DOES THIS POP REQUIRE ANY CHANGE(S) TO EXISTING STATUTE(S) OR REQUIRE A NEW STATUTE? IF YES, IDENTIFY THE STATUTE AND THE LEGISLATIVE CONCEPT.

No.

7. WHAT ALTERNATIVES WERE CONSIDERED AND WHAT WERE THE REASONS FOR REJECTING THEM?

Child Welfare conducted an analysis in partnership with the Casey Foundation to inform the development of this proposal.

To inform this business plan the following steps were taken:

- Researched other states' approach to respite care by the Casey Foundation

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- Compiled what districts are currently doing to support foster parents with respite
- Obtained legal guidance regarding ODHS authority to certify respite providers

This proposal was selected as it could quickly establish respite options.

8. WHAT ACTIONS HAVE OCCURRED TO RESOLVE THE ISSUE PRIOR TO REQUESTING A POLICY PACKAGE?

Up until recently there were no funds available outside of the monthly maintenance payment that could be used for regular respite. In 2018, the department was given some financial resources, allocated to the districts, to reimburse foster parents when respite is used. However, that funding is very limited and does not support all foster parents. Additionally, the process still relies on foster parents to identify the respite resource. Due to limited funding, each District was instructed to prioritize placement stability and other specific factors in utilizing respite funds.

9. WHAT OTHER AGENCIES (STATE, TRIBAL AND/OR LOCAL GOVERNMENT) WOULD BE AFFECTED BY THIS POP? HOW WOULD THEY BE AFFECTED?

Tribal Certified Homes that have children in ODHS custody would also be able to access this respite resource.

10. WHAT OTHER AGENCIES, PROGRAMS or STAKEHOLDERS ARE COLLABORATING ON THIS POP?

Oregon Department of Human Services 2021-23 Policy Option Package

This proposal is a result of the recommendations from the consulting firm Alvarez & Marsal which was further expanded upon by the Casey foundation. While not directly worked on for this proposal this aligns with previous requests from Oregon foster parent organizations.

11. WHAT IS YOUR EQUITY ANALYSIS?

We currently do not have enough cultural or linguistically appropriate placement options for children experiencing foster care. This investment will increase our ability to recruit and retain foster parents and therefore could provide more equitable services and reduce existing disparities.

12. WHAT ARE THE LONG-TERM DESIRED OUTCOMES (LONGER THAN THE UPCOMING BIENNIUM)?

Having a formalized respite program would increase number of appropriate and available placement options to improve placement matching, reduce the number of placements for children and improve the overall well-being of children experiencing foster care. Foster Parents would spend less time identifying appropriate respite placements and therefore be more willing to remain a resource for a longer period-of-time for the department. It is also anticipated that providing respite services to families with children In Home, and not in foster care, would help preserve families and prevent the need for children to enter foster care.

STAFFING AND/OR FISCAL IMPACT

13. WHAT ASSUMPTIONS AFFECT THE PRICING OF THIS POP?

Implementation Date(s): 7/1/21 (Note: The POP was fully funded in POP 116 but was reduced by 6 months in package 801. The actual implementation day is 1/1/2022.)

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End Date (if applicable): Ongoing

a. Based on these answers, is there a fiscal impact?

Yes.

b. Will there be new responsibilities for ODHS/OHA? Specify which Program Area(s) and describe their new responsibilities.

<input checked="" type="checkbox"/>	ODHS Office of Child Welfare Programs	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>

Responsible for developing a targeted Statewide Respite Recruitment and licensing/certification practice model and implementing it statewide.

c. Will there be new Shared Services impacts sufficient to require additional funding? Specify which office(s) (i.e., facilities, computer services, etc.) and describe how it will be affected.

No.

d. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

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Yes, this proposal accounts for the availability of respite care for all foster parents statewide. For an average of 3 days per month per child. It is assumed that there will be a 56% utilization rate of foster parents (Biennial population is 4,783 and 56% of this would be 2,690 children in foster care will receive respite care per month). The workload to certify/license respite providers would fall on the workload of current certifiers and doesn't provide for additional positions to do the added work. It is assumed there will be a 60% utilization rate for families within Home services (Biennial population is 1,484 and 60% of this would be 897 children living at home and not in foster care)

- e. **Will it take new staff or will existing positions be modified? For each classification, list the number of positions and the number of months the positions will work in each biennium. Specify if the positions are permanent, limited duration or temporary.**

1 OPA3, Permanent, 24 Months

- f. **What are the start-up costs, such as new or significant modifications to computer systems, new materials, outreach, and training?**

All outreach, recruitment, and training activities will need to be ongoing.

- g. **What are the ongoing costs?**

The ongoing program costs are for Certified Family Respite Care and Emergency and Crisis Respite, which is a higher level of respite care.

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Description	Unit	Max Units (hours/night)	Rate per unit	Utilization (Youth) per Month	Number of Months	Total Fund Cost
Certified Family Respite Care	Day	3	\$ 55	3,587	24	\$ 14,205,510
Contracted Services	Biennial	n/a	n/a	n/a	n/a	\$ 827,754
Potential FF Limitation need	Biennial	n/a	n/a	n/a	n/a	\$ 1,109,646
Emergency/Crisis Respite						
In-home	Hour	3	\$ 80	108	24	\$ 622,080
Day Respite	Hour	6	\$ 100	87	24	\$ 1,252,800
Planned Overnight	Night	2	\$ 120	69	24	\$ 397,440
Crisis Respite	Night	2	\$ 170	53	24	\$ 432,480
<i>Emergency/Crisis Subtotal</i>						\$ 2,704,800
Ongoing recruitment of Emergency/Crisis Respite Providers	Biennial	n/a	n/a	n/a	n/a	\$ 695,880.00
Total Cost						\$ 19,543,590

Other ongoing costs are for a staff person that are requested as part of this Policy Option Package as well as costs to assist the provider community in starting-up new programming that meets ODHS requirements. There will be a need for ongoing costs for marketing, events, training new homes with incentive-based training to cover cost of childcare, cash incentives for signing on etc.

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There is currently \$321,461 in General Fund in the Child Welfare budget in the 21-23 CSL, which is subtracted from the total costs above to get the total additional funding requested in this Policy Option Package.

Package 801 reduced the effective investment of this POP, delaying the implementation date by 6 months. The new implementation date is 1/1/2022. Package 801 reduced the funding for this new program by -\$4,607,735 General Fund, and by -\$277,411 Federal Fund (Total Fund reduction of -\$4,885,146).

h. What are the potential savings?

The savings are in human capital. Better and more consistent foster care services to children and reducing trauma. Better supported foster families, reducing burnout and increasing their capacity to provide care to children. Better outcomes for children and families. Less staff burnout as they are able to provide the services and supports necessary to provide excellent customer service.

What are the sources of funding and the funding split for each one?

Most of the respite services do not qualify for federal funds. The funding split varies for each level of respite.

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Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$137,862	\$0	\$45,955	\$183,817	1	0.88

Services & Supplies	\$28,538	\$0	\$9,511	\$38,049		
Capital Outlay	\$0	\$0	\$0	\$0		
Special Payments	\$18,109,483	\$-	\$1,109,646	\$19,219,129		
Other	\$0	\$0	\$0	\$0		
Total	\$18,275,883	\$0	\$1,165,112	\$19,440,995	1	0.88

Fiscal impact by program

	Program	CW Design	Program 3	Program 4	Total
General Fund	\$18,109,483	166,400			\$18,109,483
Other Funds	\$-				\$0
Federal Funds	\$1,109,646	55,466			\$1,109,646
Total Funds	\$19,219,129	221,866			\$19,219,129
Positions	0	1			1

Oregon Department of Human Services 2021-23 Policy Option Package

Division: Child Welfare
Program: Health and Wellbeing
Policy Package Title: CW16 School of Origin Transportation
Policy Package Number: POP 117
Related Legislation: N/A

Summary Statement: This policy package asks for a funding increase to School of Origin transportation which is a contracted service through an IGA with Oregon Department of Education (ODE). School of Origin transportation allows foster students to remain in their school of origin, even if their foster care placement, is not within the school boundaries. This transportation service promotes school stability, which should increase educational outcomes for the foster student. School of Origin is mandated through federal and state laws, and requires that transportation should not come as a cost to the student. These laws went into effect in Oregon, in 2017, and costs have been rising, since implementation. If the package is not funded, Oregon would be out of compliance with federal and state mandates.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$927,925	\$32,881	\$894,375	\$1,855,181	0	0.00

Oregon Department of Human Services

2021-23 Policy Option Package

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

In 2015, congress passed the Every Student Success Act (ESSA), which replaced No Child Left Behind, federal education law. ESSA included a set of education protections for students in foster care. ODE introduced these changes, in SB 20, during the 2017 legislative session. The legislative changes that impacted students in foster care were:

- ORS 339.133 was re-written to allow students in foster care, the ability to automatically remain in their school of origin (the school they were attending when placed in foster care). The school of origin can only be changed by the juvenile court.
- ORS 339.133 (4)(B) states that students in foster care: be provided, free of charge, transportation between the individual's home and the individual's school district of origin or, if applicable, the individual's school of origin.

ODHS and ODE worked together to create a cost-sharing school of origin transportation plan. Oregon's 197 school districts would be responsible for providing the transportation, which would be reimbursed 100%. ODE would reimburse 70-90% from the state school fund, and ODHS would pay for the remainder. The 70-90% varies by school district and is set by ODE reimbursement practices.

Local school districts send a quarterly invoice to ODE, who bills ODHS for the 10-30% of the cost. ODHS invoices each child separately, so IV-E federal funds can be used when a child is eligible. The invoices are paid to ODE, and the school districts can draw down their funds through an electronic system.

The fiscal for SB 20 (2017), included many unknown variables, which made calculating potential costs very difficult. There were funds from a transportation pilot program, in District 2, where ODHS was paying 100% of transportation costs. The decision was to use those funds and IV-E, for the statewide transportation plan. There would be a cost savings from the Multnomah transportations (-70%), which would allow for statewide

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implementation. There was also a lot of staff time (caseworkers and SSA's) providing school transportation, on a regular basis. The fiscal was based upon the total statewide education transportation costs, from the 2015-2016 school year, and the District 2 pilot program combined. This is taken directly from the bill analysis:

These costs are pulled from the following services codes: Transport for School Contracted; Transportation School Conferences; Transport for School Non-Contracted; and Contracted Travel - Per Trip Cost - SOC. The total fund costs for the 2015/2016 school year is \$969,194.42.

The unknown variables of the fiscal were:

- The law allowed foster students to automatically stay in their school of origin, and OR-Kids does not allow for a way to pull aggregate data on those decisions.
- There was not a data set to determine how many foster students are placed outside of their school districts.
- There was no way to pull from OR-Kids, the number of students who currently had Best Interest Findings.
- There was no way to predict increases in children entering foster care or children needing more moves within foster care.

Costs of transportation and the number of foster students using this school of origin transportation, have increased significantly, thus the need for the Policy Option Package. Several factors have increased the usage of this transportation service:

- ODHS and ODE have done extensive regional trainings, making school and ODHS staff aware of the school of origin laws and procedures to obtain transportation.
- Now that transportation is no longer a barrier, more students are staying in their school of origin. Juvenile Courts are less inclined to make Best Interest Findings to change schools.

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- The temporary lodging agreement was executed around the same time of this bill. Children who are moving from shelter placement to shelter placement, are often remaining in their school (and being transported long distances), since a long-term foster care placement is not available.
- ODHS and ODE added to the 2019-2021 IGA the ability to do transportation for children on trial reunification. During the first two years of invoicing, caseworkers were adding this into transportation plans, due to the difference in foster care definitions. ESSA defined foster care as “away from the parents,” yet in child welfare, “foster care” generally includes trial reunification. Many states have also added Trial Reunification to their agreements, so children can finish the school year, as long as ODHS has custody.
- Transportation can be expensive, when a school district develops a single bus route for one student. Students are also transported by taxi’s; medical transportation; and foster parent mileage reimbursement.
- School districts have reported that Oregon’s good economy (prior to COVID-19), made it increasingly difficult to fully staff bus drivers. This meant school districts had to rely on taxi’s and other types of transportation, to accommodate the law.

2. What would this policy package buy and how and when would it be implemented?

This policy package would fully fund foster student, school of origin transportation, as costs have been increasing. ODHS would implement this 2021-2023 transportation budget in accordance with an updated Inter-governmental agreement with Oregon Department of Education. Further this Policy Option Package requests that costs related to School of Origin Transportation with the Department of Education be considered an Exception in the Current Service Level budget build process. In this way costs for this service can be covered in a normal budget process.

School of Origin transportation is needed for foster students to be able to remain in their school of origin, in accordance with federal and state laws. The money will purchase a contracted service, in which the funding is

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paid to ODE, but the service is done by the local school district. Transportation is the responsibility of the local school district, and ODHS does not have input into the transportation type, unless there are safety concerns. Foster students are transported by busses, taxis, medical transportation, and foster parent mileage reimbursement.

The transportation rates vary, by transportation type and mileage. Some school districts work with a neighboring school district, and each claim half of the transport (ex: school buses from different districts, meet at the district line, and hand the student off to another bus). In the most recent set of invoices, the transportation distance (one way), ranged from .5 miles to 89.4 miles. Additionally, if medical transportation is used, those rates tend to be higher.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

This policy package contributes towards ODHS’s mission and strategic plan, in the following ways:

- Giving foster students the opportunity to have increased educational outcomes fits into the ODHS mission. Education provides wellbeing, independence through opportunities, and empowerment.
- One of the federal wellbeing measures for child welfare is: children receive appropriate services to meet their education needs. This has been an area of our Child and Family Services Review (CFSR)/Program Improvement Plan (PIP)/Annual Progress and Services Report (APSR), where Oregon has consistently scored well. Our last review PIP review showed that 87.4% of cases were rated a strength.
- This service is necessary to remain in compliance with federal law, The Every Student Succeeds Act.
- School stability and access to achievement is an equity service.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No, this package, is not as a result of state or internal audits.

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QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

ODHS will develop a quality assurance plan to better understand the transportation cost and effectiveness of plans.

ODHS will continue to monitor foster student, education outcome data, to determine the effectiveness of school stability on outcomes.

ODHS will be monitored through the federal, Child and Family Services Review (CFSR) process, which measures child wellbeing and whether ODHS provides appropriate services to meet the child's education needs.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

No.

7. What are the long-term desired outcomes?

The long-term goal is for students experiencing foster care, to have better education outcomes. Education outcomes are measured by graduation rates and performance measures in reading/language and math/science. These are measured by ODE, through a data sharing agreement with ODHS. Annual reporting is required, although a federal waiver is currently in place, due to the impacts of COVID-19.

School stability also helps students, socially and emotionally, by creating stable relationships with peers, teachers, school counselors, and other school connections. Foster students with special education needs, have a more continuous services plan, when they are not moving schools with every foster care placement change.

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8. What would be the adverse effects of not funding this policy package?

If the policy package is not accepted, compliance with federal and state statutes, could be in jeopardy. ODHS will have to make some decisions about which school of origin transportations will not be funded. This could be difficult, as foster students have the automatic right to remain in their school of origin. A student in foster care, can only attend their school of residence (if different from school of origin), if the juvenile court, makes a finding, which includes input from the child's team. Federal guidance has been very clear, that Best Interest decisions are made solely around the needs of the child and are not to be made around resource issues.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

An original budget of \$700,000 GF, with related inflation growth, was identified to cover school transportation costs with the Department of Education. However, the costs in 19-21 increased to the extent that additional GF budget is required, with 21-23 cost estimated to be higher still.

10. What alternatives were considered and what were the reasons for rejecting them?

The agency has not considered other options. While the trajectory of the increasing transportation invoices, was not surprising, the amount increased significantly in Q2 of 2019, which arrived early in 2020.

One option would be to discontinue school of origin transportation on trial reunification foster cases. This would need to be amended in the 2021-2023 Inter-governmental agreement. This could be changed, due to the ESSA Foster Care definition, which says the child is "placed away from their parent." The cost of trial reunification cannot be easily extrapolated from OR-Kids, to know what that would reduce total cost by. It was

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also difficult for caseworkers, because child welfare is used to the term foster care, encompassing trial reunification.

Any other cost saving options would likely require statutory changes. There would likely be push-back from child advocates and community partners.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No, this policy package does not require any statute changes and is not connected to a legislative concept.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

The Oregon Department of Education (ODE), has primary responsibility of ensuring federal laws are followed. It is unclear what impact violations would cause. Federal and state audits are a part of The Every Student Succeeds Act, oversight. It is unclear whether ODE would suffer fiscal or budget impacts.

ODE has been working with Tribes to establish individual agreements with Tribes who have their own court systems and foster parents. This agreement would not impact ODHS.

The juvenile court system is a vital partner to the school of origin process. Oregon is the only state that has the juvenile court make these findings. Oregon was one of the few states to have school of origin laws, many years, prior to ESSA. The previous state law had the juvenile courts make the Best Interest Findings, so that remained the same, when the law changed in 2017. This would be an operational impact.

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13. What other agencies, programs or stakeholders are collaborating on this policy package?

School of Origin Transportation costs are shared with Oregon Department of Education (ODE). ODE pays 70-90% of the cost, through the State School Fund, and ODHS pays the remainder. The 70-90% rate is determined by ODE and varies per school district. ODE does not appear to be requesting funding.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being and independence?

ODE posted its first graduation rate data for foster students, in December 2018. The graduation rate was 35%, compared to 77% for non-foster care students. Additionally, foster students are identified as having a disability and needing special education services at a higher rate than non-foster care students. The Every Student Succeeds Act (ESSA) created school of origin laws to help create school stability for students in foster care. The laws included no cost (to the student) transportation for foster students to continue in their school of origin.

School of Origin Transportation allows students in foster care, to remain in their school of origin, despite placement moves into and within foster care. The overall goal is for students in foster care, to have better educational outcomes and graduation rates due to school stability. National research has determined that each time a student moves schools, education achievement is set back, and foster care moves tend to increase that school disruption.

STAFFING AND FISCAL IMPACT

Implementation date(s): Ongoing

End date (if applicable): Ongoing

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15. What assumptions affect the pricing of this policy package?

In the 09-11 Legislative session a total of \$700,000 General Fund was set aside for the School of Origin Department of Education transportation. With biennial inflation and any budget reductions considered, the 21-23 General fund amount for this program is \$827,194. ODHS CW can draw down IV-E Federal Funds for IV-E eligibility children. In addition, Child Welfare can utilize Child Trust amounts for Other Funds. The Funding split is:

	GF	OF	FF	TF
Actual Split	50%	2%	48%	100%

The total revenue currently available in the 21-23 CW budget is:

	GF	OF	FF	TF
Actual Revenue 21-23	\$827,194	\$29,311	\$797,285	\$1,653,790

The 21-23 billed costs are expected to be \$3.5 million Total Fund. Between 17-19 and 19-21 the services provided grew in cost by 272%. This level of growth is not assumed to continue. The 19-21 estimated costs compared to the 19-21 actual cost showed a difference of +23%. This percent is assumed to be the growth between 19-21 and 21-23 for actual billed services.

With the current budget and the projected 21-23 costs, ODHS CW is requesting via this Policy Option Package TF of \$1,855,181 (GF \$927,925).

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	GF	OF	FF	TF
Total Cost for 21-23	\$ 1,755,119.00	\$ 62,192.00	\$ 1,691,660.00	\$ 3,508,971.00
Current Budget	\$ 827,194.00	\$ 29,311.00	\$ 797,285.00	\$ 1,653,790.00
New Funding Needed	\$ 927,925.00	\$ 32,881.00	\$ 894,375.00	\$ 1,855,181.00

Further for future biennia CW is requesting that this area be considered for Exception pricing in the normal Current Service Level budget build.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

This policy package would not incur new responsibilities for ODHS.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

There are no impacts to shared services.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant programs.

Funding this POP will assure that all foster children will continue to receive the school transportation.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

There is no staff or positions with this policy package.

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20. What are the start-up and one-time costs?

Not applicable.

21. What are the ongoing costs?

The 21-23 TF cost is \$3.5 million. With the current budget and the projected 21-23 costs, ODHS CW is requesting via this Policy Option Package TF of \$1,855,181 (GF \$927,925).

	GF	OF	FF	TF
Total Cost for 21-23	\$ 1,755,119.00	\$ 62,192.00	\$ 1,691,660.00	\$ 3,508,971.00
Current Budget	\$ 827,194.00	\$ 29,311.00	\$ 797,285.00	\$ 1,653,790.00
New Funding Needed	\$ 927,925.00	\$ 32,881.00	\$ 894,375.00	\$ 1,855,181.00

Further for future biennia CW is requesting that this area be considered for Exception pricing in the normal Current Service Level budget build.

22. What are the potential savings?

Prior to the ODHS and ODE cost sharing agreement, many schools of origin transports were done by child welfare staff. Caseworkers and SSA’s were used in some districts, to pick-up and drop-off children at school, when there were no other options. This plan saves valuable staff time.

23. What are the sources of funding and the funding split for each one?

ODHS CW can draw down IV-E Federal Funds for IV-E eligibility children. In addition, Child Welfare can utilize Child Trust amounts for Other Funds. The Funding split is:

GF OF FF TF

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Actual Split 50% 2% 48% 100%

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$0	\$0	0	0.00
Services & Supplies						
Capital Outlay						
Special Payments	\$927,925	\$32,881	\$894,375	\$1,855,181		
Other						
Total	\$0	\$0	\$0	\$0	0	0.00

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$927,925				\$927,925
Other Funds	\$32,881				\$32,881
Federal Funds	\$894,375				\$894,375
Total Funds	\$1,855,181				\$1,855,181
Positions	0				0
FTE	0.00				0.00

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Division:	Child Welfare
Program:	Various
Policy Package Title:	Child Welfare Stability
Policy Package Number:	POP 118
Related Legislation:	N/A

Summary Statement: The purpose of this request is to stabilize the Child Welfare program by attaining position authority for currently non-budgeted double-filled positions that are critical to Child Welfare operations and services. The agency and the Child Welfare program have historically used double fills to address workload needs that could not be met by budgeted positions. This package requests position authority for 99 positions (87.12 FTE) throughout various Child Welfare units as well as some Central office units that are critical to Child Welfare’s stability.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$15,859,656	\$1,007,800	\$9,473,622	26,341,078	99	87.12

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

When ODHS and the Oregon Health Authority split in 2009, ODHS was left without many key positions and resources to support its mission. In addition, ODHS has adapted to changing needs mid-Legislative sessions to minimize disruptions in service and respond to various crisis situations. To continue serving Oregon’s children and families as smoothly and efficiently as possible, ODHS had to hire people when there were not available budgeted positions. To meet workload demands and gaps in services, two or more people have been hired on the same position number, resulting in “double fills” or non-budgeted positions.

While the use of double fills has allowed the agency to address immediate needs, it has complicated the budget for ODHS programs. In order to finance these double fills, the agency has left authorized positions vacant, which means important work is not getting done. Attaining position authority will improve transparency around the budget, make effective position management more feasible, and ensure the stability of essential positions and functions that are critical to ongoing functionality of the Child Welfare program.

2. What would this policy package buy and how and when would it be implemented?

This package buys 99 positions, all of which are currently filled as non-budgeted positions at the time this POP was written (August 2020):

The agency will move the positions from non-budgeted to budgeted positions once the positions are available in the system.

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3. How does this policy package further ODHS's mission and align with its strategic plan?

In order to maintain the mission-critical work of keeping children safe and families stable, the agency must have a stable workforce. The work performed by Child Welfare's central office design team is essential to daily operations. Some functions these positions provide include creating and delivering trainings to ensure work is performed competently, analyzing, and implementing federal funding requirements to maintain compliance, ensuring access to treatment services for children with behavioral health needs, and guiding the Child Welfare program toward racially equitable service delivery. The work performed by these positions ensures that Oregon's children and youth are safe and well and connected to their families, communities, and cultural identities.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

The Oregon Secretary of State's 2016 audit of the foster care system resulted in several recommendations to improve the wellbeing of children and youth. Of those, the positions in this package are either directly or indirectly responsible for the implementation or maintenance of the following:

- Increasing staffing resources for Child Protective Services
- Increasing data-informed decision-making
- Cultivate a culture of transparency, responsibility, respectful communication, and professionalism using an array of leadership tools and measurable through an independent work environment survey
- Review the structure and organization of key child welfare programs to identify and understand long-standing issues and system weaknesses; set policy and communicate expectations to ensure appropriate implementation of changes; and ensure changes are not simply reorganizations or movement of employees, but help management to address root problems

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- Review the Oregon Safety Model to ensure that staff fully understand and can apply key concepts and more effectively safeguard child safety
- Collect and use data to improve the foster care system
- Design a robust internal policy to reduce the risks of hoteling children by providing district caseworkers and office staff with clear protocols and operational support
- Commit to building foster placement capacity across the whole system for children with a range of behavioral, health-related, and cultural needs
- Develop a strategy for ending the practice of placing children in hotels
- Monitor caseworker caseloads, district staffing allocations, and the impact of turnover, overtime use, lack of experience, and FMLA use on caseloads to support equitable staffing allocations across the state
- Take actions to improve caseworker and staff training
- Work with the Department of Justice and the Legislature to improve caseworker access to legal representation and legal case management support
- Ensure that the central and district offices are in regular communication with field offices throughout the state and provide the necessary support and resources to field offices when requested

The audit also included clear recommendations for the agency to understand, clearly communicate, and advocate for program and staffing needs to the Legislature, to ensure the budget foundation necessary for stable program operations.

Finally, the positions in this package are responsive to the Governor's 2019 Executive Order related to the Child Welfare system, and the findings and recommendations of Alvarez and Marsal (A&M) consulting firm.

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QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

The success of this policy package will be measured by the ability of the Child Welfare program to effectively manage their budget and position authority to meet their workload demands.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

Child Welfare KPM 4: Absence of repeat maltreatment of abused/neglected children

Child Welfare KPM 5: Timely reunification of foster children

Child Welfare KPM 6: Timely adoption once children are legally free

Child Welfare KPM 7: Disparity of foster youth achieving permanency

Child Welfare KPM 8: Children served by child welfare residing in parental home

7. What are the long-term desired outcomes?

The long-term desired outcomes are:

- Child Welfare program reduces its use of non-budgeted double-fills and exercises a rigorous process for reviewing new double-fill justifications.
- Child Welfare program has the necessary position authority to stabilize their budget and effectively allocate positions according to workload need
- The agency has the necessary support positions so that Child Welfare can focus on their core work.
- The agency increases transparency and clarity in the budget process

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8. What would be the adverse effects of not funding this policy package?

Not funding this position package would result in:

- Continued use of double fills to meet workload demands
- Lack of stability and transparency in the Child Welfare budget
- Lack of stability in Central services to predictably support Child Welfare
- Holding positions vacant to fund double fills, resulting in less productivity in other areas of the agency

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

The Child Welfare program has used rigorous position management practices to steadily reduce the number of double fills. Whenever possible, vacant positions have been used to clear double fills. A strict review process has been implemented for justifying the creation of new double-fills and the practice has significantly decreased. The agency also worked closely with CFO, LFO and the Governor's office over the course of the past year to craft a position package that would be most effective in achieving the agency's key goals.

10. What alternatives were considered and what were the reasons for rejecting them?

Continue carrying double-fills and attempt to reduce them through attrition over time. This process would take several years to accomplish and would result in continued unstable and unsustainable position management practices as well as a lack of transparency in budgeting. Additionally, this option does not provide the agency the position authority and stable, trained staff needed to meet true workload demands.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

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No.

**12. What other state, tribal, and/or local government agencies would be affected by this policy package?
How would they be affected?**

None.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

The agency has worked closely with the Chief Fiscal Office, Legislative Fiscal Office, and Governor's Office over the course of the past year to identify agency and Governor's office priorities in shaping this package.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

The positions included in this package aid the Child Welfare program to provide competent, culturally responsive, and appropriate services to children and families of color, as well as other historically marginalized communities across the state. Children of color have historically been overrepresented in the Child Welfare system and the outcomes of children of color, children with disabilities, and LGBTQ+ children have historically been poorer upon exiting the child welfare system. Several of the strategies the Child Welfare system is employing, and will continue to pursue with the support of these positions include:

- Collecting, analyzing, and disaggregating data to assess the well-being of children of color in the child welfare system
- Providing culturally responsive and appropriate supports and services to children and families, including treatment placements for children with behavioral health needs

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- Contracting with culturally responsive providers for services such as foster parent recruitment and support and parent education
- Increase the understanding and skill level of Child Welfare employees to promote and work toward service equity
- Ensure proper implementation and maintenance of the tenets of the Indian Child Welfare Act (ICWA)
- Moving the Child Welfare system toward a system of prevention and family stability, preventing the need for removal whenever possible

STAFFING AND FISCAL IMPACT

Implementation date(s): October 1, 2021

End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

This request is strictly for critical positions. The current cost of filled positions was used based on the current compensation plan. Positions were priced at 21 months to account for likely attrition. Normal S&S was added to the total as well as benefits and other “OPE”.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No these are all filled positions at the time of this POP was written doing current duties.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

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An increased number of human resource transactions will further stress the ODHS HR system. In addition, payroll and facilities will be impacted.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

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Classification Types	Total
Operations & Policy Analyst 3	34
Principal Executive/Manager D	2
Operations & Policy Analyst 2	6
Administrative Specialist 1	1
Administrative Specialist 2	10
Principal Executive/Manager F	6
Program Analyst 3	2
Social Services Specialist 2	1
Principal Executive/Manager E	4
Public Affairs Specialist 3	3
Principal Executive/Manager G	2
Operations & Policy Analyst 1	2
Operations & Policy Analyst 4	7
Compliance Specialist 2	1
Human Resource Analyst 2	1
Human Resource Analyst 1	2
Social Service Specialist 1	3
Program Analyst 2	3
Info Systems Specialist 6	3
Research Analyst 4	1
Data Entry Operator	5
Total Position Count	99

20. What are the start-up and one-time costs?

Normal staffing costs.

21. What are the ongoing costs?

Staffing costs.

22. What are the potential savings?

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There is the potential that through a review of structure with funded positions efficiencies may be found.

23. What are the sources of funding and the funding split for each one?

Varies depending on cost allocation. Hits all grants in CW and all grants in ODHS for central.

Note on Shared Services: *Because of how shared services are budgeted there is also a cost of the same amount of Other Fund expenditure limitation in shared services less the assessment cost. This is simply the nature of Shared Services operations and does not cause a 'double-count' when netted against the request.*

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	13,145,383	868,534	7,694,322	21,708,239	99	87.12
Services & Supplies	2,331,883	102,592	1,412,855	3,847,330		
Capital Outlay						
Special Payments						
Other						
Total	\$15,859,656	\$1,007,800	\$9,473,622	26,341,078	99	87.12

Fiscal impact by program

	CW Delivery	CW Design	Shared	Central	Total
General Fund	\$193,179	\$10,768,719	\$459,080	\$4,438,678	\$15,589,656
Other Funds	\$0	\$45,474	\$829,552	\$132,774	\$1,007,800
Federal Funds	\$78,332	\$4,576,333	\$439,949	\$4,379,008	\$9,482,622
Total Funds	\$271,511	\$15,390,526	\$1,728,581	\$8,950,460	\$26,350,078
Positions	1	58	6	34	99
FTE	0.88	51.04	5.28	29.92	87.12

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	ODDS
Program:	I/DD
Policy Package Title:	Implementation of the New Rate Models
Policy Package Number:	POP 119
Related Legislation:	N/A

Summary Statement:	<p>This POP request funds to cover the cost of transition to the new rate models for provider agencies delivering specific services. This funding will cover transition from the old rate model based on old assessment instrument to the use of new Oregon Need Assessment (ONA) and new rate model.</p>
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	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$34,339,040	\$0	\$67,198,228	\$101,537,268	0	0.00

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

People with intellectual and developmental disabilities (I/DD) rely on Direct Support Professionals (DSPs) for daily support that enables them to live full lives in their communities. Challenges in finding, training and retaining this workforce persist and have reached crisis levels in the long-term services and supports (LTSS) industry.

In order to make intentional investment in the direct care workforce to support children and adults with I/DD, ODDS worked with stakeholders and an experienced contractor to develop new rate models for services delivered by provider agencies. New rate models have been developed that reflect updated service requirements for providers, current Bureau of Labor Statistics and Consumer Price Index information and updated provider cost survey data. Rates were developed for the following services:

- Children’s 24-hour Residential Services
- Adult 24-Hour Residential Services
- Agency Attendant Care
- Day Support Activities, Community and Facility
- Employment Path, Community and Facility
- Small Group Employment
- Non-medical transportation

This POP is to requesting funding to transition to the new rate models on July 1, 2022.

Oregon Department of Human Services 2021-23 Policy Option Package

2. What would this policy package buy and how and when would it be implemented?

ODDS is requesting \$34,339,040 General Fund/\$101,537,268 Total Fund to cover the cost of transition to the new rate models. This funding will cover transition from the old rate structure and groupings of individuals according to their level of need based on the old assessment instruments to the new Service Groups based Oregon Needs Assessment (ONA) and new rate model Payment Categories. The implementation will result in the weighted average DSP wage of \$14.82/Hour.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

This POP directly addresses issues around Agency Vision (“Safety, health and independence for all Oregonians”) and multiple Agency goals, including:

1. People are safe and living as independently as possible – POP ensures that I/DD Provider agencies have stable and qualified workforce to ensure quality and continuity of services, individuals’ health and safety, and maximum independence and integration into the community.
2. Culturally specific and responsive services are provided by highly qualified and diverse staff – POP provides ability to recruit, train and retain qualified workers, with the appropriate cultural and linguistic capacities, who are adequately compensated and incentivized to continuously advance their skills.

The direct support workforce is critical to ensuring that people with I/DD can live, work and contribute to their communities and be healthy and safe. This POP takes a series of actions to strengthen this workforce and promote I/DD as an in-demand field of work.

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ODDS Vision: People and families access quality supports that are simple to use and responsive to their strengths, needs and choices, while they live and thrive as valued members of their community.

ODDS Mission: ODDS, stakeholders, and the developmental disabilities community come together to provide services, supports, and advocacy to empower Oregonians with intellectual and developmental disabilities to live full lives in their communities.

Strategic goals:

1. Create a system that is sustainable and easy to use, with effective communication and equitable access.
2. Honor and support people to make their own choices about who they want to be and what they want to do in their life.
3. Support equal opportunity for living options and meaningful employment in an integrated community setting.
4. Provide families the amount and type of supports they need to raise their children at home, or when necessary, in another family home within their community.
5. Support people to live rich, full lives while providing for their health and safety.

Two-year actions:

1. Expand capacity and increase the quality of the long-term services and supports workforce that provides direct care to individuals with I/DD by advocating for funding of the new rate models that support better wages for workers and by making available options for workers to pursue career advancement opportunities within the field.

Oregon Department of Human Services 2021-23 Policy Option Package

The direct support workforce is critical to ensuring that people with I/DD can live, work and contribute to their communities and be healthy and safe. This POP develops a process to ensure providers are able to keep up with growing costs.

- 4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.**

No

QUANTIFYING RESULTS

- 5. How will ODHS measure the success of this policy package?**

NCI Oregon Staff Stability Survey: average DSP wage increase over time, average turnover rate decrease over time.

- 6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).**

N/A

- 7. What are the long-term desired outcomes?**

This POP would increase provider capacity to recruit and retain diverse workforce to provide quality culturally and linguistically appropriate services to individuals with I/DD and ensure adequate wages and benefits to those workers.

Oregon Department of Human Services 2021-23 Policy Option Package

Implementation of the new rate models and transition to the use of the new Oregon Needs Assessment (ONA) will allow the I/DD service delivery system to move to an updated and transparent rate model and use of a single validated assessment instrument.

8. What would be the adverse effects of not funding this policy package?

Risks of not implementing the new rate models and assessment:

1. Continuation of high turnover rates and vacancy rates for DSPs, workforce shortage leading to health and safety risks for individuals receiving supports.
2. Misalignment with new assessment and rate models causing disparities in funding for the workforce and quality of services provided to people with I/DD.
3. Need to continue to administer multiple assessments for participants across different settings to meet federal requirements and to set rates, creating inefficiencies and unnecessary workload for CDDPs and Brokerages and imposing unnecessary burdens on individuals receiving services.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

Oregon Department of Human Services 2021-23 Policy Option Package

During the 2019 Legislative Session, the Legislature granted ODDS \$30 million General Fund to move into the new rate models. ODDS worked closely with stakeholders to identify a strategy to distribute the limited funding across all rates and services.

In response to the crisis in placement capacity for children with high needs, ODDS moved to fully implement new rate models for children's 24-hour residential services starting September 1, 2019, with the expectation that it will help providers grow capacity.

Since implementation of the new rate model, the number of provider agencies supporting children in 24-hour residential has increased from 10 to 14. A gain of 4 new providers, adding 18 new beds. In addition, 3 provider agencies are currently planning to open new group homes in June of 2020, which will increase total capacity to 192 (an increase of 8). The 15-bed capacity at SACU is not included in this data. Additionally, average DSP wage increased from \$13.95/hour on July 2019 to \$16.41/hour in January 2020.

All other services listed above received a 4% increase in August 2019. ODDS was planning to implement additional increase of 7% in July 2020, and transition to the new rate models and use of new service groups based on ONA in January 2021. Due to a contractor error that resulted in an underestimate of the cost to transition, ODDS requested additional \$12.2 million in General Fund during 2020 Legislative Session in order to honor our commitment to move into the new rate models and fully fund the 7% increase we had committed to with stakeholders. That session ended unexpectedly.

Due to the COVID-19 pandemic and need to redirect efforts toward equipping the service delivery system to operate during the crisis and safeguard the individuals receiving services and the workforce, implementation of the new rate models has been delayed to July 1, 2022.

Oregon Department of Human Services 2021-23 Policy Option Package

As of May 2020, \$10.5 GF of the original \$30 million GF investment for the 19-21 biennia has not been used. The plan for this funding changed when the contractor error was identified. As of July 1, 2020, this funding was used to support a 5% rate increase in the current rate models.

10. What alternatives were considered and what were the reasons for rejecting them?

Risks of not receiving additional fund for transition to the new rate models:

ODDS is able to transition to the new rate models and use the ONA assessment to determine level of reimbursement in a budget neutral way, however, that would create reductions in the funding level for several of the new rates. This is due to the costs that result from transitioning to new assessment and new rate model.

Part of that cost comes from transitioning from 6 Tier system under the previous rate model and assessment structure to 4 Payment Categories structure under the new rate model and assessment. Some Tiers are being consolidated to one Payment Category, resulting in a cost increase to some individuals in those Tiers. Additionally, transition to the use of new assessment will result in some individuals moving up, some individuals moving down, and some individuals staying in the same service level, compared to the previous assessment grouping structure. The cost of individuals moving up exceeds reductions from individuals moving down, resulting in additional cost to transition to the new assessment and Payment Categories.

To avoid the need to implement the new rate models in a way that results in reductions in the funding level for several of the new rates, ODDS is proposing this POP to support a move into the new rate models without any funding cut .

Oregon Department of Human Services 2021-23 Policy Option Package

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

N/A

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

N/A

13. What other agencies, programs or stakeholders are collaborating on this policy package?

ODDS is collaborating with I/DD stakeholders including providers and provider organizations such as Oregon Resource Association (ORA), Community Providers Association of Oregon (SPA), and Small Providers Association.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being and independence?

POP supports providers resources to recruit, train and retain diverse workforce to provide quality, culturally agile supports to individuals with I/DD

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2021

End date (if applicable): On-going

15. What assumptions affect the pricing of this policy package?

Oregon Department of Human Services 2021-23 Policy Option Package

Any rate increases leading up to new rate model implementation

Since this POP is not asking for full funding for new rate model implementation, assumptions around at what level ODDS will be able to implement the new rate models.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No impact

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

No impact

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No change

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

No new positions are needed.

20. What are the start-up and one-time costs?

None

Oregon Department of Human Services 2021-23 Policy Option Package

21. What are the ongoing costs?

None

22. What are the potential savings?

N/A

23. What are the sources of funding and the funding split for each one?

Medicaid program and state general fund at the appropriate FMAP for specific service/rate.

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$0	\$0	0	0.00
Services & Supplies	\$0	\$0	\$0	\$0	0	0.00
Capital Outlay	\$0	\$0	\$0	\$0	0	0.00
Special Payments	\$34,339,040	\$0	\$67,198,228	\$101,537,268	0	0.00
Other	\$0	\$0	\$0	\$0	0	0.00
Total	\$34,339,040	\$0	\$67,198,228	\$101,537,268	0	0.00

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$34,339,040				\$34,339,040
Other Funds	\$0				\$0

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Federal Funds	\$67,198,228				\$67,198,228
Total Funds	\$101,537,268				\$101,537,268
Positions	0				0
FTE	0.00				0.00

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	ODDS
Program:	I/DD
Policy Package Title:	Additional Funding for the New Rate Models towards full implementation
Policy Package Number:	POP 120
Related Legislation:	N/A

Summary Statement: To implement the single assessment tool for all children and adults, ODDS contracted with a third-party entity to build provider rate models for the service groupings the assessment will provide. The contractor worked with stakeholders and performed market analysis to develop rates. This pop is requested to provide additional funding towards new rate models to move them closer to full implementation.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$10,038,796	\$0	\$19,456,410	\$29,495,206	0	0.00

Oregon Department of Human Services

2021-23 Policy Option Package

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

People with intellectual and developmental disabilities (I/DD) rely on Direct Support Professionals (DSPs) for daily support that enables them to live full lives in their communities. Challenges in finding, training and retaining this workforce persist and have reached crisis levels in the long-term services and supports (LTSS) industry.

In order to make intentional investment in the direct care workforce to support children and adults with I/DD, ODDS worked with stakeholders and an experienced contractor to develop new rate models for services delivered by provider agencies. New rate models have been developed that reflect updated service requirements for providers, current Bureau of Labor Statistics and Consumer Price Index information and updated provider cost survey data. Rates were developed for the following services:

- Children’s 24-hour Residential Services
- Adult 24-Hour Residential Services
- Agency Attendant Care
- Day Support Activities, Community and Facility
- Employment Path, Community and Facility
- Small Group Employment
- Non-medical transportation

This POP is to requesting funding to transition to the new rate models on July 1, 2022.

Oregon Department of Human Services 2021-23 Policy Option Package

2. What would this policy package buy and how and when would it be implemented?

ODDS is requesting \$10,038,796 General Fund/\$29,495,205 Total Fund towards moving the new rate models closer to full implementation. This POP is contingent on Policy Option Package #IDD01a requesting funding to cover the cost of transition to the new rate models without additional rate increases. POP #IDD01a will cover transition from the old rate structure and groupings of individuals according to their level of need based on the old assessment instruments to the new Service Groups based Oregon Needs Assessment (ONA) and new rate model Payment Categories. Funding in this POP will allow ODDS to implement the new rate models with an additional rate increase to move new rates closer to full implementation. Additionally, this funding will help smooth the transition by reducing negative impact to providers due to fluctuation in rates per person due to new assessment groupings. The implementation will result in the weighted average DSP wage of \$15.53/Hour.

3. How does this policy package further ODHS's mission and align with its strategic plan?

This POP directly addresses issues around Agency Vision (“Safety, health and independence for all Oregonians”) and multiple Agency goals, including:

1. People are safe and living as independently as possible – POP ensures that I/DD Provider agencies have stable and qualified workforce to ensure quality and continuity of services, individuals’ health and safety, and maximum independence and integration into the community.

2. Culturally specific and responsive services are provided by highly qualified and diverse staff – POP provides ability to recruit, train and retain qualified workers, with the appropriate cultural and linguistic capacities, who are adequately compensated and incentivized to continuously advance their skills.

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The direct support workforce is critical to ensuring that people with I/DD can live, work and contribute to their communities and be healthy and safe. This POP takes a series of actions to strengthen this workforce and promote I/DD as an in-demand field of work.

ODDS Vision: People and families access quality supports that are simple to use and responsive to their strengths, needs and choices, while they live and thrive as valued members of their community.

ODDS Mission: ODDS, stakeholders, and the developmental disabilities community come together to provide services, supports, and advocacy to empower Oregonians with intellectual and developmental disabilities to live full lives in their communities.

Strategic goals:

1. Create a system that is sustainable and easy to use, with effective communication and equitable access.
2. Honor and support people to make their own choices about who they want to be and what they want to do in their life.
3. Support equal opportunity for living options and meaningful employment in an integrated community setting.
4. Provide families the amount and type of supports they need to raise their children at home, or when necessary, in another family home within their community.
5. Support people to live rich, full lives while providing for their health and safety.

Two-year actions:

Oregon Department of Human Services 2021-23 Policy Option Package

1. Expand capacity and increase the quality of the long-term services and supports workforce that provides direct care to individuals with I/DD by advocating for funding of the new rate models that support better wages for workers and by making available options for workers to pursue career advancement opportunities within the field.

The direct support workforce is critical to ensuring that people with I/DD can live, work and contribute to their communities and be healthy and safe. This POP develops a process to ensure providers are able to keep up with growing costs.

- 5. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.**

No

QUANTIFYING RESULTS

- 6. How will ODHS measure the success of this policy package?**

NCI Oregon Staff Stability Survey: average DSP wage increase over time, average turnover rate decrease over time.

- 7. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).**

N/A

- 8. What are the long-term desired outcomes?**

Oregon Department of Human Services 2021-23 Policy Option Package

This POP would increase provider capacity to recruit and retain diverse workforce to provide quality culturally and linguistically appropriate services to individuals with I/DD and ensure adequate wages and benefits to those workers.

Implementation of the new rate models and transition to the use of the new Oregon Needs Assessment (ONA) will allow the I/DD service delivery system to move to an updated and transparent rate model and use of a single validated assessment instrument.

9. What would be the adverse effects of not funding this policy package?

Risks of not implementing the new rate models and assessment:

1. Continuation of high turnover rates and vacancy rates for DSPs, workforce shortage leading to health and safety risks for individuals receiving supports.
2. Misalignment with new assessment and rate models causing disparities in funding for the workforce and quality of services provided to people with I/DD.

HOW ACHIEVED

10. What actions have occurred to resolve the issue prior to requesting a policy package?

During the 2019 Legislative Session, the Legislature granted ODDS \$30 million General Fund to move into the new rate models. ODDS worked closely with stakeholders to identify a strategy to distribute the limited funding across all rates and services.

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In response to the crisis in placement capacity for children with high needs, ODDS moved to fully implement new rate models for children's 24-hour residential services starting September 1, 2019, with the expectation that it will help providers grow capacity.

Since implementation of the new rate model, the number of provider agencies supporting children in 24-hour residential has increased from 10 to 14. A gain of 4 new providers, adding 18 new beds. In addition, 3 provider agencies are currently planning to open new group homes in June of 2020, which will increase total capacity to 192 (an increase of 8). The 15-bed capacity at SACU is not included in this data. Additionally, average DSP wage increased from \$13.95/hour on July 2019 to \$16.41/hour in January 2020.

All other services listed above received a 4% increase in August 2019. ODDS was planning to implement additional increase of 7% in July 2020, and transition to the new rate models and use of new service groups based on ONA in January 2021. Due to a contractor error that resulted in an underestimate of the cost to transition, ODDS requested additional \$12.2 million in General Fund during 2020 Legislative Session in order to honor our commitment to move into the new rate models and fully fund the 7% increase we had committed to with stakeholders. That session ended unexpectedly.

Due to the COVID-19 pandemic and need to redirect efforts toward equipping the service delivery system to operate during the crisis and safeguard the individuals receiving services and the workforce, implementation of the new rate models has been delayed to July 1, 2022.

As of May 2020, \$10.5 GF of the original \$30 million GF investment for the 19-21 biennia has not been used. The plan for this funding changed when the contractor error was identified. As of July 1, 2020, this funding was used to support a 5% rate increase in the current rate models.

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POP #IDD01a requests funding to cover the cost of transition to the new rate models without additional rate increases. This POP is contingent on that funding.

11. What alternatives were considered and what were the reasons for rejecting them?

Risks of not receiving additional fund for the new rate models:

ODDS is able to transition to the new rate models and use the ONA assessment to determine level of reimbursement in a budget neutral way, however, that would create reductions in the funding level for several of the new rates. This is due to the costs that result from transitioning to new assessment and new rate model.

Part of that cost comes from transitioning from 6 Tier system under the previous rate model and assessment structure to 4 Payment Categories structure under the new rate model and assessment. Some Tiers are being consolidated to one Payment Category, resulting in a cost increase to some individuals in those Tiers. Additionally, transition to the use of new assessment will result in some individuals moving up, some individuals moving down, and some individuals staying in the same service level, compared to the previous assessment grouping structure. The cost of individuals moving up exceeds reductions from individuals moving down, resulting in additional cost to transition to the new assessment and Payment Categories.

To avoid the need to implement the new rate models in a way that results in reductions in the funding level for several of the new rates, ODDS is proposing POP #IDD01a to support a move into the new rate models without any funding cut. This POP is contingent on that funding.

12. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

N/A

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**13. What other state, tribal, and/or local government agencies would be affected by this policy package?
How would they be affected?**

N/A

14. What other agencies, programs or stakeholders are collaborating on this policy package?

ODDS is collaborating with I/DD stakeholders including providers and provider organizations such as Oregon Resource Association (ORA), Community Providers Association of Oregon (SPA0), and Small Providers Association.

15. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being and independence?

POP supports providers resources to recruit, train and retain diverse workforce to provide quality, culturally agile supports to individuals with I/DD

STAFFING AND FISCAL IMPACT

Implementation date(s): July 1, 2021

End date (if applicable): On-going

16. What assumptions affect the pricing of this policy package?

Any rate increases leading up to new rate model implementation
This POP is contingent on funding from POP #IDD01a

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Since this POP is not asking for full funding for new rate model implementation, assumptions around at what level ODDS will be able to implement the new rate models.

17. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No impact

18. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

No impact

19. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No change

20. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

No new positions are needed.

21. What are the start-up and one-time costs?

None

22. What are the ongoing costs?

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None

23. What are the potential savings?

N/A

24. What are the sources of funding and the funding split for each one?

Medicaid program and state general fund at the appropriate FMAP for specific service/rate.

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$0	\$0	0	0.00
Services & Supplies	\$0	\$0	\$0	\$0	0	0.00
Capital Outlay	\$0	\$0	\$0	\$0	0	0.00
Special Payments	\$10,038,796	\$0	\$19,456,410	\$29,495,206	0	0.00
Other	\$0	\$0	\$0	\$0	0	0.00
Total	\$10,038,796	\$0	\$19,456,410	\$29,495,206	0	0.00

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Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$10,038,796				\$10,038,796
Other Funds	\$0				\$0
Federal Funds	\$19,456,410				\$19,456,410
Total Funds	\$29,495,206				\$29,495,206
Positions	0				0
FTE	0.0				0.00

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Division:	Aging and People with Disabilities
Program:	Developmental Disability Services
Policy Package Title:	ODDS Licensing Staff to Provider Workload Model FTE Request
Policy Package Number:	POP 124
Related Legislation:	N/A

Summary Statement: The number of providers requiring a licensing visit or follow up has increased 200% with no new staff. These homes are across the state and require visits occur within timelines identified by CMS. Without additional staff we cannot meet these timelines and risk over 68% federal funding

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$1,991,047	\$0	\$1,990,993	\$3,981,980	19	16.72

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

The POP will add additional staff to ODDS Licensure and Quality Improvement Office to meet the growing workload needs associated with an increase of 750 licensed/certified providers since 2014 with no new staff,

Oregon Department of Human Services 2021-23 Policy Option Package

new Federal Rule changes and Centers for Medicaid and Medicare Services (CMS) requirements and achieve and sustain timely inspection intervals.

ODDS staff not only issues licenses and certifications for providers but also plays a huge part in investigations of neglect and abuse. With the large volume of new providers this important task is growing and there is not enough staff to sufficiently address this issue.

2. What would this policy package buy and how and when would it be implemented?

Staff and hiring will take three – six months so implementation will begin upon approval with recruitment.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

Licensing staff are responsible to insure providers of individuals with IDD are qualified and when placed in a group home or foster home that the home is safe and meets the applicable rules. Without this check by the licensing unit, we would not be able to sufficiently insure health and safety of individuals in our program. These staff also are charged with responding to complaints from family members or the individuals in the home to assess the issues. Staff may also be involved in closing down a home and assisting in relocation of the individuals when it is an imminent threat to health and safety.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

Internal reviews have determined that there are not sufficient staff to cover the state and the vast number of providers that require an onsite visit. *From August 2019 – March 2020, ODDS went through a workload model exercise with the ODHS Workload Model Unit. The model is based on the Random Moment Sampling, number of*

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license/certified providers we must visit and/or work on certifying or licensing. The model indicates that based on the number of providers and the current licensing staff we are only about to do less than 50% of the required work.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

% of licensed providers who receive their site visits within the timeline identified in our 1915 K State plan. % of abuse or neglect in these homes decrease with more timely visits.

% of providers who require a follow up visit declining

% of individuals happy in the homes they are living, customer satisfaction reports

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

Reducing abuse in licensed settings.

7. What are the long-term desired outcomes?

There are several critical needs and federal mandates that are increasing the workload on ODDS Licensing and Quality Improvement staff that necessitates additional personnel resources to ensure that health, safety, and rights of the individuals are being protected in licensed and certified settings where services are provided to individuals with intellectual and developmental disabilities:

- CMS Home and Community Based HCBS Settings (HCBS) rules require the State to assure that all settings where Medicaid funded services are provided meet federal definition of home and community.

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In order to comply, licensure and certification process of DD residential settings must be modified to incorporate review of compliance with HCBS rule, adding substantial workload to licensing staff.

- Per CMS guidance and to continually assure quality of services and assure health and safety of individuals served, ODDS increased frequency of licensure/certification reviews for Supportive Living providers and Day services providers to every two years, rather than every 5 years. Increased frequency of licensure/certification renewals and on-site reviews, as well, as the increase of these providers types require additional staff to implement.
- Additional workload pressures come with increasing demand for providers due to growing number of individuals served by I/DD system.

8. What would be the adverse effects of not funding this policy package?

Currently we are not able to maintain licensing visits at the level to meet the federal requirements. This leaves ODHS at risk of losing federal funding for the licensed services which is ODDS' largest funded service. This potentially impacts the quality of services vulnerable Oregonians are receiving in two ways; 1) the ability to respond timely to client concerns about the services provided by providers while attempting to cover all scheduled reviews and 2) having enough staff time to work with new providers, impacting the number of providers available for individuals seeking services. ODDS is at risk of losing federal match funds which include FMAP and the additional 6% k match.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

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Staff are working to do as many visits as possible but there is not solution without additional staff. The number of providers has grown over 200% with no new staff. These homes are located all across the state and require eyes on site visits.

10. What alternatives were considered and what were the reasons for rejecting them?

Staff are working to do as many visits as possible but there is not solution without additional staff. The number of providers has grown over 200% with no new staff. These homes are located all across the state and require eyes on site visits.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

None

13. What other agencies, programs or stakeholders are collaborating on this policy package?

None

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

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Individuals of IDD that live in licensed homes are either intellectually or developmentally disabled or both. This population is very vulnerable and leaving their homes without timely inspections may put them at significant risk.

STAFFING AND FISCAL IMPACT

Implementation date(s): 10/2021
End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

The number of FTE indicated in the Workload Model and the number of FTE approved, any salary adjustments in the CBA.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

Possibly for the initial set up of the new staff.

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18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

There will be changes to the number of homes each staff will be responsible to inspect and timelines. These inspections could have an impact on the providers or case management entities if the inspections bring negative findings.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

- *1 FTE PEMC to provide guidance and oversight*
- *9. FTE Client Care Surveyors for onsite reviews*
- *1 FTE Policy Analyst 3 - rule development, policy, and processes, develop the training for individuals/agencies wishing to become providers, additional training for the existing providers and provide regular monitoring/implementation reports*
- *1 FTE Research Analyst 3 to develop and maintain data.*
- *1 FTE OPA2 to assist with the additional work of foster care certifications and monitoring of CME staff.*
- *3.26 Compliance Specialist 3's to perform the necessary work on all corrective actions, follow up and fee collection.*
- *2.42 FTE Office Specialist 2's*

What are the start-up and one-time costs?

Costs associated to a new employee, including a laptop.

1. What are the ongoing costs?

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Payroll, mileage, travel expenses

2. What are the potential savings?

Saving the federal match for licensed homes which is the largest % of the IDD funds and more staff to handle the corrective action fees applied to providers.

3. What are the sources of funding and the funding split for each one?

General Fund and Federal Administration match. 50/50

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$1,624,973	\$0	\$1,624,973	\$3,249,946	19	16.72
Services & Supplies	\$366,074	\$0	\$365,960	\$732,034		
Capital Outlay						
Special Payments						
Other						
Total	\$1,991,047	\$0	\$1,990,993	\$3,981,980	19	16.72

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total

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General Fund	\$,1991,047				\$,1991,047
Other Funds	\$0				\$0
Federal Funds	\$,1,990,993				\$,1,990,993
Total Funds	\$,3,981,980				\$,3,981,980
Positions	19				19
FTE	16.72				16.72

Oregon Department of Human Services 2021-23 Policy Package

Division:	Shared Services
Program:	Office of Payment Accuracy and Recovery (OPAR)
Policy Package Title:	Estate Administration Unit (EAU) Business Process Change/Program Integrity
Policy Package Number:	POP 125
Related Legislation:	N/A

Summary Statement:

The primary objective of the policy package is to increase estate recovery efforts for reinvestment in ODHS programs and to improve integrity to ODHS programs through increased communication, recovery, productivity, accuracy, and efficiency. Additional revenue for ODHS will be provided to the Adults and People with Disabilities (APD) Programs.

The Estate Administration Unit has a body of work (Surviving Spouse & Pending cases) that we currently are not actively working due to the lack of resources. With a new business process change in July 2019, we are required to notify and process any new Surviving spouse and Pending cases timely moving forward. Additionally, there are 15,000-25,000 cases that are not being worked timely and notifications are not being sent to the consumer in a timely manner. These cases have historically been a lower priority due to resource limits. However, with the change in business practice and additional staffing, we would like to work these cases as part of our normal operations. *We have support and agreement from APD to direct fund these positions from future recoveries.*

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With the large number of cases sitting untouched, we are losing revenue. To be able to work the cases and sustain the ongoing new business process change with reviewing Surviving Spouse and Pending cases, we would like to add:
 (2) Compliance Specialist 2s (CS2s)
 (1) Administrative Specialist (AS1)
 (1) Compliance Specialist 3 (CS3).
 With the additional staff, and the work they will be producing, the expected result would be a minimum of \$14,000,000 in additional recovery dollars each biennium.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$0	643,241	\$0	\$0	4	3.52

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

As we move to implement a new business process change initiated by Rep. Stark, by way of constituent concerns, and working with APD leadership, the volume of letters written, research needed, claims calculated, calls received and ongoing work required on Surviving Spouse cases and Pending cases in EAU, we would minimally need (2) CS2s, (1) AS1 and (1) CS3.

As the CS2s research recovery efforts, they will require the AS1s to calculate thousands of additional claim work ups which will generate an increase in correspondence to family members which will in turn generate hundreds, if not thousands, of phone calls from family members, attorneys, personal representatives, and other partners. The CS3 team will see a minimum of a 10% increase in caseloads as well. This increase in workload will not be manageable with our current staffing levels. EAU is currently closing hundreds of

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cases each month and has placed thresholds on what cases we can work within our critical timeframes and with the number of resources we have.

With an increase in staffing, EAU should expect to see over \$14,000,000 in additional recovery each biennium. The personnel costs, per biennium are as follows:

- (1) AS1 \$174,270
- (2) CS2s \$431,057
- (1) CS3 \$243,887

The total biennium cost would be just over \$800,000. These additional staff should help us maintain more timely responses to our families while increasing estate recovery for APD programs. ***(APD has agreed to fund these positions directly from EAU recovery dollars)**

2. What would this policy package buy and how and when would it be implemented?

This POP would allow EAU to work the Surviving Spouse and Pending caseload that is currently deferred due to lack of resources. In addition, we would be able to better meet the demands of our consumers, attorneys, branch personnel and various other partners. To maintain program integrity, EAU needs to be working these cases, securing our recovery opportunities, and notifying the family members in a timely manner. EAU would train up the new employees and immediately have them working the Surviving Spouse and Pending caseload. The employees would be able to identify and pursue current recovery options as well as secure future recovery by way of any real property assets.

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3. How does this policy package further ODHS' mission and align with its strategic plan?

Assuring timely processing of Surviving Spouse and Pending cases, ensuring we have secured assets for current and future recovery, and maintain program integrity with the recycling of our recovery dollars to assist those benefitting from APD programs.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

N/A

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

OPAR has performance measures reported monthly for dollars recovered in EAU.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

The representatives work with us on this body of work.

7. What are the long-term desired outcomes?

New staffing levels would be maintained and unit operations, program integrity along with consumer satisfaction, will continue to improve. Recovery dollars will increase, especially over time due to the way in which EAU's cases stay open for months and years during the recovery process. Long term, EAU would

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have sufficient staffing resources to work all bodies of work to optimize estate recovery to reinvest into our APD programs. Minimize revenue loss due to lack of staffing.

8. What would be the adverse effects of not funding this policy package?

EAU will not be able to work and maintain the Surviving Spouse and Pending cases due to the need to prioritize the “current” cases to optimize recovery. Currently the Surviving Spouse and Pending cases are not being reviewed or worked, they are just sitting and waiting for review and potential action.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

Process improvement activities have been undertaken and performance measures have been implemented. We continue to review these activities to improve upon our current business practices and to optimize recovery.

10. What alternatives were considered and what were the reasons for rejecting them?

We have already done process improvement, performance measures and allocated what resources we have in the most cost-effective way to address the “new” cases coming in the door. There are just not enough employees to get to the other bodies of work, hence revenue loss and untimely contact with our consumers and partners.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

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No

**12. What other state, tribal, and/or local government agencies would be affected by this policy package?
How would they be affected?**

None

13. What other agencies, programs or stakeholders are collaborating on this policy package?

APD. Funding agreement.

14. What is your equity analysis?

Status quo as this POP would not influence equity

STAFFING AND FISCAL IMPACT

Implementation date(s): 07/01/2021

End date (if applicable): NA

15. What assumptions affect the pricing of this policy package?

This work will continue to require a certain level of staff expertise, Compliance Specialist 2's and 3's. We might assume that this expert level staff may start at higher than step one on the salary range.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

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No

- 17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.**

No

- 18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.**

No

- 19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.**

New Staff:

(2) – Permanent, full time, Compliance Specialist 2 (24 months) *(These two staff have been hired and are currently in performing the work requested of Rep Stark. They are already in

(1) – Permanent, full time, Compliance Specialist 3 (24 months)

(1) – Permanent, full time, Administrative Specialist 1 (24 months)

- 20. What are the start-up and one-time costs?**

Nothing extraordinary: just hiring, onboarding, training, tracking results

- 21. What are the ongoing costs?**

Standard PS and SS expenses

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22. What are the potential savings?

Projected \$14 million in additional recovery for the biennium if allotted all (4) staff.

23. What are the sources of funding and the funding split for each one?

General Fund (GF) *(These positions will be direct funded by APD from the recoveries of EAU)

Categories:	PS	S & S	Total Cost
Compliance Specialist 3	176,834	38,016	214,850
Compliance Specialist 2	304,279	75,796	380,075
Administrative Specialist 1	116,211	37,725	153,936
Total Cost for the Package	597,323	151,537	748,860

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$597,321	\$0	\$597,321	4	3.52
Services & Supplies	\$0	\$45,920		\$151,537		
Capital Outlay						
Special Payments	\$0			\$0		
Other						
Total	\$0	\$643,241	\$0	\$643,241	4	3.52

Fiscal impact by program

	OPAR	Shared Svc Fund	SAEC	APD	Total
General Fund		\$643,241	\$105,617	\$(748,860)	\$0

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Other Funds	\$643,241				\$643,241
Federal Funds					\$0
Total Funds	\$643,241	\$643,241	\$105,617	\$(748,860)	\$643,241
Positions	4				4
FTE	3.52				3.52

Oregon Department of Human Services 2021-23 Policy Option Package

Division:	Directors Office
Program:	Occupational Health, Safety & Emergency Management (OHSE)
Policy Package Title:	Emergency Management
Policy Package Number:	POP 128
Related Legislation:	N/A

Summary Statement:

Under ORS 401, Emergency Management Services, the Department of Human Services (ODHS) is tasked with assisting in statewide emergency response activities during natural and man-made disasters. The ODHS assigned responsibilities are to provide life sustaining care for all citizens that survive a disaster, commonly known as Mass Care. This includes the protection of children, families, the elderly, and individuals with access and functional needs. ODHS is also responsible for facilitating statewide activities to deliver shelter, food, immediate medical care, behavioral health services, medications and many other critical disaster relief necessities. Accomplishing this mission includes the development of state emergency operations and recovery plans, developing and implementing agency specific plans, working as a member of the Oregon Emergency Response Council (OERS Council), coordinating statewide response operations with other state agencies and non-governmental organizations (NGO), developing and conducting internal and external training, tracking and vetting legislation tied to emergency response operations, and responding to Governor declared disasters which can require a 24 hour operations cycle. Currently the Department of Human Services has dedicated 0.75 FTE to these critical emergency response operations.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$235,604	\$208,968	\$0	\$444,572	1	.88

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PURPOSE

1. WHAT WOULD THIS POLICY OPTION PACKAGE (POP) DO AND HOW WOULD IT BE IMPLEMENTED?

Oregon's emergency planning and operations continues to grow throughout all state agencies. The Governor, Legislative Representatives, and Emergency Management Officials recognize the need for Oregon's government to be prepared for disasters and to act quickly to protect its citizens. With that comes a growing expectation that all state agencies commit resources to developing, implementing, and exercising emergency operations plans.

The state's most notable planning related to the Cascadia Subduction Zone has significantly expanded over the last three to four years. New statewide operational and recovery plans are in development, existing plans are being revised and the Oregon Legislature continues to receive and pass into law legislative bills specific to Oregon's emergency response operations. Most recently the Governor signed Executive Order 16-07, Governor's Disaster Management Framework, which directs the formation of the Governor's Disaster Cabinet and the Governor's Economic Recovery Council. These committees will require additional ODHS resources on top of the responsibilities and obligations the agency already has.

Other emergency management changes within Oregon and nationally include:

- The COVID19 Pandemic has emphasized the need for additional staffing in this area. ODHS has struggled to maintain mass care operations at the state enterprise level.
- In 2022 the State will participate in a National Level Exercise (NLE) with local jurisdictions, neighboring states and federal partners. This exercise is focused on the Cascadia Subduction Zone.

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The Oregon need to respond to an actual 9.2 earthquake and resultant tsunami an estimated 1.5 million people will need mass care services.

- The Legislature has committed millions of dollars towards the seismic retrofitting of Oregon Public Schools to protect our children and educators.
- At the national level the US Military's Defense Support of Civil Authorities has identified the Cascadia Subduction Zone as a top ten national concern.

The outcome of adding 2 additional emergency management positions in the Occupational Health, Safety and Emergency Management Program will be to develop the agency's ability to adequately prepare for disasters, collaborate with other state agencies and NGOs to coordinate disaster response operations, meet the requirements outlined by the Governor, monitor legislative activity, train all stake holders, and, most importantly protect and serve the citizens that survive disasters in Oregon. Implementation to begin working towards meeting the minimum requirements would involve the following staff.

+1 FTE Operations Policy Analysts 3

- Assist with the development and implementation of ODHS emergency operations and recovery plans and collaborate with other state agencies during planning operations and emergency response exercises.
- Work with ODHS Legislative Liaisons and the ODHS Emergency Preparedness and Business Continuity Program Manager to track and monitor proposed legislative activity that may impact ODHS operations
- Respond to the Oregon Emergency Coordination Center during Presidential or Governor declared disasters. Large scale disasters will require 24/7 operational support.

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- Maintain situational awareness and communicate with the ODHS Director and the ODHS|OHA Emergency Preparedness and Business Continuity Program Manager during emergency response activities that impact ODHS operations.
 - Assist Oregon County Emergency Managers in the development of statewide emergency response operations and Support Oregon County Emergency Managers emergency response operations when disasters negatively impact county resources.
 - Design, develop, and operate a ODHS Agency Operations Center for disaster response operations.
 - Develop testing and exercise programs for ODHS|OHA operations
 - Develop, coordinate and deliver emergency management training
 - Provide family emergency preparedness training to all employees of ODHS|OHA
- *note: Emergency management, and family preparedness training will cover approximately 11,000 employees and 200 locations statewide and will also include external stakeholders***

This POP creates and provide resources for ODHS to begin to meet its minimum obligations to protect and serve Oregonians and would provide much needed resources to allow for work with other state, local and county governments to adequately respond to disasters of all sizes and serve the requests of the Governor in times of crisis. This POP also provides ODHS with the capabilities to prepare, plan, and train its employees and external stakeholders on emergency response operations which will reduce loss of life, restore ODHS

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client safety and benefits more quickly, and aid in a more efficient economic recovery for state and local governments and business, large and small.

2. WHY DOES the Oregon Department of Human Services PROPOSE THIS POP?

Historically agencies throughout Oregon have dedicated minimal resources to emergency management operations, however, in the last several years this concept of operations has changed significantly.

Each year Oregon is impacted by potentially devastating weather-related events such as ice storms, flooding, high winds and wildfires. The most notable response includes the COVID 19 pandemic and the Umatilla flash flooding in 2020, Winter storms that forced 10 counties to declare disasters in 2019 and Chetco Bar and Eagle Creek Fires in 2017, which required multiple evacuations. Each year wild land fires devastated multiple communities throughout Oregon affecting children, families and their community's economic capabilities. In early December of 2015 storms flooded several counties throughout NW Oregon and lead to a Presidentially declared disaster which is now providing public assistance to those communities. Oregon also experiences several human created tragedies that include industrial accidents and random acts of violence, most recently the tragedy at Umpqua Community College. All of these event's tax the already underfunded resources in ODHS. Currently the agency is not capable of responding to any disaster that would require immediate deployment for 24-hour response operations leaving survivors of disasters in harm's way and potentially increases further loss of life.

Devastating events on the Gulf Coast and Eastern Seaboard of the United States and the massive earthquakes and resultant tsunamis' in Indonesia and Japan have changed Oregon's view related to emergency planning, response and recovery operations at all levels of government, to include the Governor and the Legislature. Geologically, Oregon is exposed to the same earthquake and tsunami hazards that impacted Japan in 2011

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and Indonesia in 2004. California, Oregon, Washington Oregon, Alaska and British Columbia Canada are all evaluating the lessons learned from those devastating events and strengthening emergency response capabilities. As an OERS Council member, ODHS will need to expand emergency management capabilities to ensure the agency can meet the ever-growing demands of a robust emergency management system for Oregon.

3. HOW DOES THIS FURTHER THE AGENCY'S MISSION OR GOALS? HOW DOES THIS FURTHER THE PROGRAM FUNDING TEAM OUTCOMES OR STRATEGIES?

As federal and state governmental expectations regarding emergency management operations change, so must the expectations of leadership in ODHS. ODHS' vision, mission and goals all focus on the safety, health and independence for all Oregonians. It is critical that ODHS is positioned to meet the agency's vision, mission and goals during the good times and in times of crisis when the citizens of Oregon need assistance the most.

Properly funding the ODHS Occupational Health Safety and Emergency Management Program will further our capabilities and allow us to better serve and protect children, families, the elderly, persons with access and functional needs, and others who depend on us today and adjust our operations to provide services for those who may depend on us after a disaster. We must remain accountable to the people we are here to serve at all times.

4. IS THIS POP TIED TO an Oregon Department of Human Services PERFORMANCE MEASURE? IF YES, IDENTIFY THE PERFORMANCE MEASURE. IF NO, HOW WILL Department of Human Services MEASURE THE SUCCESS OF THIS POP?

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Although this POP is not directly tied to a particular performance measure, whether it be a Key Performance Measure or QBR Performance Measures, having an organized management structure to respond during emergencies is critical.

Implementation plans and timelines will be established to ensure the agency is developing capabilities to meet its current and future responsibilities. Ultimately the success of this POP will be measured by the progress of emergency planning development and implementation, exercise and testing and our capabilities increase.

QUANTIFYING RESULTS

5. DOES THIS POP REQUIRE A CHANGE(S) TO AN EXISTING STATUTE OR REQUIRE A NEW STATUTE? IF YES, IDENTIFY THE STATUTE AND THE LEGISLATIVE CONCEPT.

NO. This POP does not require changes to an existing statute or require a new statute. The objective of this POP is to obtain the minimum resources to adequately develop and execute plans and operations to meet existing regulations outlined in ORS 401, Emergency Management and Services.

6. WHAT ALTERNATIVES WERE CONSIDERED AND WHAT WERE THE REASONS FOR REJECTING THEM?

Historically the alternative has been to develop ad hoc responses to disasters as they arose. This is a high-risk solution that invites error and poor judgment. Decision making is made with little or no information and usually without coordination with other organizations. An example of this arose from the Vernonia floods of 2007. ODHS stood up its D-SNAP program during the same time the Oregon Food Bank was distributing

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food to those in need. Since funding for both programs comes from the same source at the USDA only ODHS was allowed to have expenses reimbursed. Preplanning and collaboration prior to the floods would have established systems so that both ODHS and the Oregon Food Bank could work collectively, and both be reimbursed for their services.

More recently attempted alternatives were to use existing internal resources and rely on the voluntary efforts of other state agencies and NGO's. Although partners such as the Department of Administrative Services, the Oregon Health Authority, Oregon Housing and Community Services and the American Red Cross are interesting in helping they have their own emergency management programs to attend to. Although some progress has been made this alternative is unreliable and unsustainable.

7. WHAT WOULD BE THE ADVERSE EFFECTS OF NOT FUNDING THIS POP?

Failure to fund this POP will generate several negative impacts which include:

- Citizens impacted by disasters will be less likely to receive life sustaining disaster relief necessities in times of crisis.
- Children and the elderly who survive a disaster will be at a heightened risk of neglect and abuse.
- The potential for post disaster harm or additional loss of life will increase.
- ODHS will be unable to adequately respond to requests from the Governor, other collaborating agencies and NGOs during a disaster.
- ODHS will continue to lack the resources to meet its current responsibilities outlined in ORS 401, Emergency Management Services, Governor's Executive Order 16-07, Governor's Disaster Management Framework, Oregon's Emergency Operations Plan, the Cascadia Playbook, and the Oregon Recovery Plan.

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8. WHAT OTHER AGENCIES (STATE, TRIBAL AND/OR LOCAL GOVERNMENT) WOULD BE AFFECTED BY THIS POP? HOW WOULD THEY BE AFFECTED?

This POP results in a positive impact. State, County, Tribal and local governmental agencies will be positively impacted by this POP. The ability for ODHS to meet its minimum obligations by developing, implementing, and executing statewide mass care strategies will reduce disaster response times, increase protections and services to survivors of disasters and accelerate individual, community, and state economic recovery.

HOW ACHIEVED

9. WHAT OTHER AGENCIES, PROGRAMS or STAKEHOLDERS ARE COLLABORATING ON THIS POP?

N/A

10. WHAT IS YOUR EQUITY ANALYSIS?

Individuals with Access and Functional Needs are an underserved population in emergency management operations. External resources that aided ODHS in protecting this population were voluntarily provided through the Oregon Office on Disability and Health via a CDC grant. The grant funding expired June 30, 2016 and left a significant gap in Oregon's capabilities to address these concerns.

In emergency management persons with Access and Functional Needs include individuals whose pre-disaster circumstances create barriers to obtaining or understanding information, or the ability to react as the

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general population in order to respond to public safety instructions, and access to services. Circumstances that may create barriers include, but are not limited to age, physical, mental, emotional or cognitive status, cultural, ethnic, religion, language, citizenship or socio-economic status.

This POP would include development of statewide plans and implementation of those plans, provide assistance and outreach to local and county governments, and collaborate with other stakeholders and organizations in an effort to reduce the risk to Access and Functional Needs Communities.

STAFFING IMPACT

11. WHAT ASSUMPTIONS AFFECT THE PRICING OF THIS POP?

Implementation Date(s): October 1, 2021 for all positions

End Date (if applicable):

NA

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- a. **Will there be new responsibilities for Department of Human Services? Specify which Program Area(s) and describe their new responsibilities.** No. This POP is to meet existing ODHS obligations

- b. **Will there be new Shared Services impacts sufficient to require additional funding? Specify which office(s) (i.e., facilities, computer services, etc.) and describe how it will be affected. See Addendum A - Shared Services LC/POP Impact Questionnaire (at the end of this document).**

Minimal impact which can be absorbed into current Human Resources operations

- c. **Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.**

N/A

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- d. Will it take new staff or will existing positions be modified? For each classification, list the number of positions and the number of months the positions will work in each biennium. Specify if the positions are permanent, limited duration or temporary.**

1 permanent full time positions will be added.

- 18 months 2019-2021

Positions are as follows:

- +1 permanent Operations Policy Analyst 3

- e. What are the start-up costs, such as new or significant modifications to computer systems, new materials, outreach and training?**

Beyond Salary/OPE; initial start-up costs associated are Service and Supply related; cubicle configuration, computer/keyboard

- f. What are the ongoing costs?**

On-going Service and Supply related charges associated with having a position filled. Cost allocation of rent/utilities, some office expenditures and limited travel periods

- g. What are the potential savings?**

- h. Based on these answers, is there a fiscal impact?**

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TOTAL FOR THIS PACKAGE

<u>Category</u>	<u>GF</u>	<u>OF</u>	<u>FF</u>	<u>TF</u>	<u>Position</u>	<u>FTE</u>
Personal Services	0	197,488	0	197,488	1	0.88
Services & Supplies	26,636	11,480	0	38,116		
Capital Outlay	0	0	0	0		
Special Payments	208,968	0	0	208,968		
Other	0	0	0	0		
Total	\$235,604	\$208,968	\$0	\$444,572	1	0.88

Fiscal Impact Summary by Program Area:

	OHSE	SAEC	Program Area 3	Program Area 4	Total
General Fund	\$0	\$235,604	\$0	\$0	\$235,604
Other Fund	\$208,968	\$0	\$0	\$0	\$208,968
Federal Funds- Ltd	\$0	\$0	\$0	\$0	\$0
Total Funds	\$208,968	\$235,604	\$0	\$0	\$444,572
Positions	1	0	0	0	1
FTE	0.88	0.00	0.00	0.00	0.88

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What are the sources of funding and the funding split for each one?

(Program Area 1) Revenue Impact:

<u>Description of Revenue</u>	<u>OF</u>	<u>FF</u>	<u>TF</u>
Licensing fees (Comp Srce 0975)	0	0	0
Medicaid (Comp Srce 0995)	0	0	0
Other (Comp Srce XXXX)	0	0	0
Other (Comp Srce XXXX)	0	0	0
Other (Comp Srce XXXX)	0	0	0
Total	\$0	\$0	\$0

(Program Area 2) Revenue Impact:

<u>Description of Revenue</u>	<u>OF</u>	<u>FF</u>	<u>TF</u>
Licensing fees (Comp Srce 0975)	0	0	0
Medicaid (Comp Srce 0995)	0	0	0
Other (Comp Srce XXXX)	0	0	0
Other (Comp Srce XXXX)	0	0	0
Other (Comp Srce XXXX)	0	0	0

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2021-23 Policy Option Package

Division:	Self-Sufficiency
Program:	DVSA
Policy Package Title:	Survivor Investment Partnership
Policy Package Number:	POP 130
Related Legislation:	N/A

Summary Statement:

In partnership with the Governor’s Office, ODHS Self-Sufficiency is proposing the Survivor Investment Partnership (SIP) Program to increase accessibility of advocacy services and meaningful financial support to survivors of domestic violence and sexual assault including Tribal members, individuals without children, and vulnerable populations. Domestic violence is prevalent nationally and in Oregon. Domestic Violence is disproportionately prevalent in vulnerable populations:

- Prevalence rates for Tribal members experiencing domestic violence is at 44%¹ nationally.
- In Federal Fiscal Year 2018, 21.5%² of children in Child Welfare that were victims of Child Abuse were children of color.

Survivors of domestic violence and sexual assault need access to culturally responsive advocacy services and meaningful financial support. There are high rates of domestic and sexual violence in Oregon and services to support survivors are underfunded. There are current gaps in services, where culturally specific

¹ <https://www.cdc.gov/violenceprevention/pdf/NISVS-StateReportBook.pdf>

² <https://www.oregon.gov/DHS/CHILDREN/CHILD-ABUSE/Documents/2018-Child-Welfare-Data-Book.pdf>

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services are not available across the state, there is a need for additional services in Tribal Communities, and survivors of domestic violence and sexual assault (DVSA) need access to funding that both supports underserved and vulnerable populations and that is accessible and meaningful.

Maintaining the current funding structure has already proven ineffective and left survivors without adequate financial support to address their safety needs, such as finding safe and stable housing or gaining access to culturally responsive DVSA services. The current structure is not culturally responsive across the state and does not include the valuable partnerships with Oregon Tribes and Culturally Specific DVSA providers.

ODHS clients, DVSA survivors will continue to face safety challenges that present a barrier to creating self-sufficiency without access to meaningful advocacy resources coupled with financial support. Furthermore, DVSA survivors that are disproportionately affected will be affected at an even higher risk.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$10,000,000	\$0	\$0	\$10,000,000	3	2.64

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2021-23 Policy Package

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

In partnership with the Governor's Office, ODHS Self-Sufficiency is proposing the Survivor Investment Partnership (SIP) Program to increase accessibility of advocacy services and meaningful financial support to survivors of domestic violence and sexual assault including Tribal members, individuals without children, and vulnerable populations.

Domestic violence is prevalent nationally and in Oregon. Domestic Violence is disproportionately prevalent in vulnerable populations:

- Prevalence rates for Tribal members experiencing domestic violence is at 44%³ nationally.
- 2017 Adult Protective Services reports show out of 3,672⁴ founded community allegations investigated for abuse, 85% of those cases were individuals that may have experienced some form of domestic violence
- In Federal Fiscal Year 2018, 21.5%⁵ of children in Child Welfare that were victims of Child Abuse were children of color.

Survivors of domestic violence and sexual assault need access to culturally responsive advocacy services and meaningful financial support. There are high rates of domestic and sexual violence in Oregon and services to support survivors are underfunded. There are current gaps in services, where culturally specific services are not available across the state, there is a need for additional services in Tribal Communities, and survivors of domestic violence and sexual assault (DVSA) need access to funding that both supports underserved and vulnerable populations and that is accessible and meaningful.

³ <https://www.cdc.gov/violenceprevention/pdf/NISVS-StateReportBook.pdf>

⁴ Internal APS Fast Facts 2017 Report

⁵ <https://www.oregon.gov/DHS/CHILDREN/CHILD-ABUSE/Documents/2018-Child-Welfare-Data-Book.pdf>

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According to the Hotline (National Domestic Violence Hotline), 1 in 4 women and 1 in 7 men have experienced severe physical violence by an intimate partner in their lifetime⁶. These individuals are accessing services, requesting help, and looking for an avenue for support.

According to the CDC Violence Prevention State by State report from 2010-2012, released in 2017, Lifetime prevalence of sexual violence, physical violence, and/or stalking by an intimate partner woman has a National average of 37.3%. In the state of Oregon that prevalence is 39.8%. For men, the national average is 30.9% and in Oregon the average is 36.2%⁷. Furthermore, domestic violence greatly impacts the Oregonians accessing Self-Sufficiency Programs or engaged with the Child Welfare Program. National prevalence of domestic violence of women receiving welfare is reported at 22.9%⁸. When looking at the Oregon Child Welfare, 29.7% of Child Protective Services family stressors were domestic violence⁹.

Reviewing the statewide crisis response provided by Oregon Domestic and Sexual Violence Assault (DVSA) non-profit programs, in 2018 out of 128,786 calls for help received, 84% of those calls were related to domestic violence¹⁰. In the state of Oregon, domestic violence is a prevalent factor in many family's lives.

2. What would this policy package buy and how and when would it be implemented?

This is an investment in the Governor's Budget, in addition to the regular essential packages that are part of the normal budget build process. The POP information has been updated for the changes made in the GRB as outlined below.

⁶ <https://www.thehotline.org/resources/statistics/>

⁷ <https://www.cdc.gov/violenceprevention/pdf/NISVS-StateReportBook.pdf>

⁸ https://vawnet.org/sites/default/files/materials/files/2016-09/AR_Welfare2.pdf

⁹ 2018 Report - <https://www.oregon.gov/DHS/CHILDREN/CHILD-ABUSE/Documents/2018-Child-Welfare-Data-Book.pdf>

¹⁰ <https://www.oregon.gov/DHS/ABUSE/DOMESTIC/Documents/2018-domestic-sexual-violence-annual-report.pdf>

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This policy package would start the Survivor Investment Partnership program and invest in Survivor Investment dollars across Oregon. This policy package would (1) buy intergovernmental agreements with Oregon Confederated Tribes for domestic violence services for Tribes and (2) contracts with Culturally Specific DVSA non-profit agencies for advocacy services and contracts to build a statewide culturally responsive network by offering technical support statewide to DVSA providers to enhance and support culturally responsive services. This policy package includes flexible funding for survivors of domestic violence and sexual assault, in the form of direct financial support to survivors from the partners listed above and current contracted Co-Located DVSA Providers. This also purchases three new positions at ODHS for program implementation, ongoing program integrity and sustainability.

(1) Tribal Domestic Violence Position Funding

- Intergovernmental Agreements with Oregon Nine Confederated Tribes to support domestic violence and sexual assault services in Tribal communities, with Survivor Investment Funds to serve survivors

(2) Culturally Specific DVSA Agency Advocacy Funding

- Contracted advocacy positions to increase culturally responsive domestic violence response statewide
- Contracted advocacy positions to utilize Survivor Investment funding

Survivor Investment Dollars

- Financial assistance offered by DVSA organizations and Tribes to address needs of survivors in their communities. Funding enhances meaningful financial support with connection to culturally specific and confidential advocacy services.
- Includes flexibility to offer financial assistance to all vulnerable populations for resources including but not limited to housing, legal fees, immigration fees, penalties, lock changes, cameras, rental assistance, moving costs, plane tickets, license fees, housing application, emergency hotel, etc.

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- Fund’s usage to be determined by Tribal Nations, Culturally Specific DVSA Providers, and Co-Located DVSA Providers for the needs of domestic violence and sexual assault survivors in their communities.
- These funds are issued through contract and intergovernmental agreements and specific to services for survivors – implemented in partnership with DVSA programs to meet the needs in a trauma-informed, culturally responsive system.

The intention is to expand domestic violence and sexual assault services in a meaningful way and to create funding to reach underserved populations. This policy package will focus on increasing and building partnerships and creating meaningful financial supports. This will be done by contracting with these partners to increase or build agency capacity to start or further serve underserved populations, offer their agencies the flexible funding they need to meet the financial needs of survivors while providing culturally and linguistically appropriate advocacy services. This program will focus on providing culturally responsive advocacy and financial support to survivors. This policy package was jointly developed by the Oregon Tribes, Culturally Specific domestic violence sexual assault (DVSA) providers, Co-Located DV Providers, and a workgroup made of DVSA providers, ODHS staff, the Governor’s Office, and other domestic violence and sexual assault providers.

This policy package would be effective 07/01/2021 or upon passage, whichever is later.

3. How does this policy package further ODHS’s mission and align with its strategic plan?

This policy package aligns with the Governor’s Vision for 2021-2023 to enhance culturally responsive domestic violence services across the state with a focus on underserved populations, including Tribal Nations and culturally specific populations. This aligns with ODHS strategic plan to enhance services to underserved populations and expand on services that are nationally recognized. Policy package addresses systematic weaknesses in service

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implementation and applies an equity lens to ensure ODHS clients and community members have access to meaningful, trauma-informed, and culturally responsive services and financial support.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

This package is not being requested because of an Oregon Secretary of State or internal audit.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

SSP will collect aggregate data from all providers to determine how funds were used, how many people were served, and is working on outcome measures for data. In addition, Tribes and DVSA agencies will be provided additional FTE to support their work. We can measure the increased number of people served with these positions.

SSP plans to work in collaboration with our providers to develop a series of optional survivor surveys that can be used to gather data from survivors of how the program helped them. With domestic violence and sexual assault (DVSA), the needs of survivors are completely different and therefore their success measures are dependent on resources they were able to access, versus outcomes they have made. DVSA survivors are trying to gain safety from an individual(s) that is causing them harm. Outcomes are dependent on if the survivor gained more safety tips from the services they received and if they were able to receive the financial assistance needed.

SSP will also work with staff to determine if relationships with our contracted partners have increased or improved and what additional knowledge ODHS staff gained regarding the Oregon Tribes and/or how to be culturally specific and responsive.

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6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an DHS performance measure? If yes, identify the performance measure(s).

The policy package's focus is on building safer, healthier communities by promoting the goal of increasing meaningful access and support for families experiencing violence to get the resources they need. This also relates to overall family stability and child safety. Self-Sufficiency Programs have key performance measures that include:

- *Self-Efficacy and Hope* – The percentage of Self-Sufficiency participants who report their involvement with SSP and the services SSP connected them to helped them feel (1) more confident about improving their current circumstances and (2) more hopeful about their future.
- *Housing Stability* – the percentage of Self-Sufficiency Program participants who report their housing needs are met.

The mission for the Child Welfare Program: Every child and family is empowered to live independent, safe, and healthy lives. By investing in broadening the effective domestic violence programs that support survivors of domestic violence, ODHS is committing to offer more financial stability and promoting self-efficacy and hope. ODHS is committed to giving supports to families that include financial and advocacy supports to empower survivors and children to live healthy and safe lives.

7. What are the long-term desired outcomes?

The long-term desired outcomes include more access to confidential advocacy services, increased capacity for Oregon Tribes and culturally specific DVSA providers to provide more culturally specific domestic violence services, and access to flexible funds for survivors of domestic violence and sexual assault throughout Oregon.. This will expand culturally responsive services for survivors of DVSA statewide. Historically underserved populations that experience violence at a disproportionate rate will be positively impacted by this program,

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both the financial supports and additional advocacy service and resources this policy package builds. These services will help survivors to attain self-sufficiency and prevent the need to return to an abusive situation. This will help children to maintain safety. The results would also include building capacity in the Oregon Tribes to provide services to their communities for DVSA survivors, outreach, and/or prevention. This will also build culturally responsive DVSA services throughout the state of Oregon by increasing capacity at culturally specific DVSA organizations and building a network of support statewide.

The SIP Program provides funding to meet survivors needs in connection with advocacy services through DVSA organizations and the Oregon Tribes. These dollars invest in safety for survivors by giving meaningful funds for needed safety items, administered in a culturally specific way and meeting survivors in the communities they are already seeking services. Contracts/Intergovernmental Agreements ensures infrastructure of consistent statewide program implementation and allows for SSP to gather aggregate data for analysis and ongoing program development.

8. What would be the adverse effects of not funding this policy package?

Maintaining the current funding structure has already proven ineffective and left survivors without adequate financial support to address their safety needs, such as finding safe and stable housing or gaining access to culturally responsive DVSA services. The current structure is not culturally responsive across the state and does not include the valuable partnerships with Oregon Tribes and Culturally Specific DVSA providers.

ODHS clients, DVSA survivors will continue to face safety challenges that present a barrier to creating self-sufficiency without access to meaningful advocacy resources coupled with financial support. Furthermore, DVSA survivors that are disproportionately affected will be affected at an even higher risk. Throughout workgroup conversations, it was identified that the current structure of needing to be at a ODHS Office to get

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financial assistance is not the safest place for underserved populations. Without changing the funding structure, ODHS will continue to inadequately support these individuals.

In addition, relationships with Oregon Tribes and Culturally Specific DVSA providers will be negatively impacted, as we have engaged their services and support. A lack of capacity in their organizations has been identified, which leaves them with a hole.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

SSP completed a budget reallocation to distribute funds in an equitable way and based on prevalence of domestic violence in county populations. This resulted in shifting of funding and changing of access to services for survivors in the community. It also expressed a significant gap in services in urban areas and a gap in culturally specific response statewide.

SSP considered what it would mean to ask local domestic violence point persons, workers in Child Welfare, Aging and Persons with Disabilities, and Self-Sufficiency offices, to create relationships and provide the culturally specific resources. This takes the expertise away from our providers and requires in depth training and resources that do not exist. ODHS offers different services than advocacy agencies as well that cannot fill the gap of what support is needed.

Historically, the needs for training and culturally responsive services for domestic violence have relied on partnering agencies that volunteer to provide this service. This greatly impacts our relationships with providers, the capacity of those agencies, and the quality of work providers would be asked to work in, given they would

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be volunteering their staff and time. Using any of these models internally removes the expertise and trauma informed lens provided by our partners. It also increases the risk for vicarious trauma and burnout.

10. What alternatives were considered and what were the reasons for rejecting them?

SSP considered relying on our current structures. We learned from current ODHS staff, current contracted DVSA providers, and for our workgroup and Oregon Tribes and Culturally Specific providers that the current system does not meet all the needs of providers or domestic violence and sexual assault survivors in a meaningful way or a culturally specific way.

SSP explored existing supports and services for domestic violence survivors in the state of Oregon. As it stands now, relying on local domestic violence sexual assault (DVSA) providers and community action agencies to distribute funding sources for financial support to survivors of domestic violence will not be sufficient. DVSA providers have limited funding, that is not as flexible as even the TA-DVS program. Action agencies funding is otherwise allocated and not dedicated specifically to domestic violence.

With the Governor's Office, the Workgroup, and Oregon Tribes and culturally specific DVSA providers, we explored expanding co-location as it currently exists. Underserved populations do not always feel comfortable starting their request for domestic violence help in this setting. SSP explored expanding our Temporary Assistance for Domestic Violence Survivors (TA-DVS) program however the program has federal funding that restricts both the eligibility for the funds and the usage of the funding, which hinders survivors from applying and/or accessing funds once approved for the program.

Current co-located DV providers have attempted to provide services for survivors and ODHS at their own cost. This resulted in under staffing in advocacy agencies, lack of effective training and support for advocates,

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unequitable treatment and expected response from providers. It also results in less access for survivors to well supported DVSA co-located advocates.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No, this policy package does not require any changes or establishment of statute.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

Each of the nine federally recognized Oregon Tribes are to be affected by this policy package. Each tribe will receive funding to increase their capacity in providing domestic violence services in their Tribe. The funding is specific to each Tribe to meet their needs. The Tribes were involved in the discussions to build this policy package. The fiscal impact is funding that increases their current service allotment for domestic violence and sexual assault. This is new funding with ODHS, which means we are building relationships and cultivating strong partnerships. The Tribes performance will be dependent on how they build their programs around this funding, some wanting to increase advocacy, work with children, provide additional training, have support for consultation and training conversations amongst other agencies, outreach services, and/or a combination of the above.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

We worked in collaboration with the following partners: Governor's Office, Oregon Confederated Tribes, Culturally Specific domestic violence sexual assault (DVSA) providers, current Co-Located DV Advocate providers, Oregon Attorney General's Sexual Assault Task Force (SATF), Oregon Coalition Against Domestic and Sexual Violence (OCADSV), ODHS Domestic and Sexual Violence Council, and other interested parties.

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These parties all functioned by supporting us through various workgroup efforts to build the policy package in total, including having discussions on how to maintain flexibility in funding, increase, create or enhance services that are culturally responsive, build support and capacity for DVSA agencies and Tribes to complete this work, and what survivors of domestic violence and sexual assault need in their access to funding.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

This package has worked in partnership with the Oregon Tribes and culturally specific DVSA providers to create meaningful access to services for populations impacted by inequities. As mentioned above, domestic violence and sexual assault affect all populations, but disproportionately affects vulnerable populations. This policy package aims to provide funding to agencies and partners that serve vulnerable populations. The policy package works in collaboration with providers serving vulnerable populations to increase capacity at their organization to serve more DVSA survivors or to serve DVSA survivors in ways each program has identified as an existing gap in their services. This policy package also invests in flexibility of funding to allow programs the ability to meet the needs of the individuals they are working with in ways we have been unable to before, both within ODHS and within their organizations.

Throughout workgroup conversations, we have identified inequities and injustices within funding structures, support, and resources for survivors, and within ODHS operations. This policy package continues collaboration with commitment from ODHS to further engage our Tribal partners and Culturally Specific partners to enhance ODHS services and provide further services to vulnerable populations.

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The component to build a statewide network of support allows us to create more resource in all areas of the state for culturally responsive services. This further builds ODHS collaboration with partners and enhances the ability for partners to connect across the state, building more network and support for DVSA survivors.

STAFFING AND FISCAL IMPACT

Implementation date(s): 07/01/2021

End date (if applicable): Ongoing

15. What assumptions affect the pricing of this policy package?

This policy package is priced based on a two-year biennium contract schedule. Contracts/intergovernmental agreements would be signed for two years with amendments for ongoing service level.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

Yes, Self-Sufficiency will be responsible for program development, implementation, evaluation, and program maintenance for the SIP Program and Co-Located DV Advocate program. This includes building program infrastructure, continued conversations and relationship building with Oregon Tribes, Culturally Specific DVSA Providers, Co-Located DVSA Providers, and Child Welfare.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

Yes. This will require access to facilities, including computer, phone, and email for all Co-Located DV Advocates.

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18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

This policy package has the potential to be a domestic violence caseload increase or reduction. Due to safety purposes, there is no data to identify why survivors have reached out, if their needs were met, or why they did or did not access services with ODHS. There is also no current data on use of culturally responsive services to determine the increase in that caseload size.

Potential reasons we anticipate an *increase* in domestic violence cases:

- More individuals will have access to culturally responsive services, advocacy services, and financial support. The connection to advocates could lead to more referrals to domestic violence services at ODHS in both Child Welfare and Self-Sufficiency.
- Based on our average TA-DVS caseload size in SFY 2019, 1,057 out of 1,439 TA-DVS cases were approved but did not utilize payment. Providers have shared anecdotally this is because the funding is not enough. If the TA-DVS funding is combined with SIP funding, we anticipate the caseload could increase and use of the funding may increase.

Potential reasons we anticipate a *decrease* in domestic violence cases:

- More individuals will have access to culturally responsive services, advocacy services, and financial support. The connection to advocates and financial support might mean survivors will not need ODHS services or receive preventative services instead of entering into the Child Welfare system.
- Based on our average TA-DVS caseload size in SFY 2019, 1,057 out of 1,439 TA-DVS cases were approved but did not utilize payment. Providers have shared anecdotally this is because the funding is

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not enough or not adequate. If funding is available through another source that is more flexible, TA-DVS funds may not be utilized at the same rate.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

Policy Option package requests the following permanent positions.
All positions will work 24 months in the biennium.

Operations and Policy Analyst 4 – For program development, relationship building, and outcome measurement. This position is responsible for program oversight of SIP Program. This position is responsible for ongoing collaboration with Child Welfare.

Operations and Policy Analyst 3 – For ongoing contract administration, including but not limited to site visits, contract compliance, contract/Intergovernmental Agreement drafting and submission, planning and offering training and technical support to contracted providers.

Operations and Policy Analyst 2 – For invoice processing, data tracking, day to day maintenance of SIP program.

20. What are the start-up and one-time costs?

Not applicable.

21. What are the ongoing costs?

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This policy package is to be incorporated into ongoing service level. Cost estimates around \$10,000,000 (policy package pricing and potential COLA increases) expanding beyond the 2021-23 biennium.

22. What are the potential savings?

By funding more supports for domestic violence and sexual assault survivors, the workgroup anticipates there will be a cost savings through the following impacts:

- Prevention of children entering the foster care system due to domestic violence
- Stabilization of survivors, meaning less need for other SSP program benefits for ongoing stability
- Less burnout and turnover of ODHS staff regarding DVSA cases due to increase in collaborative support from providers
- Decrease in staff time spent supporting DVSA clients and navigating DVSA challenges, due to ongoing collaborative efforts.

23. What are the sources of funding and the funding split for each one?

This policy package is 100% general fund.

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$562,076	\$0	\$0	\$562,076	3	2.64
Services & Supplies	\$114,201			\$114,201		

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Capital Outlay						
Special Payments	\$9,323,723			\$9,323,723		
Other						
Total	\$10,000,000	\$0	\$0	\$10,000,000	3	2.64

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund	\$10,000,000				\$10,000,000
Other Funds					\$0
Federal Funds					\$0
Total Funds					\$0
Positions					3
FTE					2.64

Oregon Department of Human Services 2021-23 Policy Package

Division:	Vocational Rehabilitation
Program:	Youth and Workforce
Policy Package Title:	Social Security Cost Reimbursement
Policy Package Number:	POP 131
Related Legislation:	N/A

Summary Statement: Currently Vocational Rehabilitation (VR) is not fully capturing all of the available Social Security reimbursement available to its consumers who received Social Security Insurance (SSI) and/or Social Security Disability Insurance (SSDI) benefits and who become employed as a consequence of VR services. Historically these revenues have approached \$10M per biennium. Proposed changes in the Ticket to Work program would create a revenue stream to fund ongoing supports for individuals with the most severe disabilities.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$0	\$0	\$170,746	\$170,746	1	1.00

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PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

This will be a self-funding position that will also be revenue generating. This will bring in additional federal finds that do not need to be matched. This will help the VR program keep out of the Order of Selection and increase client service dollars.

2. What would this policy package buy and how and when would it be implemented?

VR is requesting one position to revamp our current reimbursement system, submit and manage timely reimbursements from the Social Security Administration. Additionally, this position will work in collaboration with Senior and People with Disabilities (SPD) and Office of Mental Health and Addiction Services (OMHAS) to explore and potentially develop a reimbursement system in collaboration with community partners that would generate an additional revenue stream for those individuals who required ongoing supports in order to maintain employment. Without the self-funding position, OVRS will not be able to recoup the full amount of Social Security reimbursements available and will not be able to pursue the Ticket to Work Program as a potential revenue stream.

3. How does this policy package further ODHS's mission and align with its strategic plan?

This funding stream would enhance VR financial ability to assist eligible Oregonians with disabilities to secure, maintain and advance in employment.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

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No.

QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

ODHS and VR will measure the success of this package by tracking the number of claims that are submitting=

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

No.

7. What are the long-term desired outcomes?

Increase revenue into the program. There is potential for this program to expand beyond VR clients to other Oregonians served by ODHS. This could dramatically increase the revenue for the agency.

8. What would be the adverse effects of not funding this policy package?

There are unclaimed federal funds that are not being claimed by the state. By not providing resources to this program, we are losing funds by not claiming them.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

We currently have one FTE working in this const reimbursement program. Last biennium the were able to draw down nearly \$10M in unmatched funds. We are projecting that we could draw down at least another

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\$500,000 to \$1M if we could have more support in this program area. (See attachment below for income over the past several biennia).

10. What alternatives were considered and what were the reasons for rejecting them?

Status quo. This was rejected because this position would pay for itself and with additional income to support the program.

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

There is the possibility that we could draw down additional funds from clients served by other ODHS programs. This would further increase the revenue generated by this POP.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

None.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

Indirectly this POP will provide additional support to the VR program because it will bring in funds that can be used for client service delivery.

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STAFFING AND FISCAL IMPACT

Implementation date(s): 7/1/2021

End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

FTE calculation.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

No. This would expand an existing program.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

No.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No. This position would work to recoup funds expended on individuals that have already exited the VR program.

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19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

The staff requested would be a Human Services Assistant 2. This would be a new position

20. What are the start-up and one-time costs?

N/A or negligible. There would be general recruitment and onboarding expenses.

21. What are the ongoing costs?

The biennial cost will be \$170,746 for the 1 FTE.

22. What are the potential savings?

This position will support VR program activities that generate revenue. It is estimated that the position could potentially generate an additional \$200,000 to \$500,000 extra funds in cost reimbursement funds per biennium.

23. What are the sources of funding and the funding split for each one?

This is a self-funding position, and it would be paid out of the cost reimbursement fund that we receive from the Social Security Administration under the Ticket to Work and Cost Reimbursement programs.

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Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$129,305	\$129,305	1	1.00
Services & Supplies			41,441	41,441		
Capital Outlay						
Special Payments			680	680		
Other						
Total	\$0	\$0	\$170,746	\$170,746	1	1.00

Fiscal impact by program

	Program 1	Program 2	Program 3	Program 4	Total
General Fund					\$0
Other Funds					\$0
Federal Funds					\$170,746
Total Funds					\$170,746
Positions					1
FTE					1.00

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Oregon SSA Cost Reimbursements

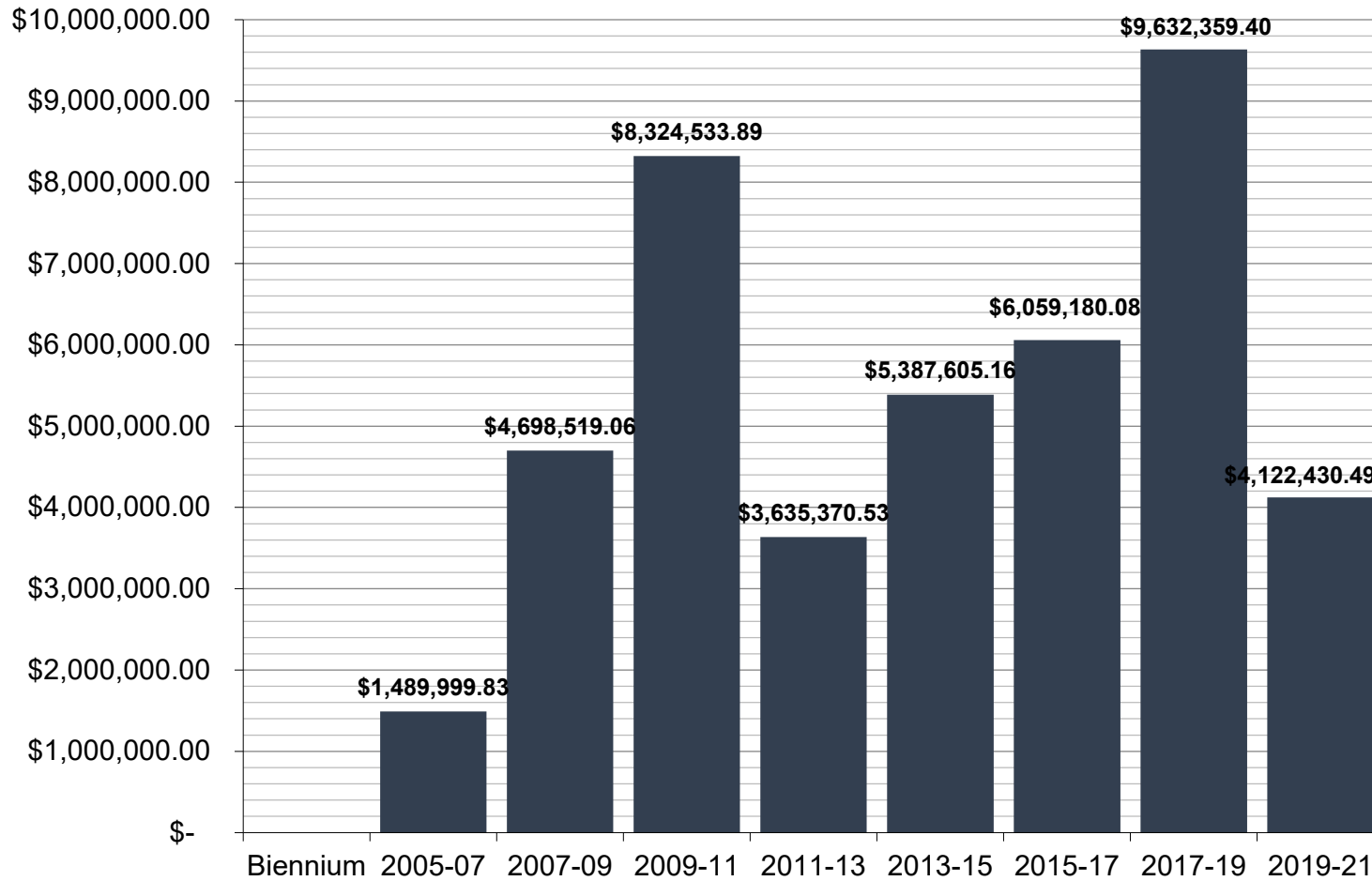
Biennium 2019 - 2021 (July 1, 2019 – June 30, 2021)

Cost claims requested this biennium:	590
Total CR amount requested this biennium:	\$8,466,972.01
Claims Pending SSA Approval:	231
Pending Claims Total Amount:	\$3,577,870.00
Total Claims Paid to Date:	\$4,122,430.49

Cost Reimbursement Payment History:

2019–21 Biennium Total Reimbursements:	\$4,122,430.49
2017–19 Biennium Total Reimbursements:	\$9,632,359.40
2015–17 Biennium Total Reimbursements:	\$6,059,180.08
2013–15 Biennium Total Reimbursements:	\$5,387,605.16
2011–13 Biennium Total Reimbursements:	\$3,635,370.53
2009–11 Biennium Total Reimbursements:	\$8,324,533.89
2007–09 Biennium Total Reimbursements:	\$4,698,519.06
2005-07 Biennium Total Reimbursements:	\$1,489,999.83

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Last updated 4/28/2020

Oregon Department of Human Services and Oregon Health Authority

2021-23 Policy Option Package

Division:	ODHS & OHA
Program:	Integrated Eligibility (IE) / Integrated ONE
Policy Package Title:	IE Maintenance and Operations Post-Implementation
Policy Package Number:	POP 206
Related Legislation:	N/A

Summary Statement:

This POP requests permanent resources for ODHS and OHA/OIS to support the transition from the IE project to the integrated ONE program through the 2021-23 biennium and into the future biennia. The requested resources and funding will provide stability and continued support for the Integrated Eligibility (IE) program. The Integrated Eligibility initiative is a multi-biennium effort to develop a comprehensive unified system called integrated ONE that integrates eligibility determination for MAGI and Non-MAGI Medicaid, Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF) and Employment Related Day Care (ERDC) benefits. The IE program represents an essential lifeline to vulnerable Oregonians in need.

It should be noted that the integrated ONE system will be implemented statewide before July of 2021. Following implementation there will be a substantial stabilization period to resolve defects and to help staff adjust to the new system. As the project transitions to Maintenance and Operations (M&O), the resource gaps must be addressed to sustain this substantial investment. This POP is meant to address three critical areas:

Resource Gaps and Staffing Challenges

To sustain this substantial investment, this POP is addressing the resource gaps not recognized in the 2019-21 biennium for M&O.

Stabilization and Post-Implementation Support

This POP requests permanent resources for ODHS and OHA/OIS to support the transition from the IE project to the integrated ONE program through the 2021-23 biennium and into

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future biennia.

Funding to Support M&O

M&O is key to making sure that the system support Oregonians and that ODHS/OHA can continue to receive funds under the maintenance and operational federal match.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$37,118,353	\$ (including OIS limitation)	\$32,558,094	\$69,676,447 (including OIS limitation)	24	24.00

PURPOSE

1. Why does OHA propose this policy package and what issue is OHA trying to fix or solve?

This POP requests permanent resources to fill resource gaps and funding for ODHS and OHA/OIS to support the transition from the IE project to the integrated ONE program through the 2021-23 biennium and into the future biennia. The requested resources and funding will provide stability and continued support for the Integrated Eligibility (IE) program. The Integrated Eligibility initiative is a multi-biennium effort to develop a comprehensive unified system called integrated ONE that integrates eligibility determination for Non-MAGI Medicaid, Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF) and Employment Related Day Care (ERDC) benefits. The IE program is an umbrella under which multiple complex inter-dependent, yet disparate, bodies of work fall, and it represents an essential lifeline to vulnerable Oregonians in need.

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Funding and position authority were received in the 2019-2021 session for some M&O activities; however, after two years and the system close to go-live, more is known as to what the required ongoing support needs are. It is important to note that M&O activities that are currently being filled by limited duration resources, rotational staff or contracted staff need to be filled by permanent staff to reduce expenses, high turnover, and lost productivity.

The integrated ONE system will be implemented statewide before July of 2021. Following implementation there will be a substantial stabilization period. As a result, the following permanent resources and funding will be needed to support the IE program:

- Subject matter experts, testers, analysts, test case writers, site support, coordinators and leadership will need to continue to provide support services into the 2021-23 biennium
- Defect resolution experts and coordinators to manage the code releases in multiple environments
- Site support resources to help staff adjust to the new system
- Ongoing support of the Legacy systems relied upon by IE, such as:
 - Changes made to the IE core system typically require changes to the legacy systems, which ultimately pays out benefits for Oregonians
 - Test environments created to support user acceptance testing (UAT) and ongoing support and maintenance for the existing automated test suite were not included in previous funding requests
 - Additional resources will be needed to ensure the environment and tools can support system changes, system enhancements and testing
 - Disaster Recovery functionality for the IE core needs to remain intact and tested annually
- Duties that have been transitioned to OHA/OIS from ODHS that the IE program is dependent upon:
 - Ongoing support of the ONE VEC call center, which is relied upon by the IE Program
 - PMO administrative services, such as, calendar management, receiving and sending correspondence, and providing reports
- Program Office resources to manage and support a program office versus a project office. The program will need resources to manage cost, scope, schedules, risks and issues, system change requests, deliverable management,

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testing, site support, reporting needs, governance, administrative support, quality control, and complex communications across several domains.

- On-going M&O support will be provided by Deloitte for the core system. Funding is requested through this POP for those M&O expenses.

The IE program must meet the needs of the Oregonians in which it serves and as the project transitions to Maintenance and Operations (M&O), the resource gaps must be addressed to sustain this substantial investment.

In summary, this POP is meant to address three critical areas:

Resource Gaps and Staffing Challenges

To sustain this substantial investment, this POP is addressing the resource gaps not recognized in the 2019-21 biennium for M&O.

Stabilization and Post-Implementation Support

This POP requests permanent resources for ODHS and OHA/OIS to support the transition from the IE project to the integrated ONE program through the 2021-23 biennium and into future biennia.

Funding to Support the M&O Contract

M&O is key to making sure that the system support Oregonians and that ODHS/OHA can continue to receive funds under the maintenance and operational federal match.

2. What would this policy package buy and how and when would it be implemented?

This policy package seeks a total of 63 permanent FTE (ODHS-24, OIS-39) and funding for M&O for the IE program.

Permanent Positions to support the Program by filling resource gaps and to provide post-implementation support

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The 2019-21 policy package provided limited duration positions and contractors to fill key positions during the design, development, and implementation phase. Using limited duration and contractors for a large multi-year project, created significant staffing challenges. In general contractors are three times more expensive than permanent employees and some staffing contracts only allowed contractors to work 1,040 hours per year. Staff in limited-duration positions continue to look for permanent employment creating instability in the workforce supporting this program. These challenges impact the business in the following ways: 1) High turnover rate 2) Loss of unique knowledge that is specific to ODHS / OHA 3) Project team members had to train new contractor's continuously 4) Additional workload is assigned to already over-loaded staff.

Investing in permanent staff for the IE Program will help the organization achieve its strategic goals by providing resources that will be invested in stabilizing a critical system that delivers critical services to Oregonians, which are required by our Federal Partners (e.g., Centers for Medicaid and Medicare, Food and Nutrition Services, etc.).

High-Level Implementation Plan:

- Prioritize needed positions and begin hiring permanent staff immediately upon approval
- Establish the IE Program Management Office and transition from a project office to a program office, based on the M&O transition plan
- Execute the M&O program support and transition plan
- Issue the approved funding to the M&O contractor that supports the core system
- Stabilize the ONE system and provide post-implementation support

3. How does this policy package further ODHS's and/or OHA's mission and align with its strategic plan?

The Integrated ONE solution will assist Oregonians achieve well-being and independence by providing timely and efficient eligibility determinations. It will allow a self-service option for Oregonians to apply through the applicant portal

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at times that are convenient for them, which in turn, would minimize the amount of time needed in ODHS field offices to complete the application process. The system will generate notices in seven languages and five alternate formats, helping to reduce barriers for traditionally underserved populations. Integrate ONE solution improves access to program eligibilities and program benefits to some of Oregon’s most vulnerable populations. Reducing any wrong doors and consolidating access to services, providing individuals and households with greater opportunity to access benefits and services though the venue of their choice, online, by phone or within a single office space. Integrated ONE brings the disparate IT systems together, provides previously unavailable opportunities for service delivery improvements and moves the agency closer towards a no-wrong-door approach.

Operations of the Integrated ONE solution will require complex coordination systems, data, and processes at an Enterprise level across multiple key program areas and agencies. Permanent resources will assist Oregonians from start to finish in providing timely and efficient eligibility determinations for the IE Program from a field office or a virtual eligibility center. Staff resources are required to support the technology enhancements, maintain the existing 150 system interfaces, and support the system. The Applicant Portal is self-service for end-users, but backend work is required to ensure availability.

Performing this level of coordination improves access to care, safety, security, and stability to Oregonians and moves us closer to sustaining a no-wrong-door approach.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

No.

QUANTIFYING RESULTS

5. How will ODHS/OHA measure the success of this policy package?

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Success will be measured by using the following*:

- Customer Satisfaction: Through the use of surveys, the majority of Oregon citizens using the integrated ONE system will respond with a positive reply of good or excellent.
- Employee Engagement: Through the use of surveys, the majority of staff report medium or high levels of positive engagement with customers
- Accuracy: The integrated ONE programs, Non-MAGI Medicaid, SNAP, TANF, and ERDC show a 95% or better-quality control review rating
- Availability: The integrated ONE system has an uptime of 99.99% or better and any potential issues can be forecasted and addressed before they impact Oregon citizens
- Reporting: Through the use of several reporting methods that include ad hoc and federally required reporting.

* This policy package lays the foundation of the people and tools to be able to collect and analyze the data used for measuring success.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or a ODHS/OHA performance measure? If yes, identify the performance measure(s).

This policy package aligns with and directly supports three areas of the Governor’s policy:

1. “Modernize and standardize critical statewide systems”
2. “Optimize service delivery to the public and internally by modernizing agency-specific and cross-agency systems” by providing a modern, accessible system enabling clients broader access to services and quantifiable measurements around outreach and quality of services.
3. Create better health through good jobs

7. What are the long-term desired outcomes?

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Continue to enhance the integrated ONE system that enables Oregonians to self-serve by accessing their benefits through a web portal. Oregonians will continue to be able to access their benefits by phone, by mail, by fax, or in person.

The new system will provide self-service to Oregonians by enabling applications through the applicant portal at times that are convenient to them. It provides a more dignified and private option to apply and minimizes wait times in ODHS field offices to complete the process. Currently, in person engagement requires staff to use three different agencies using seven different systems to determine eligibility for Oregonians.

The Integrated ONE system will improve efficiency and access to eligibility-based services for Oregonians who will no longer have to visit multiple locations and for staff who will not have to enter information into multiple systems for multiple programs. This solution will increase accuracy in our benefit determinations as program information, notification of changes, Federal and State interfaces, automation logic and a rules engine will standardize practices across multiple programs. The system also generates notices in multiple languages and formats, helping reduce barriers for traditionally underserved populations. It also gathers and stores applicants preferred race and ethnicity values allowing for culturally competent care.

8. What would be the adverse effects of not funding this policy package?

If this policy package is not funded, support for one of Oregon's largest IT investments will not be at a level required to make sure that Oregonians relying on the IE program for critical services can be met, which might directly affect eligibility and/or benefit accuracy and customer satisfaction. In addition, lack of support increases the likelihood of staff overloads, longer than expected delays in responding to issues, inability to provide federally mandated reports, lack of predictive mitigation of issues as staff will be too busy just keeping the system running versus being able to address potential issues before they become a reality and impact Oregonians.

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

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Funding and position authority were received in the 2019-2021 session for some M&O, ongoing project management and support activities. This is a new environment and one of the largest, most complex IT systems Oregon has ever implemented. Now, with the system close to go-live, more is known as to what the ongoing support needs will be. This policy package is the result of what has been learned and what is needed to support what will be Oregon's largest IT system going forward.

10. What alternatives were considered and what were the reasons for rejecting them?

Alternatives include:

1. Do nothing.

This is not a viable option. With what is known today, the previous M&O support estimate will only keep the IE program at minimal levels at best, at worst, it will negatively impact both Oregonians and staff. Oregonians may suffer through delays and availability, while staff deal with negative experiences with customers and work overloads.

2. Hire Contracted or Limited Duration Resources and Continue to With Current Staff.

This is not a viable option. Over the last five years, the two agencies have used contracted staff and limited duration resources to fill its resource gaps. This strategy is not the most effective or efficient method for IT services. Hiring contractors using the IT Professional Services contract can be up to three times more expensive than permanent employees and some staffing contracts limit contractors to 1,040 hours per year. Staff in limited-duration positions continue to look for permanent employment creating instability in the workforce supporting the IE program. These challenges result in the following impacts:

- Contracted staff can cost up to three times more; thus, impacting Oregonians bottom line
- High turnover rate
- Additional workload is assigned to already over-loaded staff
- Permanent staff must continuously train new hires
- Loss of unique knowledge that is specific to the IE program and/or OIS
- Reduced productivity

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11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

No.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

OHA and ODHS are the primary stakeholders and beneficiaries outlined in this policy package. In addition to OHA and ODHS, the following agencies are affected:

- DAS - Equipment and services at ETS are required to support this policy package
- DOJ - The IE program will need to interface with the Child Support system
- OED - The IE program will have interfaces with the Employment Department
- ODE - The IE program will interface with systems that make payments to Early Learning Division Child Care Providers

13. What other agencies, programs or stakeholders are collaborating on this policy package?

This is a collaborative effort between ODHS and OHA.

14. How does this policy package help, or potentially hinder, populations impacted by health inequities from achieving health equity¹ or equitable health outcomes?

¹ Health Equity: When all people can reach their full potential and well-being and are **not disadvantaged by their race, ethnicity, language, disability, gender, gender identity, sexual orientation, social class, intersections among these communities or identities or other socially determined circumstances.**

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This policy package, if approved, will ensure that Oregonians can continue to achieve wellbeing and independence by providing timely and efficient eligibility determinations for the IE programs that are relied upon. In addition, it continues support for the following:

- Allow Oregonians to self-serve by applying through the applicant portal at times that are convenient for them, minimizing time needed in field offices to complete the process
- Generate notices in seven languages and in five alternate formats, helping to reduce barriers for traditionally underserved populations
- Gather, and store applicants preferred race and ethnicity values allowing for culturally competent care

STAFFING IMPACT

Implementation date(s): July 1, 2021 start date

This will be an on-going effort anticipated for each biennium to ensure that both ODHS and OHA have the resources to support the IE program and

End date (if applicable): Oregonians.

15. What assumptions affect the pricing of this policy package?

- Cost of professional services is assumed to be in alignment with other comparable efforts
- Cost of staffing is assumed to be relatively constant
- Federal funding will be available and leveraged for all ODHS & OHA efforts where available
- Resources with the necessary skills will be available

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16. Will there be new responsibilities for ODHS or OHA? Specify which programs and describe their new responsibilities.

No.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

The following duties have been transitioned to OHA/OIS from ODHS that the IE program is dependent upon:

- Ongoing support of the ONE VEC call center, which is relied upon by the IE Program
- Administrative services, such as, calendar management, administrative support, receiving and sending correspondence, and/or providing reports

Additional scope was added over the last two years:

- Maintenance of Legacy test environments
- Disaster Recovery support

Additional permanent resources are needed to support the above work efforts for OHA/OIS.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

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This policy package requests funding for 63 permanent positions. The positions are new and will work collaboratively within ODHS and OIS to support M&O for the IE program.

ODHS - Funding for 24 permanent positions to provide support in various key roles:

- SSP Program Support: Funding and permanent position authority for 4 FTE (4-OPA4) to support Virtual Eligibility Center operations
- OBIS Support: This package reclasses 1-PEMD to PEME (1018540), and provides funding and permanent position authority for 19 FTE (2-OPA4 MMN, 1-OPA3, 8-OPA2, 8-OPA1) for resources to support testers and test case writers, to ensure system functionality remains synchronized and in-tact, IE program infrastructure including data dictionary management, report writing, release management, and the ONE Helpdesk
- Administrative staff: Funding and permanent position authority for 1 FTE (1-AS2)

OIS Technical - Funding for 26 permanent positions to address technical expertise gaps not requested previously. These include:

- Business Intelligence Developer: Funding and permanent position authority for 1 FTE (1-ISS8) to develop, deploy, and maintain BI interfaces for data visualization, interactive dashboards, ad hoc reporting, and data modeling
- AD / Express Route System Architect: Funding and permanent position authority for 1 FTE (1-ISS8) to support complex infrastructure that crosses multiple domains
- Database Administrator: Funding and permanent position authority for 1 FTE (1-ISS8) to provide expertise in-house for a complex and large database that consists of 1,700 tables
- Senior Privacy / Risk Coordinator: Funding and permanent position authority for 1 FTE (1-ISS8) to coordinate between the vendor and EIS CSS on applications for privacy, risk, and compliance
- Test Environments / Batch scheduler support: Funding and permanent position authority for 2 FTE (1-ISS7, 1-ISS6) to provide ongoing support and maintenance of the new infrastructure created during the project to support testing and training

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- JV Support: Funding and permanent position authority for 1 FTE (1-ISS7) to join the JV financial system support team
- Operations Support: Funding and permanent position authority for 3 FTE (3-ISS7) to coordinate change requests and triage activities for legacy system changes
- Legacy Mainframe Team: Funding and permanent position authority for 3 FTE (PEME, 1-ISS8 mainframe architect, 1-ISS8 Interface Architect) to support ongoing IE M&O to the legacy systems
- Compliance Specialist: Funding and permanent position authority for 1 FTE (ISS8) to manage compliance and audit activities with SOS, federal partners, and oversight analysts
- Increased coverage for test environment: Funding and permanent position authority for 3 FTE (1-ISS7, 2-ISS6) to increase support of the test environment to 6pm-10pm plus 8am-8pm Saturday / Sunday
- Legacy Integrated Test Environment Manager: Funding and permanent position authority for 1 FTE (1-PEMD) to manage complex environments that crosses multiple domains
- Call Center Support: Funding and permanent position authority for 8 FTE (8-ISS4) to support the integrated call center

OIS Program Office - Funding for 13 permanent positions to transition from a project office to a program office, while also supporting an ongoing administrative function and backfilling modernization positions, limited duration positions and contractors:

- Program Management support is needed to backfill two positions that are on rotation: Program Management Office (PMO) Director (1-PEMF) and PMO Manager (1-PEMD)
- Senior Project Manager (1-PM3) and Project Coordinators (2-PM2) are needed to backfill staff who are on rotation or who are in Limited Duration positions that manage cost, scope, schedules, risks and issues, system change requests, deliverable management, testing, site support, reporting needs, governance, quality control, IE TEAMS site, IE SharePoint and help manage complex domains across several domains.
- Business System Analysts (3-ISS7) provide a critical function and are needed to fill a resource gap by helping gather technical requirements, deliver technical documentation, and implement technical reports

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- PMO Administration (4-PM1) and an Executive Assistant (1-ESS2) are needed to provide program management support that includes: administrative support, calendar management and complex communications across several domains.

20. What are the start-up and one-time costs?

N/A

21. What are the ongoing costs?

IT Professional Services: \$63.6M

Software: \$8M

Hosting: \$18M

Hardware: \$4M

ESS Costs: \$9M (28,000 hours)

22. What are the potential savings?

- N/A

23. What are the sources of funding and the funding split for each one?

TBD.

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
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Personal Services	\$2,955,072	\$	\$2,854,151	\$5,809,223	24	24.00
Services & Supplies	\$34,163,281	\$	\$29,703,943	\$63,867,224		
Capital Outlay						
Special Payments		\$		\$		
Other						
Total	\$ 37,118,353	\$	\$32,558,094	\$69,676,447	24	24.00

Fiscal impact by program

	ODHS	OIS	Program 3	Program 4	Total
General Fund	\$37,118,353	\$			\$37,811,353
Other Funds	\$0				\$
Federal Funds	\$32,558,094	\$			\$32,558,094
Total Funds	\$69,676,447	\$			\$69,676,447
Positions	24				24
FTE	24.00				24.00

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Division:	ODHS Aging & People with Disabilities
Program:	In-Home Care
Policy Package Title:	Maintenance & Operations of Provider Time Capture
Policy Package Number:	POP 207
Related Legislation:	N/A

Summary Statement:

The Oregon Department of Human Services (ODHS) and Oregon Health Authority (OHA) in-home care programs need a system that will increase program integrity and comply with the federal 21st Century CURES Act for Electronic Visit Verification (EVV) System and the U.S. Department of Labor Fair Labor Standards Act (FLSA). This would be done with the implementation of a time, attendance and payment system for the program’s Home Care Workers and Personal Support Workers (HCW/PSW). The drivers for this work include a need for:

1. Improved timeliness and accuracy of data
2. Improved compliance with federal, state, and bargaining requirements
3. Increased efficiency and internal controls
4. Decreased duplication of efforts across agencies
5. HCW/PSW to accurately and timely report services provided across programs
6. Decrease dependency on outdated legacy systems

This POP requests General Fund to implement ongoing maintenance and enhancements that build upon a base system implemented in the 2021-23 biennium that would result in an integrated solution that meets the 21st Century

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Cures Act criteria and helps protect vulnerable Oregonians. Not funding this POP would limit Oregon’s ability support the system.

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Policy package pricing:	\$1,814,048	\$0	\$1,000,000	\$2,814,048	0	0.00

PURPOSE

1. Why does ODHS propose this policy package and what issue is ODHS trying to fix or solve?

The Oregon Department of Human Services (ODHS) and Oregon Health Authority (OHA) programs utilize Home Care Workers (HCWs) and Personal Support Workers (PSWs) to provide in-home care for patients across Oregon and must keep certain records for each HCW or PSW. The requirements apply to HCWs and PSWs who provide personal and home care assistance to older adults and people with disabilities. The Fair Labor Standards Act (FLSA) requires the records include certain identifying information about the HCW or PSW and data on hours worked. The law requires this information be accurate and attested to by both service recipients and providers.

Currently, these records are being captured through manual processes. Paper timesheets are completed by HCWs and PSWs and data is entered manually into state systems by employees at state field offices. These processes are time-intensive, have many manual steps and do not meet federal guidelines for Electronic Visit Verification (EVV) tracking.

2. What would this policy package buy and how and when would it be implemented?

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This POP supports multiple ODHS and OHA programs by funding the implementation, operations, and maintenance of an integrated solution for tracking, reporting and payroll for in-home services provided by HCWs and PSWs to support individuals receiving services. Program areas include Aging and People with Disabilities (APD) in ODHS and the Health Systems Division (HSD) in OHA.

Funding would support system operations and maintenance, which would realize efficiencies by training to Provider Time Capture (PTC), maintaining a robust change management process, and providing a continuous review and revision of business process and policies.

This POP would fund operations and maintenance costs for the PTC system including staffing related to program and support areas (HSD, APD, & OIS) as well as software, platform, and hosting licensing costs for the 2021-2023 biennium.

3. How does this policy package further ODHS's mission and align with its strategic plan?

ODHS and OHA programs utilize HCWs and PSWs to provide in-home care for patients across Oregon. ODHS and OHA must keep certain records for each HCW/PSW. The requirements apply to HCW/PSW's who provide personal and home care assistance to older adults and people with disabilities. The FLSA requires that the records include certain identifying information about the HCW/PSW and data about the hours worked. The law requires this information to be accurate and attested to by both service recipients and providers. Currently, these records are being captured through manual processes. Paper timesheets are completed by HCW/PSW, and data is entered manually into State systems through employees at State field offices. These processes are time-intensive, have many manual steps, and do not meet Federal guidelines for EVV tracking.

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The full implementation of such a system would directly contribute to the ODHS Policy Outcome of “Improving our Human Services Systems” by addressing a long-standing gap in data collection and analysis and leading to a more efficient and effective state response to the reported problems with the Consumer Employed Provider program.

The PTC solution would also align with the framework and maturity assessment from Medicaid Information Technology Architecture (MITA), which will assist project decision makers in considering an appropriate path and metrics for success for this IT investment. The PTC project would focus on the maturity of the MITA process: Manage Invoice Payment. The capability maturity measure will move Oregon toward the “To Be” assessment level. The State is currently at Level 1 which is “The process is primarily manual”. PTC will strive to move the State to level 2 which specifies “The State uses a mix of manual and automated processes to accomplish tasks”.

By implementing a service across both APD and HSD, this solution will create a common time reporting process across State agencies. Implementing a single time capture and payment process among agencies will align these agencies for potential future enhancements.

4. Is this policy package being requested because of an Oregon Secretary of State or internal audit? If so, provide further information.

This is part of the response to the Oregon Secretary of State audit in 2019. This report was titled, “Consumer-Employer Provider Program Needs Immediate Action to Ensure In-Home Care Consumers Receive Required Care and Services” completed in February 2019 and numbered Report 2019-05.

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QUANTIFYING RESULTS

5. How will ODHS measure the success of this policy package?

ODHS has identified a series of goals and objectives we will perform initial baselines and final metrics collection and analysis to confirm our expected outcomes.

Goal #1: Comply with Federal requirements, including 21 st Century Cures Act.	1.1 Objective: Establish use of Electronic Visit Verification (EVV) compliant recording mechanism(s).
	1.2 Objective: Establish electronic approval of time entries by individuals.
	1.3 Objective: Capture the six required data elements for Electronic Visit Verification (EVV).
Goal #2: Improve program integrity.	2.1 Objective: Decrease number of time entry/reporting errors.
	2.2 Objective: Decrease number of over/under payments.
	2.3 Objective: Decrease number of incidents of potential fraud.
	2.4 Objective: Decrease number of errors in reporting travel time.
	2.5 Objective: Improve reports and tracking of issues with time capture processes available for staff to leverage as part of program integrity operations/processes.

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<p>Goal #3: Decrease workload on identified impacted groups.</p>	<p>3.1 Objective: Decrease workload for Voucher Clerks (Field Offices) and Provider Relations Unit (PRU) (Central Office) in voucher issuance and reprint processes.</p>
	<p>3.2 Objective: Decrease workload for Travel Time Clerks (Central Office) and PRU staff in processing travel time.</p>
	<p>3.3 Objective: Decrease workload for field staff in time entry and correction processes (time entry corrections and over/under adjustments).</p>
	<p>3.4 Objective: Decrease workload for staff in the payment correction processes (adjustments, exceptions, and corrections). (PRU and BOTS)</p>
	<p>3.5 Objective: Decrease workload for providers in submitting time worked.</p>
	<p>3.6 Objective: Decrease workload for individuals in approving time entries.</p>
	<p>*3.7 Objective: Decrease workload for staff in collecting, updating, and issuing payroll related documentation (W-2, W-4, DD, etc.).</p>
	<p>*3.8 Objective: Decrease workload for staff in garnishment and recoupment processes.</p>

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<p>Goal #4: Decrease processes within legacy systems functions and/or data.</p>	<p>4.1 Objective: Decrease number of functions performed by the existing state systems in the time entry, calculation, and payment processes.</p>
	<p>4.2 Objective: Decrease number of validations performed by the existing state systems in the time entry, calculation, and payment processes.</p>
	<p>4.3 Objective: Decrease number of business processes that require legacy systems.</p>
<p>Goal #5: Reduce costs associated with manual processes.</p>	<p>5.1 Objective: Decrease paper voucher storage costs and physical location needs.</p>
	<p>5.2 Objective: Decrease number of time entry claims that are paid solely out of the General Fund.</p>
	<p>5.3 Objective: Decrease printing and mailing costs for printed paper vouchers.</p>
	<p>5.4 Objective: Decrease Mainframe processing and storage costs.</p>
<p>Goal #6: Maximize user adoption through identified, organized, and prioritized change management, communications, and trainings.</p>	<p>6.1 Objective: Decrease stakeholder barriers to adoption.</p>
	<p>6.2 Objective: Increased accessibility for successful time entry and approval.</p>
	<p>6.3 Objective: Increase user satisfaction for all impacted groups.</p>

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Goal #7: Ensure system and processes are clear and understandable for identified impact groups (Individuals, Providers, and Staff)	7.1 Objective: Increase number of readily accessible training materials and online documentation.
	7.2 Objective: Decrease time for staff in describing/explaining the time entry and approval processes.

6. Is this policy package tied to a legislative Key Performance Measure (KPM) and/or an ODHS performance measure? If yes, identify the performance measure(s).

Yes, this aligns with the 2015-17 approved Key Performance Measure below:

- 11 – LTC Recipients Living Outside Nursing Facilities
- 13 – People with Disabilities Living at Home
- 14 – Supported Employment

7. What are the long-term desired outcomes?

By removing workload from field administrative support of the Consumer Employed Provider program it will allow APD and HSD to shift other work to this body of workers freeing up Case Managers to spend more time on case management and more critical issues for vulnerable Oregonians.

8. What would be the adverse effects of not funding this policy package?

Oregon Department of Human Services 2021-23 Policy Option Package

Options were considered for inclusion in current process or expansion of the Legacy systems to capture this information, but it is not considered sustainable, nor would it be supported by current staffing levels. Staffing for the project have been sourced from numerous sources including pulling in employees from the Field on limited duration double fill positions. Given the nature of staffing in the field this creates additional strain and does not account for the long-term operations and maintenance required.

Failure to support and successfully implement PTC will have two main areas of impact. The current Collective Bargaining Agreement (CBA) with SEIU that covers the HCWs and PSWs requires implementation by the end of calendar year 2020 for Phase 1 and the end of 2021 for Phase 2.

Additionally, Compliance with the standards required by the 21st Century CURES Act would allow the state to continue to receive federal funding match. Failure to comply will result in a reduction of this funding, along with potential penalties. The percentage of an individual reduction on FMAP for Consumer-based Care and In-Home Care expenditures begins with 0.25 percent on January 1, 2021. Subsequent six-month percentage reductions increase to 0.50 percent by 2022, 0.75 percent by 2023 and 1 percent after 2023.

EVV Penalty pricing In Home Supports

	In Home Projected Expenditures at 21-23 CSL (TF)	% FMAP Reduction Per schedule	Federal Fund Penalty Reduction Estimate (GF Cost)	
1/1/21-6/30/21	\$ 275,898,626	0.50%	\$1,379,493	19-21

Oregon Department of Human Services 2021-23 Policy Option Package

7/1/21-12/31/21	\$294,195,880	0.50%	\$1,470,979	21-23
1/1/22-6/30/22	\$295,127,270	0.75%	\$2,213,455	21-23
7/1/22-12/31/22	\$297,532,442	0.75%	\$2,231,493	21-23
1/1/23-6/30/23	\$298,207,326	1.00%	\$2,982,073	21-23
21-23 General Fund Cost			\$8,898,000	21-23

HOW ACHIEVED

9. What actions have occurred to resolve the issue prior to requesting a policy package?

Options were considered for inclusion in current process or expansion of the Legacy systems to capture this information, but it is not considered sustainable, nor would it be supported by current staffing levels. Staffing for the project have been sourced from numerous sources including pulling in employees from the Field on limited duration double fill positions. Given the nature of staffing in the field this creates additional strain and does not account for the long-term operations and maintenance required.

10. What alternatives were considered and what were the reasons for rejecting them?

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All the PTC alternative approaches were evaluated to determine if they have the ability to solve the business problem defined by the product requirements. The updated business case completed in July of 2019 analyzed 10 options which included a variety of in-house options, custom build, use of existing contracts or Statewide agreements, no action, or a new procurement. Ultimately, a recommendation of a Software as a Service procurement was adopted by Agency leadership based on the reasons identified below.

1. Implement a Software as a Service (SaaS) solution.

- This option has the benefit of requiring the burden of the development and design activities and long-term operations and maintenance of code on the vendor compared to an in-house or other commercial solution. Additionally, selecting a vendor who has performed this work in other states increases Oregon's chances of capitalizing on lessons learned and efficiencies of scale based on the work already put into the system.

The recommended approach for the PTC Project is to utilize a SaaS solution for the following reasons:

- Ability for advanced configuration, integration with other applications, and possible customization
- Aligns with the direction the software industry is going
- Possibility to expand to other solutions in the future for FMAS, Case Management, Provider Management, etc.
- Fewer technical resources would be required from the State and there would be no dependency on the State Data center
- Possibility of faster implementation
- Workload reduction in the State field offices and Type A and Type B AAA offices
- Moves the Agency away from having sole responsibility for supporting an increasing number of systems
- Ability to access data for reporting

Oregon Department of Human Services 2021-23 Policy Option Package

- Several vendors are now offering EVV solutions that are incorporated into their system

11. Does this policy package require any changes to existing statute(s) or require a new statute? If yes, identify the statute and the legislative concept.

It does not require statutory changes.

12. What other state, tribal, and/or local government agencies would be affected by this policy package? How would they be affected?

Other agencies affected by this POP include APD and HSD's Program Partners and those with a business need for payroll or service time worked data, such as:

- Area Agencies on Aging (AAAs)
- County Mental Health Programs
- The Oregon Health Authority / Health Systems Division

These agencies would experience a change in how they receive data and reports from APD/HSD. Access to data would be based on business need and enforced using a role-based security protocol.

13. What other agencies, programs or stakeholders are collaborating on this policy package?

Oregon Home Care Commission, OHA – Office of Information Services, & Health Systems Division.

14. How does this policy package help, or potentially hinder, populations impacted by inequities or disproportionalities from achieving health, well-being, and independence?

Oregon Department of Human Services 2021-23 Policy Option Package

Depending on the selected vendor the need for providers or individuals to access the solution via the internet or a personal data enabled device could present barriers to some populations. Additionally, depending on the language capacities of the vendor and solution this could pose inequities for individuals and providers whose first language is not English. The Agency is working to ensure the system, training, and support are available in multiple languages to try and mitigate these concerns.

STAFFING AND FISCAL IMPACT

Implementation date(s): Phase 1 12/31/20, Phase 2 12/31/21, Phase 3 TBD

End date (if applicable): N/A

15. What assumptions affect the pricing of this policy package?

These are based on staffing and vendor onboarding assumptions and compliance with the planned phase deadlines.

16. Will there be new responsibilities for ODHS? Specify which programs and describe their new responsibilities.

ODHS will add the PTC Operations and Maintenance team to their existing support organization., including long-term enhancement and troubleshooting support. Additionally, APD will be responsible for the creation and delivery of training for the long-term solution.

17. Will there be new responsibilities for or an impact on Shared Services? If so, describe the impacts and indicate whether additional funding is necessary.

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There is expected to be some maintenance, support, and coordination between developers to troubleshoot and make changes to the various interfaces and systems to support long term success. Additionally, to coordinate and manage contract administration across IT initiatives and services we are requesting a position for contract administration to be housed with OIS. We have coordinated with the Office of Information Services (OIS) to request 3.00 FTE of resources for this support.

18. Will there be changes to client caseloads or services provided to population groups? Specify how many in each relevant program.

No changes anticipated.

19. Describe the staff and positions needed to implement this policy package, including whether existing positions would be modified and/or new staff would be needed.

In order to support the long-term operations and maintenance of the system, coordination with the vendor, and training of all impacted stakeholders and staff over the life of the contract with the vendor.

* Class Type	Class Title	* DCR
OAH C0872 AP	Operations & Policy Analyst 3	060-08-03-00000
OAH C0871 AP	Operations & Policy Analyst 2	060-08-03-00000
OAH C0870 AP	Operations & Policy Analyst 1	060-08-03-00000
OAH C0870 AP	Operations & Policy Analyst 1	060-08-03-00000
OAH C1339 AP	Training & Development Spec 2	060-08-03-00000
OAH C1338 AP	Training & Development Spec 1	060-08-03-00000
OAH C0107 AP	Administrative Specialist 1	060-08-03-00000

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20. What are the start-up and one-time costs?

The initial project implementation estimates for phase 1 and 2 is approximately \$2,000,000 for IT Professional Services.

21. What are the ongoing costs?

On-going costs outside of staffing are licensing and support costs for the system, which is currently estimated to be \$840,000 annually.

22. What are the potential savings?

The use of a mobile app to track time and, potentially, location using location services, would reduce potential fraud in time reporting. While the current amount of fraud in time reporting is difficult to quantify, data provided by the Office of Payment Accuracy and Recovery (OPAR) report a total amount of HCW debt related to potential fraud or client error was \$1 million of which \$676,000 has yet to be recovered over a five-year period. By using a technology-based product the state could track specific time worked and the geolocation of services provided.

Compliance with the standards required by the 21st Century CURES Act would allow the state to continue to receive federal funding match. Failure to comply will result in a reduction of this funding, along with potential penalties.

23. What are the sources of funding and the funding split for each one?

Oregon Department of Human Services 2021-23 Policy Option Package

ODHS

The Federal Funds are Medicaid with CMS providing 90/10 split for the project phase of this work and ODHS is seeking 50/50 match during Operations and Maintenance. The remainder is paid via General Funds.

OHA

Other Funds via direct charge to ODHS.

Total for this policy package

	General Fund	Other Funds	Federal Funds	Total Funds	Pos.	FTE
Personal Services	\$0	\$0	\$0	\$0		
Services & Supplies	\$1,814,048	\$0	\$1,000,000	\$2,814,048		
Capital Outlay	\$0	\$0	\$0	\$0		
Special Payments						
Other						
Total	\$1,814,048	\$0	\$1,000,000	\$2,814,048		

Fiscal impact by program

	APD	OHA Shared	OHA SAEC	Program 4	Total
General Fund	\$1,814,048	\$0	\$0		\$1,814,048
Other Funds	\$0	\$0	\$0		\$0
Federal Funds	\$1,000,000	\$0	\$0		\$1,000,000
Total Funds	\$2,814,048	\$0	\$0		\$2,814,048
Positions	0	0			0
FTE	0.00	0.00			0.00

Oregon Department of Human Services AFFIRMATIVE ACTION REPORT

This report summarizes the progress the Oregon Department of Human Services (ODHS) has made in accomplishing its affirmative action goals for the 2019 - 2021 biennium and identifies some of the strategies for 2021 - 2023.

July 1, 2019, to June 30, 2021

Accomplishments and progress toward Affirmative Action Goals

ODHS recognizes and appreciates the importance of creating an environment in which all employees feel valued, included, and empowered to do their best work and bring new ideas for improvement. We recognize that each employee's unique experiences, perspectives, and viewpoints add value to the ability to create and deliver the best possible services to our clients. Outreach, recruitment and retention efforts have resulted in incremental gains in people of color and women, and efforts continue to improve the number of veterans and people with disabilities within the workforce. Five-year trend charts include statistics for the workforce for the quarter ending June 30, for 2016 through 2020. The State of Oregon transitioned in early 2019 to a new recruitment and workforce accounting system, Workday.

Accomplishments

The agency will continue to build upon our successes to achieve a more culturally competent work force, create culturally appropriate and effective programs and service delivery systems, develop quality improvement strategies with a focus on diversity and creating welcoming environments for our diverse client base and staff. ODHS programs like RISE help build a culture where safety and well-being, supportive relationships, high expectations and accountability, equitable treatment, meaningful participation and community engagement are key. Active Employee Resource Groups (ERGs) include eight official groups including:

WAHONE (We are Here Oregon Native Employees)

BEST (Black Employee Support Team)

P.R.I.D.E (People Respecting Individual Differences Everywhere)

VERG (Veteran's ERG)

APINET (Asian/Pacific Islander Employee Network)

AbleNet (acts as a forum to provide information, resources, and other assistance to employees with disabilities);

HispNet (Hispanic Network)

AAMC (African American Management Council)

ODHS has been increasing their outreach efforts and has successfully built partnerships with over 200 diverse and non-profit organizations, Veteran organizations, organizations to assist people with disabilities with their job search, university alumni associations, and job boards and social media sites.

It is the goal of ODHS for each District to have an active Diversity Council. District 5's mission is: "to expand an understanding and acceptance of equity and inclusion in every facet of our lives. We will seek to enhance awareness of our differences and similarities through exposure and education thereby, identifying our commonalities and developing a sense of community." The activities on their calendar on the website include virtual training and events such as Queer Representation in the Media Panel, a showing of the film, "I am not Your Negro" and a showing of the film, "Love, Simon."

ODHS takes responsibility for systemic change to advance Service Equity. One way by which this goal is achieved is through engaging communities. Strengthening relationships with community partners and advocates allows us to see and access our diverse populations through their lens. True partnership with our local communities means listening to the client voice with humility and respect while integrating it into agency decisions.

Progress Made or Lost

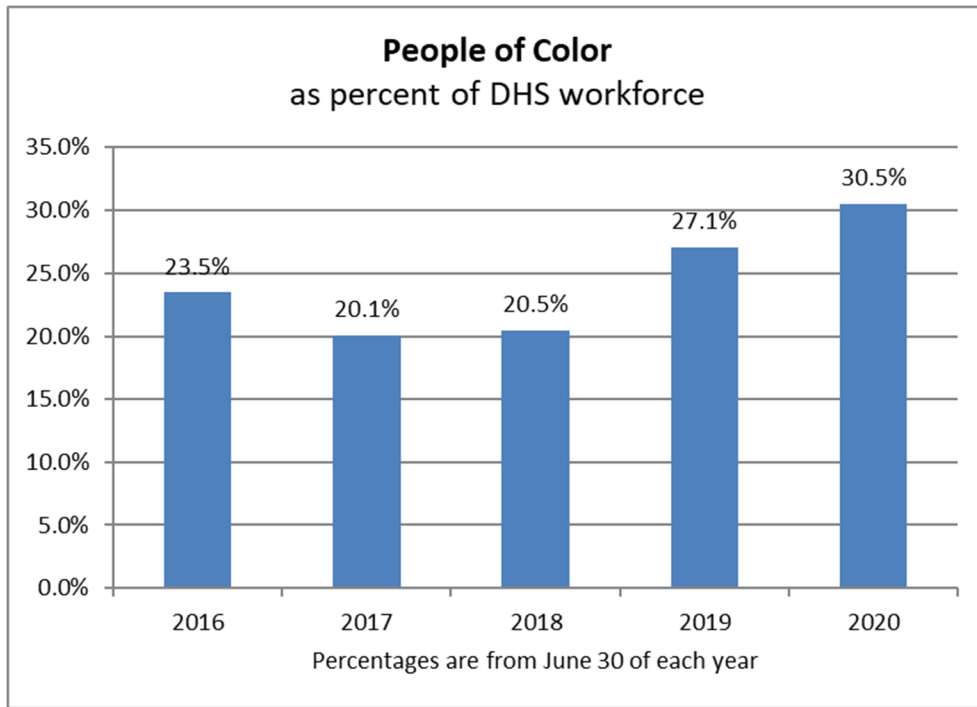
The following charts reflect the ODHS actual FTE as of June 30, 2016, 2017, 2018, 2019 and 2020 as a comparison. These numbers show the percentage of People of Color, People with Disabilities, Veterans, and

Women within the ODHS workforce. No parity information has been used. The new system, Workday, uses different job categories than the previous system, so the State of Oregon is working on updating the parity figures used in the past, in order for all agencies to compare their workforce and protected class composition to that in the relevant available labor force.

People of Color

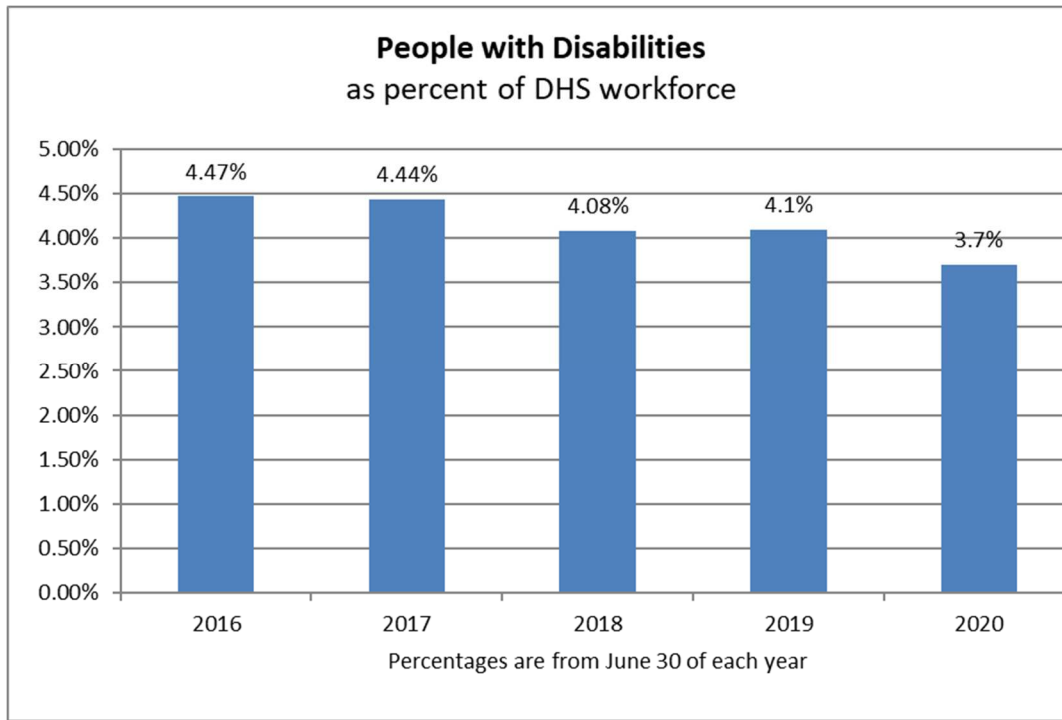
Between June 2016 and June 2020, the ODHS workforce representation of people of color was between 23.5 and 30.5 percent. ODHS continues to conduct targeted recruiting efforts, as well as outreach and training on diversity topics. The agency works with and builds relationships with many other diverse organizations. The agency's goal is to continue to move toward diversifying our workforce to be a representation of the population we serve.

ODHS is continuing to focus on increasing and retaining the representation of people of color in all salary ranges, but especially in salary range 24 and above. New employees sometimes do not disclose their race and those totals are not included in the table below. (In 2019, 2.01 percent did not report, or left the information blank; in 2020, 2.24 percent did not report or left the information blank). A plan is being developed to work with managers to ask new employees for this information so a more accurate reflection of people of color is achieved.



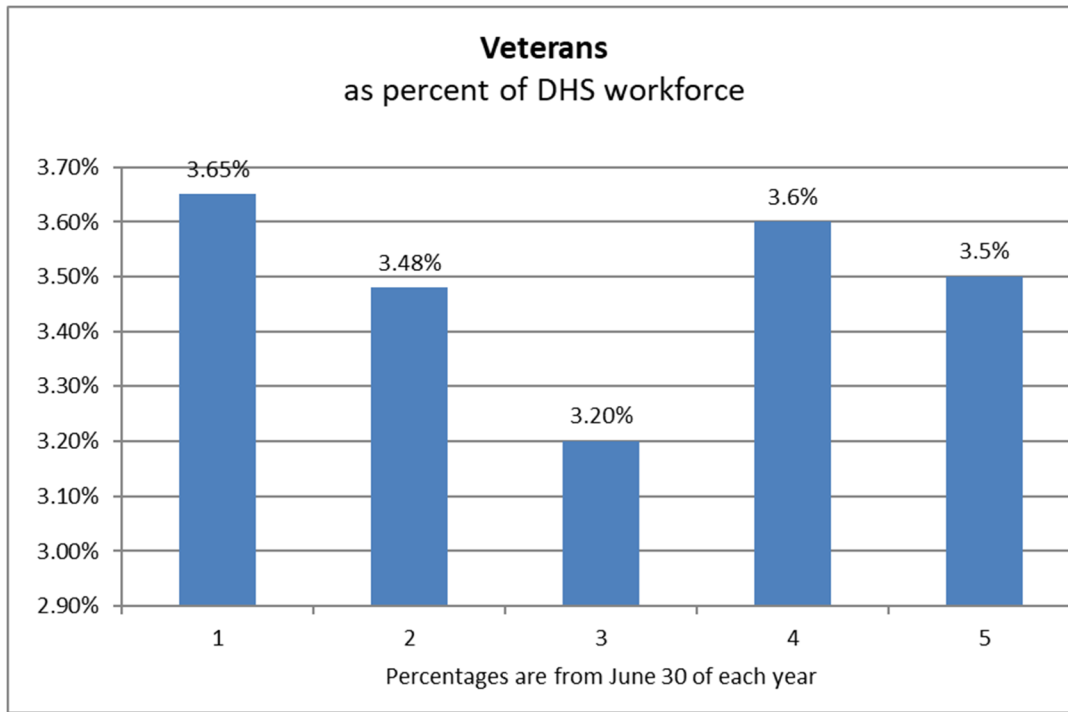
People with Disabilities

Disclosure of disabilities is voluntary for employees, so the data is historically underreported. The reported percentage is 3.7% as of June 30, 2020, and the agency will continue to strengthen its outreach efforts and asking employees to disclose disability to more accurately report this population at ODHS.



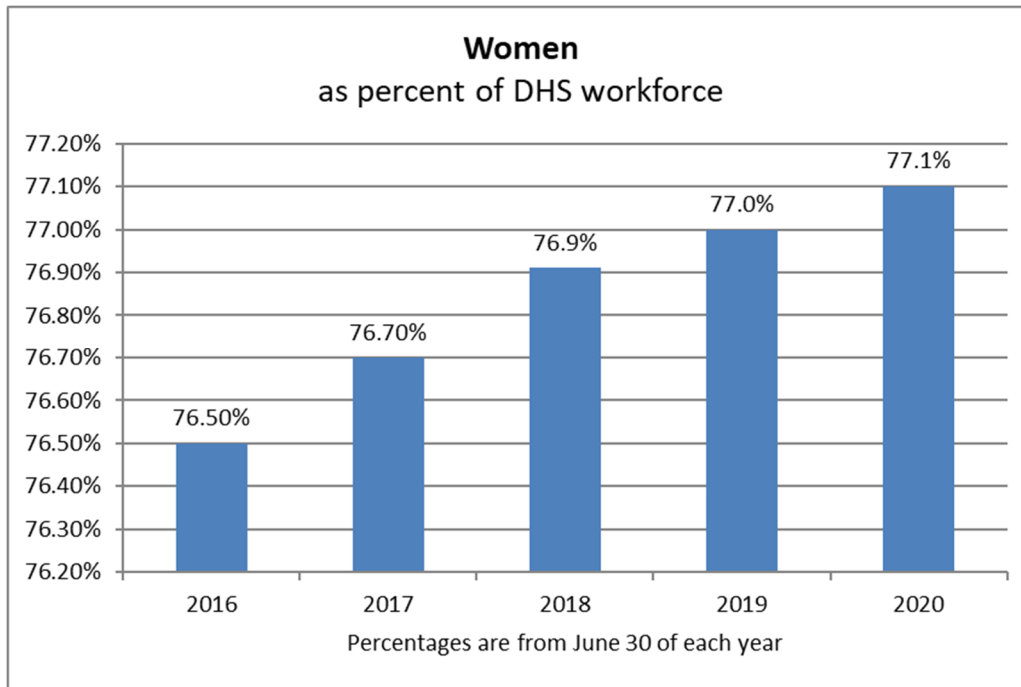
Veterans

With the implementation of Workday in mid-2019, more accurate numbers may be reported for Veteran’s data. Some veterans do not wish to use Veteran’s preference during the recruitment process and if they do not update their personal information in Workday when they are hired, their veteran’s status is not correct.



Women

ODHS has historically had representation of women in most job categories well above 50 percent, for June 30, 2020 it is 77.1 percent.



July 1, 2021, to June 30, 2023

Strategies for the ODHS Affirmative Action Plan

The ODHS vision “safety, health and independence for all Oregonians” is why we continue to pursue goals that help us increase our representation of people of color, people with disabilities, veterans, and women within the ODHS workforce.

With constantly changing economic conditions, ODHS must develop new and creative ways to attract, retain and develop talent, and create a more inclusive environment. New goals and strategies are being developed for the

2021 – 2023 Affirmative Action Plan. Below are just some of the strategies that will be used to continue the efforts and successes made in the past.

- Focus on retaining employees and creating an environment that is inclusive, accepting, and respectful of differences, including ethnic, cultural, generational and life experience. The RISE program using the six elements, and work and activities with ERGs will be instrumental in changing the culture.
- Work with managers to ensure all employees report racial designation and veteran status. Employees will also be encouraged to self-disclose disability in order to more accurately reflect this population at ODHS.
- Strengthen on-boarding procedures at ODHS and include diversity, equity and inclusion information, RISE program information and resources and ERGs that are available to employees.
- Continue training managers on strong recruiting and interviewing practices to ensure equity and inclusion in hiring.
- Continue to introduce ODHS divisions and the important work they do to diverse organizations and provide their membership with information about employment opportunities and job search assistance, including application material review, informational and mock interviews, and information about the state’s online application process in Workday.

Overall, the emphasis for the Oregon Department of Human Services is to achieve a more culturally competent workforce and welcoming environment to increase our retention of employees of color, veterans, people with disabilities and women. Achieving these things helps us achieve our mission “to help Oregonians in their own communities achieve well-being and independence through opportunities that protect, empower, respect choice and preserve dignity.



State of Oregon
Oregon Department of Human Services

Affirmative Action Plan
2021–2023

Fariborz Pakseresht, Director
500 Summer Street
Salem, OR 97301
503-945-7001



Oregon

Kate Brown, Governor

Department of Human Services

Office of the Director
500 Summer St. NE, E-15
Salem, OR 97301
Voice: 503-945-5600
Fax: 503-581-6198
TTY: 503-945-5896

November 20, 2020

Steve Lee
Affirmative Action Manager
Diversity, Equity, and Inclusion
Office of the Governor
900 Court Street NE, STE 254
Salem, OR 97301

Dear Steve,

The Oregon Department of Human Services (ODHS) is committed to having a workforce that reflects the diversity of Oregonians we serve, our providers and stakeholders. Just as important as having a diverse workforce is making sure we have a workplace that is welcoming, inclusive and respectful that honors the agencies' core values of respect and professionalism. We encourage collaboration, creativity, and flexibility to enable employees to contribute to their full potential. We are committed to our employees providing the best and most equitable services possible to all Oregonians.

Our 2021-2023 Affirmative Action Plan highlights our accomplishments in diversity, equity and inclusion, and our goals for continuing the work of attracting, hiring and retaining a diverse, qualified workforce.

The ODHS accomplishments include a strong network of Employee Resource Groups that provide support and assistance to employees of all diverse backgrounds. Each district/program has active diversity committees that help attract new employees and help managers make sure the workplace is welcoming and inclusive. Initiatives such as R.I.S.E. and on-going agency-wide training are assisting with making the culture at ODHS safe, inclusive and welcoming.

In the 2021-2023 biennium, ODHS will continue to pursue goals that cultivate a welcoming, respectful and inclusive culture, prioritize employee retention, and continue a strong and creative recruitment outreach process. The goals and strategies are outlined in more detail in section V.

In addition to our commitment to having a diverse workforce and a welcoming environment, we continue to support and assist the work of the Governor's Diversity, Equity and Inclusion Office to promote diversity, equity, and inclusion statewide.

If you have any questions about the plan or want more information, please contact me at 503-945-7001, or our contact the Office of Equity and Multicultural Services at 503-507-3218.

Sincerely,

Fariborz Pakseresht
Director

"Assisting People to Become Independent, Healthy and Safe"

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I. Agency Description

The Oregon Department of Human Services (ODHS) is Oregon's principal agency for helping Oregonians achieve well-being and independence through opportunities that protect, empower, respect choice and preserve dignity, especially for those who are least able to help themselves.

ODHS provides direct services to more than one million Oregonians each year. These services provide a key safety net for those in our society who are most vulnerable or at a difficult place in their life.

Our mission

To help Oregonians in their own communities achieve well-being and independence through opportunities that protect, empower, respect choice and preserve dignity.

Our vision

Safety, health and independence for all Oregonians.

What we value

ODHS aspires to have a workforce that aligns its actions with these core values:

- Integrity
- Innovation
- Respect
- Service equity
- Responsibility
- Stewardship
- Professionalism

Our objective

- People are safe and living as independently as possible.
- People can support themselves and their families through stable living wage employment.
- Children and youth are safe, well and connected to their families, communities and cultural identities.
- Choices made by seniors and people with disabilities about their own lives are honored.

- Partners, clients and stakeholders are actively engaged in a variety of collaborative and meaningful ways.
- Culturally specific and responsive services are provided by highly qualified and diverse staff.
- The department is committed to equal access, service excellence and equity for all Oregonians.

Agency Director

Fariborz Pakseresht, Director
Liesl Wendt, Deputy Director
500 Summer Street, NE
Salem, OR 97301
503-945-7001

Governor's Policy Advisor

Rosa Klein
State Capitol
Salem, OR 97301
503-378-8472

ODHS Office of Human Resources

Audray Minniweather Crutch, Director
500 Summer Street, NE
Salem, OR 97301
TBD

ODHS Office of Equity and Multicultural Services

Dion Jordan, Director
500 Summer Street, NE
Salem, OR 97301
503-400-4780

Diversity and Inclusion Manager

Jason Mak
503-945-6646

Service Equity Transformation Managers

LeMont Boyd and Melissa Sampson Grier
503-945-5692

Affirmative Action/Diversity Outreach Coordinator

OEMS (designee)
503-507-3218

ODHS Office of Contracting and Procurement

Brenda Pearson
500 Summer Street, NE
Salem, OR 97301
503-385-3627
Organizational chart

OREGON DEPARTMENT OF HUMAN SERVICES

GOVERNOR'S ADVOCACY OFFICE

FARIBORZ PAKSESHT
Director

LIESL WENDT
Deputy Director

Aging and People with Disabilities (APD)
Mike McCormick, Interim Director

Central Office

Field Offices

Child Welfare (CW)
Rebecca Jones Gaston, Director

Central Office

Field Offices

Office of Developmental Disabilities Services (ODDS)
Lilla Teninity, Director

Central Office

CDDPs/
Brokerages

Stabilization and Crisis Unit

Self-Sufficiency Programs (SSP)
Dan Haun, Director

Central Office

Field Offices

Vocational Rehabilitation (VR)
Keith Ozols, Director

Central Office

Field Offices

DHS DIRECTOR'S OFFICE

Reporting, Research, Analytics & Implementation

Office of Information Services

Organizational Development

Equity & Multicultural Services

Human Resources

Integrated Eligibility Project

Chief of Staff

External Relations

Tribal Affairs

Eligibility Transformation Project

CHIEF FINANCIAL OFFICER

Chief Financial Officer
Eric Moore

DHS Budget

Budget Center

Financial Services

Forecasting & Analysis

CHIEF ADMINISTRATIVE OFFICER

Chief Administrative Officer
Dan Erickson

Business Information Services

DHS Information Support Services

Program Integrity

Public Records & Legal Affairs

Background Check Unit

Contracts & Procurement

Facilities

Imaging & Records Mgmt. Services

Internal Audit & Consulting

Payment Accuracy & Recovery

Publications & Creative Services

Training, Investigation & Safety

★ Oregon Health Authority (OHA) Shared Service: OHA program also providing services to DHS.
★ Department of Human Services (DHS): DHS program also providing services to OHA.
★ Department of Human Services (DHS): Office with one or more units that are Shared Services.

II. Affirmative Action Plan

Equal employment opportunity/affirmative action statement

At the Oregon Department of Human Services, we are committed to providing equal opportunity in employment regardless of race, religion, color, national origin, marital status, sex, sexual orientation, gender identity, age, veteran's status or mental or physical disability. We are also committed to ensuring that any employee who requires reasonable accommodations to do his or her job will receive accommodation.

We will use our Affirmative Action Plan as the blueprint to help us meet these goals. To see the plan, go to:

<https://inside.dhsoha.state.or.us/images/stories/OEMS/Docs/AAPlan2015-2017Final.pfd> or request it from the Office of Human Resources.

We believe that every one of us is responsible for creating and contributing to an inclusive and professional work environment that is safe for everyone. To help ensure the success of our action plan, the ODHS Director and executives will make necessary decisions, allocate resources, monitor the accomplishments of this plan on an ongoing basis, and adjust the plan as necessary.

In addition, management staff has a special responsibility to ensure the work environment is free from any form of discrimination, harassment or retaliation for filing a complaint related to workplace concerns. All management staff should be active in support of recruitment and career development programs that ensure equitable representation of minorities, women, veterans and people with disabilities in all job classifications. Management will be responsible for ensuring meaningful progress toward achieving affirmative action goals, such as diversity development as a component of staff and management performance evaluations.

We are proud of the work we have done, and much work remains. Any manager or employee who has questions about our Affirmative Action Plan can contact the office at 503-945-6000. Also, anyone who believes he or she has been discriminated against based on an individual's protected class status may file a complaint in accordance with the Department of Administrative Services (DAS) statewide Discrimination and Harassment Free Workplace policy 50.010.01 by contacting:

Oregon Department of Human Services
500 Summer Street NE
Salem, OR 97301
503-945-6000
DHS.HumanResources@dhsosha.state.or.us

Oregon Bureau of Labor and Industries
800 NE Oregon St. Suite 1045
Portland, OR 97232
971-673-0761

Diversity, equity and inclusion statement

The Oregon Department of Human Services (ODHS) acknowledges our responsibility to serve all Oregonians by interrupting systemic inequities and upholding human rights. We strive for an environment where one's race/ethnicity, class, gender, sexual orientation, ability, veteran's status, and other identities do not predict life outcomes within our programs. With great humility, we accept responsibility for our mistakes and actively work to correct them. We will include the voices of communities we serve and work to integrate diversity, equity, inclusion and accessibility into everything that we do.

Complaint process

Oregon state government and ODHS take very seriously all complaints of conduct by any state employee that violate statute, rule, procedure, policy, ethical and professional standards. This can include a variety of different kinds of behaviors, including, but not limited to, whistleblowing, discrimination, harassment, or unethical, unfair or unprofessional conduct. Click on [Workplace Complaints](#) found in the internal ODHS website for more information, including frequently asked questions, and other federal complaint processes.

If you have a complaint of any type that you cannot resolve yourself in the workplace, you have several options for how to report it.

Any type of complaint can be submitted to the Office of Human Resources on the [MSC8904 Harassment, Discrimination and Workplace Issues complaint form](#). It can be mailed, hand delivered, or emailed to HR, contact details are on the form. Once received, the complaint will be referred to the appropriate HR staff and you will be contacted regarding additional information needed and the ongoing status.

You may also make complaints through any of the methods below:

- Contact your supervisor, or the manager over your supervisor;

- Contact the HR Analyst for your program area;
- Call the ODHS complaint hotline at 503 945-5608;
- Send an email describing your complaint to the [HR email box](mailto:DHS.HumanResources@dhsosha.state.or.us) (DHS.HumanResources@dhsosha.state.or.us);
- Send a written letter describing your complaint to HR at ODHS HR, 500 Summer Street, E22, Salem OR 97301; or
- Certain types of complaints may have additional avenues for remedy, for example to regulatory agencies. In general, it is best to begin at the lowest appropriate level

Employment

Recruitment and hiring procedure

The Oregon Department of Human Services (ODHS) believes that a well-qualified and diverse workforce is key to providing culturally effective and equitable service to all Oregonians we serve. As the policy statement below confirms, ODHS is committed to strategies that integrate strong recruiting practices into all employment selection processes.

The Recruitment and Hiring Policy and Procedure, approved by the ODHS Executive Team in 2015, is being reviewed and updated by the Office of Human Resources (OHR) Recruitment Team, OHR Senior Management Team, and Office of Equity Multicultural Services (OEMS). Once updated, it will be approved by the ODHS Executive Team and reposted on the ODHS website.

The policy statement, principles and goals of this document are still the guiding force for ODHS recruiting practices, outreach efforts, onboarding of new employees and retention of current employees and are shown below.

Policy statement

The Oregon Department of Human Services (ODHS) believes that a talented and diverse workforce is key to providing culturally effective and equitable service to all Oregonians. It is the policy of ODHS to require strategies that integrate concepts of workforce diversity, accountability, transparency, equal opportunity, efficiency, respect, collaboration, and non-discrimination into all employment selection processes. Preparation and planning prior to outreach and recruitment is the underlying principle of this policy. The goal is to recruit and retain a diverse and qualified workforce of top talent that will help Oregonians achieve safety, health and independence.

Principles

- ODHS competes for top talent.
- Recruitment is a long-term investment, not a short-term process.
- Preparation, planning and communication are essential to effective hiring and shortening time to hire.
- Collaboration between hiring managers and senior recruiters is essential.
- Integration of diversity, equity, inclusion and affirmative action into everything we do.
- Enhance/increase proactive recruiting practices.
- Treat candidates with respect.
- Transparency, accountability and relationships create applicant/candidate trust.

Goals of this procedure

- Increase our capability to hire top talent.
- Hire talent from a variety of backgrounds.
- Hire talent that reflects the population of the communities we serve.
- Improve culturally specific and responsive services through a diverse workforce.
- Ensure utilization of people of diverse backgrounds in the workforce (e.g., people of color, veterans, LBGTQ and people who identify as disabled).
- Ensuring recruiting processes free of bias.
- Ensure a positive/respectful candidate experience.

Effectiveness of recruitment methods

ODHS uses several tools to increase recruitment effectiveness and to help managers have equitable recruitment processes and interviews. Some of these tools include the Workday Recruitment Process Map, Vacancy Checklist, Strategic Recruitment Plan and applicant and interview evaluation forms that were updated in 2019 and posted on the internal ODHS internet.

ODHS sends appropriate job announcements to colleges and universities around Oregon to inform students and alumni about ODHS careers and increase the diversity of the candidate pool.

Reports are pulled from Workday regarding the diversity of the workforce, promotions and separations. These quarterly reports are used by HR, OEMS and the executive team to measure the effectiveness of all diversity, equity and inclusion work being done by the agency. We are also connecting with DAS on pulling reports from Workday applications on “how did you hear about this recruitment” as a way to consider the effectiveness of specific outreach efforts.

The Governor’s Diversity and Inclusion Office holds monthly meetings with agency affirmative action representatives which helps build relationships with other state agency recruiters, and affirmative action representatives. These relationships mutually benefit everyone from sharing expertise and best practices in areas such as, creative recruitment strategies, diverse community resources, affirmative action plan development, and diversity and inclusion practices and policies.

Succession Plan

ODHS currently does not have a formal succession plan. In 2021, the Office of Human Resources and Executive Team will assess the resources needed to develop and sustain a succession plan.

Training and Education

An ongoing ODHS goal is to incorporate cultural responsiveness, diversity, equity, inclusion, trauma aware, racial equality and accessibility considerations into our program and staff development training. All ODHS course offerings support the ODHS value of honoring and respecting the differences inherent in a multicultural workforce. Furthermore, to be effective, ODHS will conduct all courses using adult learning theory and learning style methodology.

Diversity presentations, trainings and/or activities

ODHS is proud of its numerous diversity and equity efforts. On an ongoing basis, the Office of Equity and Multicultural Services (OEMS) provides a variety of diversity and equity training topics. Going beyond celebrating different cultures and moving toward equity outcomes for all has been a focus of the agency in recent years. We are excited about the three new training sessions implemented in 2020; they are described below.

EquiTea Time Dialogues, was kicked off in July 2020. In response to National events surrounding systemic racism and disparate impact of Covid-19 on communities of color,

virtual discussions using Zoom technology were developed to bring people together and discuss equity topics and concerns. There are beginning- and intermediate-level sessions scheduled monthly.

Another new initiative launched in May 2020, the Trauma Aware Organization Initiative, ensures that the agency is fulfilling its mission by promoting healing and resiliency for our workforce and for the children, adults and communities that we serve. Our partners at Trauma Informed Oregon have developed four, self-directed modules that take participants through the basics of trauma informed care.

A new training for executives, called Diversity, Equity, Inclusion, and Accessibility Executive Learning and Development began in 2020. It is described in more detail in the Executive Order 17-11 section of this affirmative action plan. The focus for this training is to build knowledge, skills and confidence to lead diversity, equity and inclusion change in the agency.

The following is a partial list of department diversity or cultural responsiveness-related training opportunities that ODHS employees have access to and participated in during 2019-2020.

- P.A.U.S.E. (Participation, Advocate, Understand, Strength-Based, Engage) is required for all ODHS employees.
- Micro-aggressions in the Workplace
- Decolonizing Selfcare for BIPOC
- Language Access Services
- Cultural Competency & Cultural Humility at ODHS and OHA: Valuing, Embracing and Implementing (required for all ODHS employees)
- Conflict Navigation: Bridging Perspectives
- ODHS Core Values Training
- Ethics (required for ODHS managers)
- 2020 DAS Preventing Harassment and Discrimination (required)
- Cultivating a Diverse Workforce (required for ODHS managers)

In the programs section of the Plan, the ODHS Employee Resource Groups (ERG)s are highlighted. Each of these groups support historically underrepresented ODHS employees and/or underserved client populations. ERGs are voluntary, employee-driven committees that support each other as well as the Oregon Department of Human Services' overall mission and vision.

Volunteers

January 1, 2019 – December 31, 2019

During 2019 ODHS had 357 volunteers, 76 of which were interns. There were 282 females and 75 males. The ages of volunteers ranged from 17 to 80 years old. Of those who reported their ethnicity (it is voluntary information) there were 2 Asian; 1 Black; 2 Hispanic; and 5 White.

Volunteers contributed 61,047 hours, valued at \$1,611,030. (According to IndependentSector.org, volunteer time in Oregon was valued at \$26.39 per hour in 2019.)

January 1, 2020 – June 30, 2020

During the first six months of 2020, ODHS had 142 volunteers, 33 of which were interns. One hundred five (105) identified as female, thirty-seven (37) identified as male. Ages of the volunteers ranged from 20 to 80. 14,522 hours have been volunteered, valued at \$383,235 (\$26.39 per hour in 2020). Of those who reported their ethnicity (it is voluntary information) there are 1 Asian; 1 Black; 6 Hispanic; and 11 White.

The agency will continue to collect as much information as possible on the race/ethnicity of Volunteers because we feel it is important to have not only our paid staff, but also our volunteers to be able to identify with the people we serve.

Leadership development/training

Leadership Academy

Since 2003 the ODHS Leadership Academy has been preparing the leaders of the future as well as enhancing the skills of current leaders. Investing in workforce development through programs like the Leadership Academy is a priority for ODHS. The academy is a critical component of ODHS strategy to provide our agency with current leaders as well as leaders for the future. This program is designed for those at salary range 19 and above that have demonstrated true leadership potential within the agency and are deeply committed to their own professional development in service to others.

There were 33 employees who participated in and completed the 2019-2020 academy. Projects included:

- RiSE Self-assessment Tool. The goal of this project was to produce a self-assessment tool to provide employees with a baseline “measurement” of how much

their words, behaviors and ways of thinking demonstrate RiSE and where they have room to grow.

- **Training Accessibility.** Training is an integral part of ODHS. This project created guidelines and resources to be used by ODHS trainers in their efforts to comply with ADA and to model inclusivity.
- **CW and SSP Joint Case Planning.** This project developed a statewide protocol identifying best practice and how to work collaboratively in supporting service planning and service delivery to provide a family centered approach in case planning.
- **Aging and People with Disabilities: Case Management Staff Tools Redesign Project.** The focus of this project was to improve efficiency while the program determines next steps regarding the overall design efforts.
- **Map of ODHS Benefit Distribution.** The goal of this project was to create a geographical display, by county, showing ODHS monetizing benefits and how influential that funding is to local Oregon economies.
- **APD/AA/DD Hearing Request Referrals.** The objective of this project was to develop a comprehensive training package for ADP/AAA staff to enhance consistency and accuracy around the in-branch hearing request process.
- **Requisition & New Hire Field Protocol for the Workday Workforce Liaison.** This project developed a standardized business process with outlined protocols to be approved and implemented to all ODHS program.

Leadership Academy Participant Gender, Ethnicity and Disability
2019-2020 Cohort

Race/Ethnicity/Disability	Female	Male
American Indian or Alaska Native	0	1
Asian	2	1
Black or African American	0	1
Hispanic or Latino	2	2
Native Hawaiian or Other Pacific Islander	0	0
Two or More Races	1	1
White	18	3
People with Disabilities	4	2

Leadership Academy Participant Gender, Ethnicity and Disability
2020-2021 Cohort

Race/Ethnicity/Disability	Female*	Male**
American Indian or Alaska Native	0	0
Asian	1	0
Black or African American	2	0
Hispanic or Latino	8	1
Native Hawaiian or Other Pacific Islander	0	0
Two or More Races	2	0
White	12	6
People with Disabilities	4	0

*six did not disclose race/ethnicity

**one did not disclose race/ethnicity

Aspiring Leaders Program

The Aspiring Leaders Program (ALP) is for all employees (with a focus on those in positions lower than salary range 19 to encourage employees to develop their careers. Since the inception of the program in 2010 over 600 employees have participated in the training.

The Aspiring Leaders Program focuses on the ODHS Leadership Model and the idea of leading from any chair. ALP spends a lot of time on self-understanding, reflection, personal development, and practical skills and tools that can be used at any level or role. The concepts and tools presented in ALP include, but are not limited to, the following:

- Mindsets for Performance
- Decision Making
- Equity and Inclusion
- Communication and Dialogue
- Project Management/Teamwork
- Public Speaking
- Self-reflection
- Personal Strategic Planning
- Neurolinguistic Programming
- LIFO (a behavioral assessment)
- ODHS Leadership Model
- ORID (a decision-making tool)
-

Normally there are three cohorts per year, but in 2020, there will only be one online cohort. The tables below show the gender, ethnicity and disability of the 2019 and 2020 ALP Cohorts.

Aspiring Leadership Program
Participant Gender, Ethnicity and Disability
2019 Cohorts

Race/Ethnicity/Disability	Female	Male
American Indian or Alaska Native	0	0
Asian	1	0
Black or African American	0	2
Hispanic or Latino	6	3
Native Hawaiian or Other Pacific Islander	0	0
Two or More Races	4	2
White	40	23
People with Disabilities	7	2

Aspiring Leadership Program
Participant Gender, Ethnicity and Disability
2020 Cohort

Race/Ethnicity/Disability	Female	Male
American Indian or Alaska Native	0	1
Asian	0	2
Black or African American	0	2
Hispanic or Latino	4	3
Native Hawaiian or Other Pacific Islander	0	0
Two or More Races	1	0
White	12	5
People with Disabilities	2	1

Programs

RiSE

The RiSE vision is an organization where we all feel safe, valued, supported, strengthened and engaged in our personal growth and the agency’s growth. Our experience, actions and knowledge that are shared through RiSE will help ODHS to be better tomorrow than we are today.

The six elements of RiSE are rooted in human development, resiliency, equity and organizational change research.

- Safety and well-being
- Caring and supportive relationships
- High expectations and accountability
- Equitable treatment and belonging
- Meaningful participation
- Community engagement

These six elements will help ensure that ODHS has a workplace that is welcoming, inclusive and employees are engaged.

Internship Program

Each program hires interns as needed. The Child Welfare Program has had a long-standing partnership with Portland State University to train and coordinate internships for employees completing their master's degree in social work. According to the [Portland State University website](#), The Child Welfare Partnership, founded in 1993, was one of the first in the nation to combine social work research, training, and education into one integrated program. Over the years the Partnership has worked with Oregon's public child welfare system to promote the shared goals of practice evolution, workforce recruitment, retention, diversity, and practice skill and innovation. More than 200 agency employees have earned professional BSW or MSW degrees customized to practice in child welfare and returned to serve the agency as leaders and advanced practitioners.

Aging and People with Disabilities (APD) work with interns is somewhat informal at this time. The number of students varies each year depending on the school and how many students they have interested in interning with us. We have hosted students from Portland State Graduate School of Social Work (several different campuses, programs and degrees), George Fox University, Pacific University (new for 2020) and one from Walden University is in development starting later in 2020. We also are working on one with OHSU/PSU School of Public Health (Public Health education program) and other interns, non-school affiliated.

Vocational Rehabilitation (VR)

Vocational Rehabilitation has been hosting graduate interns since at least the 1960s and 1970s, but the contemporary, centrally coordinated VR internship program was established in 2003. Vocational Rehabilitation accepts internship applications for all levels of students, however, the greatest number of interns that can be found in VR are enrolled in Masters'

level programs for Clinical Rehabilitation Counseling, Rehabilitation and Mental Health Counseling or related fields. Over the past 30 years, VR has hosted interns from Western Oregon University, Portland State University, Utah State University, Idaho State University, Northern Illinois University, Gallaudet University, University of Kentucky, University of Alabama, University of Wisconsin-Stout and Western Washington University. Generally, each year there are 10-15 students completing their internship in VR offices around the state.

Diversity awareness

Equity and Inclusion Committees

In the past, ODHS had an agency-wide Diversity Council. However, ODHS found the agency's large size challenged continued organizational change. This biennium, ODHS has focused on forming equity and inclusion committees in each district; they currently exist in all 16 districts.

What is the objective of Equity & Inclusion Committees?

The objective of the Equity & Inclusion Committee is to educate and empower Oregon Department Human Services staff to learn about diversity, equity, and disparities in our communities via presentations and events in collaboration with community partners to be able to better serve, empathize with, and provide resources for Oregonians.

In District 5 (Lane County), their committee has identified four goals to work on during 2019-2020. These goals further their mission statement and drive the business practices of equity, inclusion and service. The goals are:

- Create a welcoming environment for department staff.
- Establish an inclusive workforce reflective of the communities we serve.
- Improve the cultural competency of District 5 staff.
- Create a welcoming environment for customers and the public and provide linguistically appropriate services.

Equity & Inclusion Committees Purpose Statement:

To better assist and advocate for Oregonians, Oregon Department of Human Services staff should feel acknowledged and empowered to educate and be educated on past and present disparities occurring in our communities.

Employee resource groups (ERGs)

In ODHS, an employee resource group (ERG) is defined by policy as "an officially chartered group that is organized around shared cultural identity(ies) to support historically underrepresented ODHS employees and/or underserved client populations. ERGs are voluntary, employee-driven committees that support each other as well as the Oregon Department of Human Services' overall mission and vision.

ODHS formed ERGs as a diversity and inclusion best practice to leverage the collective experiences, skills and backgrounds that our most valuable resource — our employees — bring to work every day. We want to create a more engaged and motivated workforce that contributes to the agency's success and meaningfully connects us to the populations we serve.

ERGs organize and sponsor numerous events, workshops, discussions, outreach to communities, host lectures and other activities throughout the year. Members serve on hiring panels and help HR Recruiters with outreach in diverse communities. The lead officer in each ERG serves on the agency's ERG Leadership Council as a subject-matter expert and advises the agency on a wide range of policy issues.

Currently ODHS has ten official ERGs:

1. **African American Management Council (AAMC)**

AAMC helps the Oregon Department of Human Services (ODHS) create a culture of inclusion, where African American management personnel feel respected, are treated fairly and have equal opportunity. (This ERG is for management employees only.)

2. **AbleNet**

AbleNet acts as a forum to provide information, resources, discussion, networking, consultation, advocacy and other assistance for clients and employees with disabilities. Contact AbleNet.ERG@dhsoha.state.or.us

3. **Asian/Pacific Islander Employee Network (APINET)**

The Oregon Department of Human Services' Asian and Pacific Islander Network is an employee resource group that promotes and affects the full and equitable participation of Asian and Pacific Islander employees by enhancing their career, professional and personal development. It is a resource for ensuring that all Oregonians receive equitable services with justice, integrity, dignity and respect. Contact APINet.ERG@dhsoha.state.or.us.

4. **Black Employee Support Team (B.E.S.T)**

B.E.S.T. is committed to adding value to ODHS by promoting an environment that attracts, hires, promotes and retains Black and African American employees and collaborates and advises on improving services to our communities. Contact BESTSupportSubCom@dhsoha.state.or.us.

5. **Hispanic Network (HispNet)**

HispNet is an employee resource group (ERG) that serves as an advisory committee to ODHS leadership, staff and community partners. HispNet promotes access to services and equity for all Hispanic Oregonians through active advocacy and support of the ODHS staff representing and serving them. Contact Hispanic.Network@dhsoha.state.or.us.

6. **P.R.I.D.E. (People Respecting Individual Differences Everywhere)**

P.R.I.D.E. advocates for affirming, appropriate and safe services for lesbian, gay, bisexual, transgender, queer or questioning individuals and communities. It supports ODHS employees against homophobia, heterosexism and cis-genderism in the workplace. Contact PrideERG.PointsAndLeadership@dhsoha.state.or.us.

7. **Slavic ERG**

Slavic ERG works to increase awareness about and achieve equitable service access to all Slavic Oregonians. The Slavic ERG works to enrich ODHS workforce by creating professional development opportunities for Slavic staff, supporting Slavic employees in their current roles by providing information, resources and other tools, and assisting in recruiting outreach to Slavic communities.

8. **Veteran's ERG (VERG)**

The mission is to advance the needs of ODHS employees and clients who are veterans, partners and family members of veterans, and advocate for providing appropriate and safe services and improved outcomes for clients and equitable, welcoming working conditions and opportunities for ODHS employees.

9. **WAHONE (We Are Here Oregon Native Employees)**

The WAHONE Employee Resource Group recruits and retains Native employees and improves human services delivery to Native clients, families and communities through tribal best practice, ongoing human and technical assistance, mentoring, community engagement, and educational opportunities.

10. Women’s Equity Leadership and Development (WELD)

The mission of WELD Employee Resource Group is to promote women's equity, leadership, and development through education, advocacy, and opportunity.

Community engagement

Community engagement meetings have been facilitated by OEMS since 2019 and into this year with the African American Community, COFA community (Premium Assistance Program), and Latinx community. More listening sessions and frameworks to support those and other communities are being planned.

Recruiters have a list of community organizations that they use to send out recruitment announcements. A small representation of these community organizations includes:

- African American Health Coalition
- Andesheh Center
- Arab American Cultural Center of Oregon
- Asian Pacific American Network of Oregon
- Basic Rights Oregon
- Black United Fund of Oregon
- Cascade AIDS Project
- Cultural Advocacy Coalition of Oregon
- Equity Foundation
- Hands on Greater Portland
- Incight: Resources for Self-Empowerment
- Japan-America Society of Oregon
- Jewish Federation of Greater Portland
- Korean Society of Oregon
- Micronesian Islander Community
- Native American Youth and Family Center
- Native Arts and Culture Foundation
- NW Gender Alliance
- Oregon Native American Business and Entrepreneurial Network
- Q Center
- Salem Multicultural Institute
- Urban League of Portland

Update: Executive Order 17-11

Executive Order 17-11 relates to affirmative action, equal employment opportunity, diversity, equity and inclusion. It was originally issued in 2005 by Governor Kulongoski, as Executive Order 05-01 and had subsequent Amendments 08-18, 16-09 and 17-11. The following information addresses the key points in Executive Order 17-11.

Diversity, Equity, Inclusion, and Accessibility Executive Learning and Development.

The focus for this training for the ODHS executive team is on building knowledge, attitude, confidence and skills to lead diversity, equity, inclusion and accessibility (DEIA) change in the agency. This program started in 2020 with assessment of executives conducted in April and May. The individual coaching plans developed were completed in June 2020. Individual coaching group learning sessions started in July 2020 and will continue through 2022.

Statewide Exit Interview Survey

It is important for the state to have consistent information about employees who voluntarily leave state service. With the introduction of Workday, exiting employees can complete the exit interview easily through Workday. The survey gathers exit information to show trends and possible areas of concern that can be addressed through changes in policy and practice. ODHS HR will pull this data quarterly to review it and share with managers and the executive team. HR will use the information to determine and strengthen strategies for retaining employees.

Performance evaluations of all management personnel

The Oregon Management Project (TOMP) was restarted by the Department of Administrative Services in 2019. One focus of TOMP is increased accountability of managers and includes quarterly check-ins in place of annual performance appraisals. Annual performance appraisals can still be completed for managers but are not part of the requirement and the use of them is up to the manager's discretion.

The agency director and HR manager will receive completion reports and address non-complete requirements. Because this program recently restarted, it is too soon to have reports on its effectiveness, but this program will continue to be used at ODHS and will be reported on in the next affirmative action plan. The [Performance Accountability and Feedback Checklist](#) is available on the DAS website.

Posting of agency affirmative action plan

The affirmative action coordinator will ensure that this affirmative action plan is posted on the ODHS internal site for all employees. Because the affirmative action plan contains the ODHS affirmative action policy statement, diversity and inclusion statement as well as accomplishments for the previous plan period and goals for the current plan, it is important to be accessible to the general public. The affirmative action coordinator will ensure the plan is also posted on the ODHS external site.

Attendance at Governor's Diversity and Inclusion (D&I) Office meetings

It is the responsibility of the affirmative action coordinator to attend the meetings held by the Governor's D&I office. The affirmative action coordinator works closely with the Governor's D&I office to promote diversity, equity and inclusion, not only at ODHS, but statewide.

These monthly statewide affirmative action meetings allow ODHS to build relationships with other state agency affirmative action representatives, human resource managers and recruiting managers. These relationships allow ODHS and other agencies to mutually benefit from sharing expertise and best practices in:

- Affirmative action plan development
- Recruitment outreach procedures
- Diversity, equity and inclusion practice

Contracts to minority business

ODHS/OHA Office of Contracts and Procurement produces annual reports for the Governor's director of Economic and Business Equity in accordance with state policy. The total value of ODHS contracts, agreements and grants for January through December 2019 was \$964,839,868 with 14 contracts for certified firms with a value of \$2,571,784.

For January 1 through June 30, 2020, the total number of contracts awarded is 22 with a total value of \$1,495,122. Of the 22 contracts awarded, 9 were to certified firms with a value of \$615,437.

ODHS-OHA has a new Agency Business Engagement Plan that supports the contracting, granting and unpaid business relationships. The contracting office actively seeks out, engages and includes a diverse array of business partnerships. They also regularly refer

businesses to small business development resources to increase their ability to compete for and succeed at fulfilling government contracts.

ODHS will continue to work with the Governor's Office of Diversity, Equity and Inclusion, and assist with updating Executive Order 18-03. As more of the Business Engagement Plan is rolled out, more information will be available during 2021.

III. Roles for implementation of the Affirmative Action Plan

Everyone at the Oregon Department of Human Services (ODHS) plays a role in implementing a diverse, equitable and inclusive workplace. We have included for every level of employee some of the duties and accountability for each.

ODHS Director

The Director of ODHS is accountable to the Governor, the ODHS Executive Team and the entire agency to make sure we do the best we can. Below are some of the responsibilities of the Director.

- Ensure program directors understand their role and responsibility to demonstrate and promote affirmative action activities, a diverse workforce, and a welcoming and respectful environment. Program directors are expected to communicate these same principles to their subordinate managers and supervisors.
- Demonstrate and promote to managers, employees, partners and stakeholders the importance of a diverse and discrimination- and harassment-free workplace by periodically sending diversity, equity and inclusion communications to the enterprise.
- Include staff or management from HR and OEMS at monthly Executive Team meetings to receive status updates on statistics, events planned, and anything else to be shared with the agency that will assist with diversity, equity and inclusion.
- Encourage subordinate managers and staff to participate in events a training supporting diversity, equity and inclusion education and celebration such as the Statewide Diversity, Equity and Inclusion Conference.

- Evaluate the performance of Program Directors in the effectiveness of their efforts to promote a welcoming and respectful workplace and help achieve the ODHS Affirmative Action Plan goals and objectives.
- Remind program directors to include evaluation of the effectiveness of promoting a welcoming and respectful workplace for subordinate managers' performance appraisals.
- Meet with ODHS Office Human Resources director at least quarterly to review workforce representation statistics and accomplishments in the affirmative action plan. Working with the affirmative action coordinator and HR director, adjust strategies as needed to achieve a positive outcome.
- Ensure the Affirmative Action Plan is effectively communicated to all employees.

Program directors, managers and supervisors

Program directors, managers and supervisors are accountable to the DHS Director. Because the directors attend the Executive Team meetings, they will be accountable for forwarding on the information they receive from the Director and others to their subordinate managers and supervisors. These managers and supervisors will in turn, share the information with their staff out in the field. Below are some of the responsibilities and duties for the program directors, managers and supervisors.

- ODHS program directors demonstrate and promote to subordinate managers and employees the importance of a diverse, respectful and discrimination- and harassment-free workplace.
- Meet monthly with Human Resources director and/or affirmative action coordinator to review workforce representation statistics, agency affirmative action strategies and assist in identifying and eliminating barriers that inhibit a welcoming work environment.
- Strive to have a diverse selection and interview panel for any recruitment process and encourage staff participation on diverse interview panels. Work with the ODHS Human Resources to use and uphold State of Oregon procedures and rules in filling vacancies.

- Consider participation in employee resource groups and equity and inclusion committees and encourage staff to do so.
- Ensure all subordinate managers receive an orientation on the department's affirmative action goals and responsibilities and understand their own responsibilities for helping attain the goals in the division/program areas.
- Evaluate subordinate managers and supervisors on how well they encourage a diverse workforce, demonstrate and encourage a welcoming and respectful workplace, and make the effort to assist the agency to achieve the goals and objectives as described in the affirmative action plan.
- Attend and encourage staff to participate in diversity-related activities and training to be informed of current issues.
- Inform employees of the availability of the ODHS Affirmative Action Plan maintained on the ODHS internal website.
- If aware of a department employee engaging in any type of harassment, follow the procedures outlined in DAS 50.010.01, Discrimination & Harassment Free Workplace and contact ODHS Human Resources.

Affirmative action representative

The affirmative action coordinator is accountable to the Executive Team for ODHS, employees and the Governor's Diversity and Inclusion Office for developing and implementing the ODHS affirmative action plan. Below are some of the responsibilities of the coordinator.

- Work with ODHS Director, HR Director, program directors, managers and supervisors and employees to ensure they understand their responsibility for promoting a respectful, diverse and inclusive workforce environment, and attaining the department's diversity, equity and inclusion goals.
- Partner with ODHS Office of Human Resources and the Office of Equity and Multicultural Services to ensure strong recruitment outreach to people of color, people with disabilities, veterans and women through diverse-specific websites, community organizations, community leaders and schools.

- Build relationships with diverse community organizations, attend meetings and assist members of the community organizations with their job search.
- Review and recommend changes in policies, procedures and programs to ensure affirmative action is enforced throughout ODHS.
- Work closely with OEMS to develop, implement and emphasize activities and programs that support the department's efforts to achieve a diverse and welcoming workforce.
- Analyze data from Workday, regarding number of applicants and number invited to interview who are people of color, people with disabilities, veterans and women. Research, develop and recommend strategies to increase the percentage of people invited for an interview.
- Analyze data from Workday regarding number exiting service who are people of color, people with disabilities, veterans and women. Research, develop and recommend strategies to increase the percentage of retention of these groups.
- Work with the Governor's D & I Office to promote diversity, equity and inclusion statewide.
- Develop the Affirmative Action Plan with input from the agency. Oversee the implementation of the goals and strategies, reporting regularly to HR Director.
- Publicize and ensure the ODHS Affirmative Action Plan is posted on the ODHS intranet for all employees and the ODHS external website for public viewing.
- Report out quarterly workforce representation data to the Human Resource director, director of OEMS and recruiters who will share with the ODHS Director and program directors. Additionally, the human resource analysts will provide this information to management during their regularly scheduled meetings.

Agency Employees

Employees are accountable to their manager and ultimately the Executive Team and agency director. They are responsible for conducting themselves according to the policies of ODHS and the State of Oregon. Below are some of the responsibilities of all employees.

- Understand their job to fulfill the mission and values of the agency.
- Recognize and respect the differences for other employees, the public and stakeholders. Exhibit an attitude of respect, courtesy, and cooperation towards all employees and the public we serve.
- Refrain from any actions that would adversely affect the performance of a co-worker with respect to their race, sex, color, creed, religion, age, national origin, sexual orientation, disability, marital status, status with regard to public assistance, familial status, gender identity, gender expression, political party affiliation, veterans status.
- Participate in agency-sponsored diversity, equity and inclusion events, Employee Resource Groups, Equity and Inclusion Committees, Advisory Councils and encourage other employees to participate also.
- Report any conduct in violation of the Department’s policies against discrimination and harassment.
- Self-report. The only way for ODHS to accurately report the diversity of the whole agency is for all employees to self-report their gender, ethnicity, disability and veteran’s status.

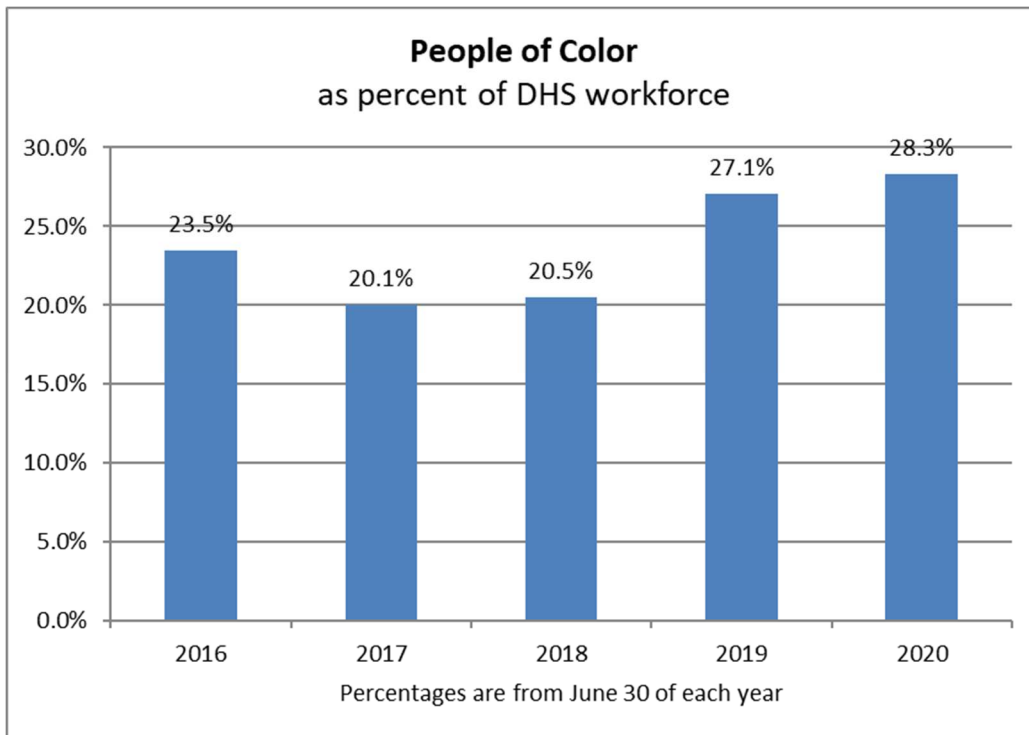
IV. July 1, 2019 – June 30, 2021

Progress toward affirmative action goals

The five-year trend charts below track the change in percentages of People of Color, People with Disabilities, Veterans and Women in the ODHS workforce from June 30, 2016 to June 30, 2020. The trend for each chart will be discussed as well as the actions that will be taken to develop stronger representation. The statistics used in the trend reports are from the Workday, DEI Dashboard for 2019 and 2020. Data for 2016, 2017 and 2018 is from the DAS Position and Personnel Data Base (PPDB).

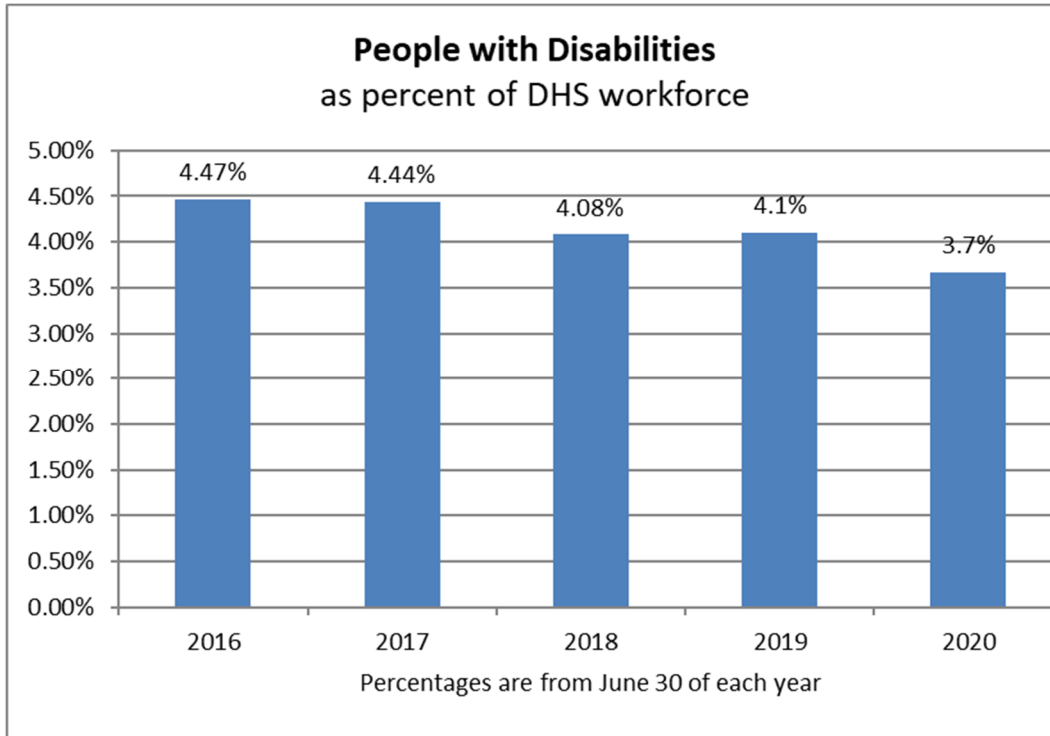
People of Color

ODHS has continued the work to improve workplace diversity. Over the past few years, increased outreach, creative recruitment strategies and training have resulted in gains in the percentage of people of color in the department's workforce (28.31% as of June 30, 2020). The agency will continue to provide outreach to communities to attract a diverse workforce. More work needs to be initiated to ensure we retain these employees. Detailed information regarding the number and percentage by racial category are in the Demographic Analysis section.



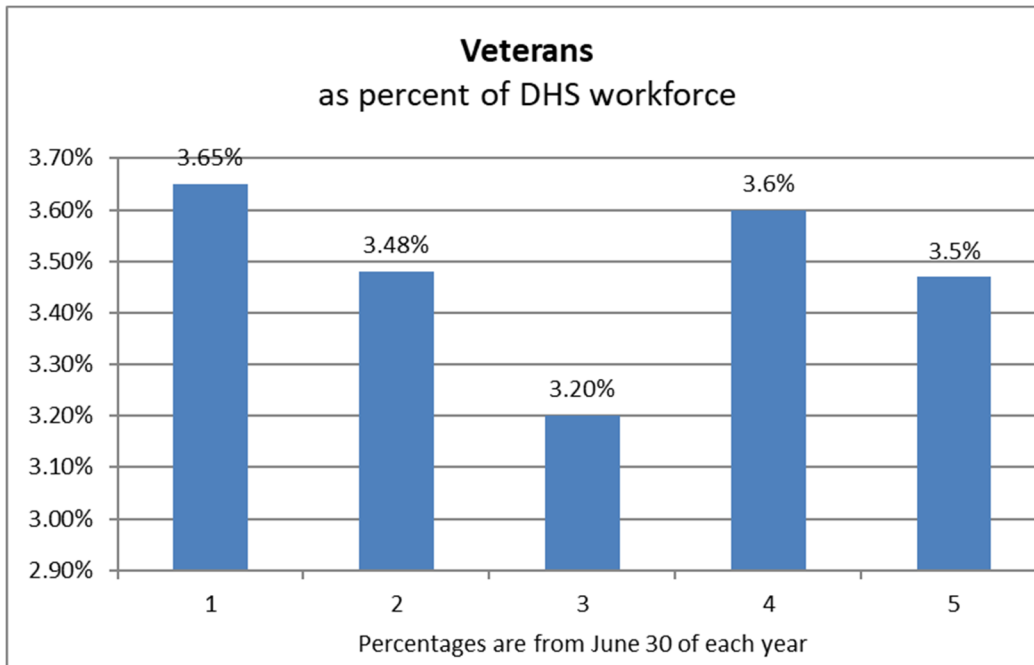
People with Disabilities

The department continues to experience a low number of employees self-disclosing disabilities. This self-disclosure is voluntary, and the agency needs to develop an explanation of why we need this information and that it is not used for any hiring or promotion decisions. Collaboration with the Employee Resource Group (ERG) AbleNet, OEMS and HR will happen in 2020 and 2021 to develop a strategy for more self-disclosure.



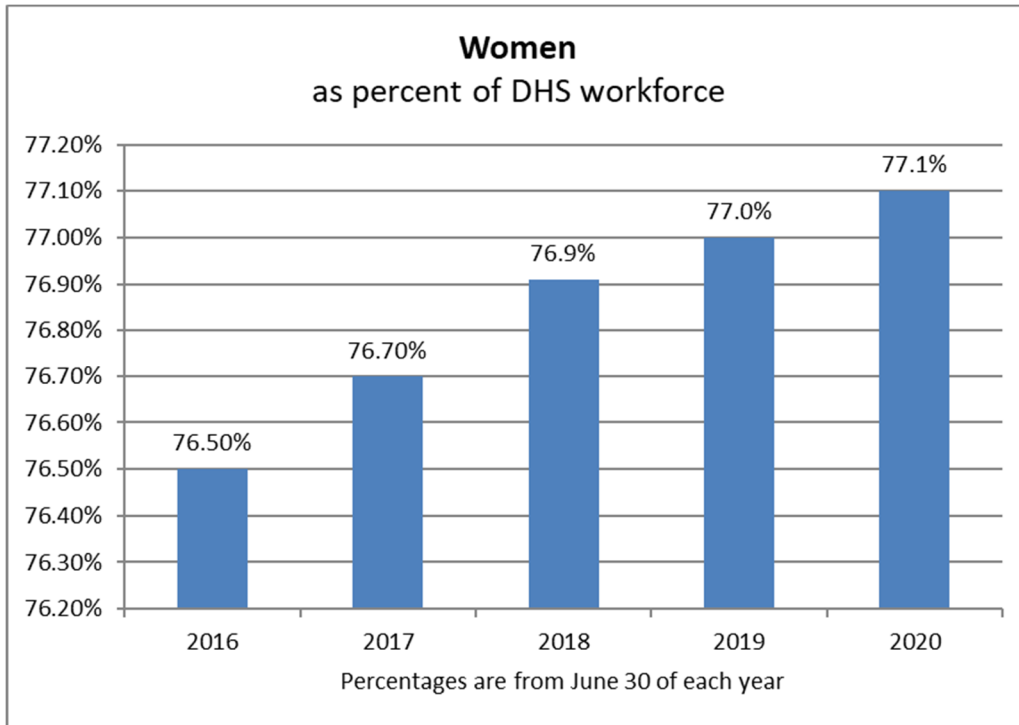
Veterans

It is important for the agency to reach out to Veterans organizations with Veterans preference information, assistance that is available to applicants, and open recruitment announcements. Currently, ODHS has 3.5% of employees who have self-disclosed they are a veteran. More detailed information on Veterans is in the Demographic Analysis section.



Women

Over the last five years, the percentage of women employed at ODHS has remained well above 75%.



Accomplishments

In the Affirmative Action Plan for 2019–2021, ODHS had three goals. These goals are shown below along with the accomplishments during 2019 and 2020.

Goal 1:

Review and improve our recruitment process to ensure: we have a fair and equitable process for everyone; we increase the diversity of our workforce, especially for people of color, people with disabilities and veterans in positions salary range 24 and above; and our workforce reflects the populations we serve.

Accomplishments:

ODHS continues to work toward increasing the recruitment, promotion and retention of people of color, people with disabilities and veterans in positions salary range 24 and above. Here are some specific actions taken during the 2019–2021 biennium:

- During the 2019-2021 biennium, the recruiting processes, specifically the applicant and interview evaluation forms were updated to provide an unscored option to evaluate applications and interviews (recommended by DOJ). Recruiters, supervisors and executives have been trained on their use.
- The desired attributes used in job announcements have been reviewed and modified to ensure they are not too restrictive, but instead allow more candidates to be reviewed by the hiring manager and moved into the first-round interviews.
- Continue to provide recruitment training to managers. *Hiring the Best*, explains the recruitment and interviewing process and new evaluation forms for interviewing and selecting candidates.
- *Interview Panelist Training* is encouraged for any employee who will be on an interview panel to better understand the process. It also educates the employee about their unintentional personal biases and how to interrupt them.
- ODHS is publicizing the DAS recruitment training on Workday for managers. This training is important to the manager’s understanding of the new recruitment process.
- Recruiters are working in designated programs, as a team, to speed up the process for creating, drafting and posting job announcements, and reviewing and sending the completed applications to managers for review and selection.
- The recruiters have been working more with the managers and participating as interview panel members. These actions are building stronger relationships and a better understanding of the needs of the program, which helps recruiters develop more effective recruiting announcements.
- Video interviewing for the first-round has been implemented at ODHS during 2020 to help speed up the process for managers to select candidates for additional interviews.

- ODHS Human Resources started reporting quarterly to the executive team on several equity-focused outcome measures. The first reports for 2019 were completed in June 2020 and include: workforce diversity, diversity advancement and diversity retention (turnover). In progress is another report on employee engagement/satisfaction. Targets have been set by the executive team and the quarterly reports will drive correction action plans on issues that are not satisfactorily improving.

Goal 2:

ODHS will foster a culture that encourages collaboration, creativity and flexibility to enable individuals to contribute to their full potential and further the efforts of attracting new employees and retaining current employees.

Accomplishments:

- Service Equity Managers within OEMS have been conducting a series of virtual table talks regarding service equity framework to ODHS field staff. The first service equity framework element explored Race and Place.
- In 2019, the RiSE project team visited ODHS offices all around the state to share the RiSE model with employees. The 46 building sessions were met with great interest and excitement. During 2019 and 2020, the RiSE program has initiated the RiSE Champion network, which are volunteers who promote RiSE in their offices and environments; conversations on diversity, equity and inclusion; Monday morning email tips; and leadership and management engagement to develop the understanding and skills to lead to a RiSE culture within the agency.
- Diversity, Equity, Inclusion, and Accessibility Executive Learning and Development training for executives began in 2020. It is described in more detail in the Executive Order 17-11 section of this affirmative action plan. The focus for this training is to build knowledge, skills and confidence to lead diversity, equity and inclusion change in the agency.
- Community engagement meetings have been taking place with communities beginning in 2019 and into this year with the African American Community, COFA community, and Latinx community. More listening sessions and frameworks to support those and other communities are being planned.

- OEMS has been conducting agency-wide diversity, equity and inclusion training. Some of the titles are listed in the Training and Education section of this Plan. A new activity by OEMS is EquiTea Time Dialogues, launched in July 2020. It was developed to bring people together to discuss equity topics and concerns.
- Employee Resource Groups are active. See the Program section for descriptions of the ten ERGs and their activities.
- Each program has a Service Equity Manager from OEMS to support each program with establishing and leading service equity initiatives that include development and programmatic equity assessments, equity action plans and the development of equity dashboards to track disparities found in program service delivery.

Goal 3:

ODHS will develop strategies to expand recruiting outreach efforts with diverse community-based organizations to increase the diversity of our workforce, especially for people of color, people with disabilities and veterans.

Accomplishments:

- Additional diverse organizations have been added during 2019 and 2020 to the list of organizations for recruiters to use to publicize the ODHS job openings.
- Employee resource groups (ERGs) have been sharing job announcements to attract more people of color, veterans, people with disabilities, LGBTQ and women to the ODHS workforce.
- An executive recruiter was hired early in 2020 to help recruiters with outreach efforts. The contact list that was developed is shared by all the recruiters.
- Sixteen (16) career fairs were attended by recruiters in 2019. Eight of the career fairs included diversity fairs: City Career Fair; JobsNow/Incight; Portland Veterans Job Fair; and Veteran Benefit Expo. Another eight career fairs were for Universities: PSU Career + Internship Fair; Western Oregon University; Nursing Expo – George Fox University; University of Oregon; Southern Oregon University; and Oregon State University.

- For difficult-to-fill-positions, recruiters developed a brochure in addition to the typical state-format recruitment announcement. This allowed more creativity and the ability to send a document easily through email to a large number of contacts.

Demographic Analysis

The attached workforce representation reports are pulled from the Workday DEI Dashboard, the new tracking program used by the State of Oregon. Because the parity data for the State of Oregon is out-of-date, these reports do not use parity analysis as in the past. Parity is defined as the ultimate goal of affirmative action programming; to achieve “parity” in a work force, i.e., women and minorities to be represented in every job category of a work force in the same proportion they are available in the total work force. The Governor’s D & I Office and State agencies will update the parity analysis for the next Affirmative Action plan period of 2023-2025. For this 2021-2023 Plan, the actual numbers of employees within each job category, race, disability, veteran status and gender will be reviewed and a plan made to continue to increase the representation.

ODHS is including report tables for the following information as requested by the Governor’s Diversity, Equity and Inclusion Office:

- summary of data
- workforce representation by race and gender
- agency executives by race, gender, disability and veteran status
- agency supervisors by race, gender, disability and veteran status
- promotions for supervisors by race and gender
- promotions for non-supervisors by race and gender

ODHS is also utilizing the data from the previous system, Position and Personnel Database (PPDB) to show five-year trends as part of the analysis of the data. The trend reports are in the Accomplishment section above.

Summary Reports

This summary report shows how many employees who are People of Color, White, with a Disability or a Veteran within each job category as of June 30, 2020. The agency currently has 28.31% People of Color and 69.23% White. It is important to note that 2.46% of the employees did not wish to answer the race/ethnicity question.

Oregon Department of Human Services
 Summary of Workforce Representation
 Workday Statistics as of June 30, 2020

Job Categories	Total Employees	POC	White	Do Not Wish to Answer	People with Disabilities	Veterans
Administrative Support	1271	342	897	32	60	33
Officials and Administrators	857	177	675	5	30	42
Paraprofessionals	2510	904	1520	86	90	75
Professionals	4271	1053	3115	103	158	162
Service	14	4	10	0	1	3
Skilled Craft Workers	8	1	7	0	1	1
Technicians	578	211	359	8	9	14
Agency Totals	9509	2692	6583	234	349	330
Percentage		28.31%	69.23%	2.46%	3.67%	3.47%

The summary report below is in more detail, showing the number of employees by race/ethnicity within each job category.

Oregon Department of Human Services
 Summary of Workforce Representation
 Workday Statistics as of June 30, 2020

Job Categories	Total Employees	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	Two or more Races	White	Do not wish to answer	Females	Males
Administrative Support	1271	23	60	36	145	10	68	897	32	1098	173
Officials and Administrators	857	16	24	31	68	3	35	675	5	593	264
Paraprofessionals	2510	49	97	87	510	13	148	1520	86	2053	457
Professionals	4271	70	138	137	456	16	236	3115	103	3280	991
Service	14	0	0	1	1	0	2	10	0	0	14
Skilled Craft Workers	8	0	0	1	0	0	0	7	0	2	6
Technicians	578	7	31	74	39	24	36	359	8	310	268
Agency Totals	9509	165	350	367	1219	66	525	6583	234	7336	2173

Workforce Representation by Job Classification, Race/Ethnicity and Gender

The two charts below show the number and percentage of males and females within each race/ethnic group, sorted by job classifications. In some of the job classifications there are no employees within the race/ethnic groups. Do not wish to answer is 2.46%.

According to the State of Oregon Employment Department’s website:

<https://www.qualityinfo.org/-/race-and-ethnic-diversity-in-oregon-s-workforce> in an article on January 9, 2020, it reported:

“Though it is still predominantly white, Oregon’s population has started to diversify in recent years. In 2018, the share of people of color in Oregon grew to 25 percent.” Even though the agency will do more to attract a diverse candidate pool, and retain this diverse workforce, ODHS is doing well with 28.31% people of color as of June 30, 2020. There is good representation of People of Color in all job categories, especially above salary range 24. Areas where we can do more is explained in the two charts below.

In this first chart it shows that American Indian or Alaska Native is only 1.72% (males and females) of the workforce. More outreach to this group should be done to increase the representation. This will be listed specifically in the strategies for 2021-2023.

Oregon Department of Human Services																	
Workforce Representation by Race Categories (American Indian or Alaska Native; Asian; Black or African American; Hispanic or Latino) and Gender																	
Workday Statistics as of June 30, 2020																	
Job Categories	Total Emp	American Indian or Alaska Native				Asian				Black or African American				Hispanic or Latino			
		Female		Male		Female		Male		Female		Male		Female		Male	
		Actual	%	Actual	%	Actual	%	Actual	%	Actual	%	Actual	%	Actual	%	Actual	%
Administrative Support	1271	21	1.65%	2	0.16%	44	3.46%	16	1.26%	30	2.36%	6	0.47%	133	10.46%	12	0.94%
Officials and Administrators	857	12	1.40%	4	0.47%	12	1.40%	12	1.40%	22	2.57%	9	1.05%	43	5.02%	25	2.92%
Paraprofessionals	2510	45	1.79%	4	0.16%	72	2.87%	25	1.00%	60	2.39%	27	1.08%	420	16.73%	90	3.59%
Professionals	4271	57	1.33%	12	0.28%	93	2.18%	45	1.05%	73	1.71%	64	1.50%	337	7.89%	119	2.79%
Service	14	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	7.14%	0	0.00%	1	7.14%
Skilled Craft Workers	8	0	0.00%	0	0.00%	0	0.00%	0	0.00%	1	12.50%	0	0.00%	0	0.00%	0	0.00%
Technicians	578	5	0.87%	2	0.35%	12	2.08%	19	3.29%	26	4.50%	48	8.30%	20	3.46%	19	3.29%
Totals	9509	140		24		233		117		212		155		953		266	
			1.47%		0.25%		2.45%		1.23%		2.23%		1.63%		10.02%		2.80%
Combined Female & Male Percentage			1.72%				3.68%				3.86%				12.82%		

In the chart below, Native Hawaiian or Other Pacific Islander is only .69% (males and females) of the workforce. More outreach to this group should be done to increase the representation. There are several organizations that work directly with the Pacific Islander population, these will be targeted in the future on job announcements. Also, more effort will be made to build a relationship with these organizations, including offering job search assistance to their membership.

Do not wish to answer is 2.46%. A plan needs to be determined on how to ensure every new employee fills out this section on Workday, not only for the race ethnicity, but for self-disclosing a disability and Veteran’s status.

Agency Executives

This first chart shows the race/ethnicity and gender of the agency director.

Oregon Department of Human Services		
Agency Director by Racial Category and Gender		
Workday Statistics as of June 30, 2020		
Racial Categories	Female	Male
American Indian/Alaska Native		
Asian		
Black/African American		
Hispanic		
Native Hawaiian/Other Pacific Islander		
Two Or More Races		
White		1
Totals	0	1

This summary shows the race/ethnicity (people of color or white) and gender of the ODHS executives. It is 50/50 for the total number of females to males. The percentage of executives in People of Color is 29.41% compared to 70.59% White.

Oregon Department of Human Services				
Agency Executives by Racial Categories & Gender				
Workday Statistics as of June 30, 2020				
Race	Female	Male	All	Pct.
POC	6	4	10	29.41%
White	11	13	24	70.59%
Totals	17	17	34	

This chart shows in more detail the race/ethnicity and gender of the ODHS executives. The racial categories not represented at all include Asian and Native Hawaiian/Other Pacific Islander.

Oregon Department of Human Services				
Agency Executives by Racial Categories & Gender				
Workday Statistics as of June 30, 2020				
Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native	0	1	1	2.94%
Asian	0	0	0	0.00%
Black/African American	3	1	4	11.76%
Hispanic	2	1	3	8.82%
Native Hawaiian/Other Pacific Islander	0	0	0	0.00%
Two Or More Races	1	1	2	5.88%
White	11	13	24	70.59%
Totals	17	17	34	

This summary shows the reported disability and veteran status by gender of the ODHS executives.

Oregon Department of Human Services					
Agency Executives by Reported Disability & Veteran's Status, & Gender					
Workday Statistics as of June 30, 2020					
	Gender	Reported Disability	Percent	Veteran	Percent
	Female	1	33.33%	0	0.00%
	Male	2	66.67%	3	100.00%
	Totals	3		3	

The chart below shows in more detail how many executives at ODHS have reported a disability or are a veteran. It is sorted by racial category and gender.

Agency Supervisors

This chart shows the race/ethnicity and gender of the supervisors at ODHS. The representation for Native Hawaiian/Other Pacific Islander is below 1% and American Indian/Alaska Native is at 1.81%. There were 4 females and 1 male who did not answer the question about race/ethnicity.

Oregon Department of Human Services
 Agency Supervisors by Racial Categories & Gender
 Workday Statistics as of June 30, 2020

Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native	12	3	15	1.82%
Asian	12	12	24	2.92%
Black/African American	19	8	27	3.28%
Hispanic	41	24	65	7.90%
Native Hawaiian/Other Pacific Islander	2	1	3	0.36%
Two Or More Races	24	9	33	4.01%
White	462	189	651	79.10%
Did not answer	4	1	5	0.61%
Totals	576	247	823	

This chart shows by gender, the reported disability and veteran status of the supervisors at ODHS.

Oregon Department of Human Services
 Agency Supervisors by Reported Disability & Veteran's Status, and Racial Categories
 Workday Statistics as of June 30, 2020

Racial Category	Female			Male		
	Disability Reported	Veteran	Total Females	Disability Reported	Veteran	Total Males
American Indian/Alaska Native	2	0	2	0	0	0
Asian	0	0	0	0	1	1
Black/African American	0	1	1	0	0	0
Hispanic	0	0	0	1	3	4
Native Hawaiian/Other Pacific Islander	0	0	0	0	0	0
Two Or More Races	4	0	4	4	5	9
White	13	5	18	9	28	37
Did not answer	1	0	1	0	0	0
Totals	20	6	26	14	37	51

Promotions – Supervisory Positions

For promotions into supervisory positions, this chart shows the race and gender for promotions occurring between July 1, 2019 through June 30, 2020.

Oregon Department of Human Services				
Agency Supervisor Promotions by Racial Categories and Gender				
Workday Statistics as of July 1, 2019 through June 30, 2020				
Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native	4	0	4	2.37%
Asian	2	2	4	2.37%
Black/African American	4	3	7	4.14%
Hispanic	7	4	11	6.51%
Native Hawaiian/Other Pacific Islander	0	0	0	0.00%
Two Or More Races	5	5	10	5.92%
White	85	48	133	78.70%
Totals	107	62	169	

The table below shows the supervisory promotions by disability and veterans' status.

Oregon Department of Human Services							
Agency Supervisor Promotions by Disability and Veteran Status							
Workday Statistics as of July 1, 2019 through June 30, 2020							
	Female			Male			All
Racial Category	Disability Reported	Veteran	Total Females	Disability Reported	Veteran	Total Males	Total
American Indian/Alaska Native	0	0	0	0	0	0	0
Asian	0	0	0	0	0	0	0
Black/African American	0	0	0	0	0	0	0
Hispanic	0	0	0	1	1	2	2
Native Hawaiian/Other Pacific Islander	0	0	0	0	0	0	0
Two Or More Races	0	0	0	1	2	3	3
White	2	0	2	3	8	11	13
Totals	2	0	2	5	11	16	18

Promotions – Non-Supervisory Positions

For promotions into non-supervisory positions, this chart shows the race and gender for promotions occurring between July 1, 2019 through June 30, 2020.

Oregon Department of Human Services				
Agency Non-Supervisor Promotions by Racial Categories and Gender				
Workday Statistics as of July 1, 2019 through June 30, 2020				
Racial Category	Female	Male	All	Pct.
American Indian/Alaska Native	12	0	12	1.81%
Asian	20	9	29	4.37%
Black/African American	14	9	23	3.46%
Hispanic	62	24	86	12.95%
Native Hawaiian/Other Pacific Islander	2	1	3	0.45%
Two Or More Races	45	8	53	7.98%
White	364	76	440	66.27%
Did not answer	6	12	18	2.71%
Totals	525	139	664	

The table below shows the non-supervisory promotions by disability and veterans' status.

Oregon Department of Human Services							
Agency Non-Supervisor Promotions by Disability and Veteran Status							
Workday Statistics as of July 1, 2019 through June 30, 2020							
Racial Category	Female			Male			All
	Disability Reported	Veteran	Total Females	Disability Reported	Veteran	Total Males	Total
American Indian/Alaska Native	0	1	1	0	0	0	1
Asian	0	0	0	0	0	0	0
Black/African American	0	0	0	0	1	1	1
Hispanic	0	1	1	0	1	1	2
Native Hawaiian/Other Pacific Islander	0	0	0	0	1	1	1
Two Or More Races	4	0	4	2	0	2	6
White	6	6	12	4	3	7	19
Did not answer	0	0	0	0	1	1	1
Totals	10	8	18	6	7	13	31

V. July 1, 2021 – June 30, 2023
Goals and strategies

“If you see something that is not right, not fair, not just, you have a moral obligation to do something about it.”

John Lewis

Goals for ODHS Affirmative Action Plan

The ODHS vision of “safety, health and independence for all Oregonians” is why we continue to pursue goals that help us increase and retain our representation of people of color, people with disabilities, veterans, LGBTQ and women within the ODHS workforce.

How do we do that in today’s complex world? ODHS feels the most important focus for our goals needs to be on the workplace environment. We must have a culture that is inclusive and respectful. In order to retain our workforce, a stronger orientation process needs to take place. We will continue to work hard to develop new outreach efforts to attract qualified candidates to our workforce. The goals and strategies described below will continue the successful efforts made in the past and focus on some areas that need to be strengthened to be most effective.

In the 2021–2023 biennium, ODHS will pursue the following goals:

1. ODHS will continue to foster an inclusive and respectful culture that encourages collaboration, creativity and flexibility to enable individuals to contribute to their full potential.
2. The ODHS employee orientation/onboarding process will be reviewed, and a more comprehensive new employee orientation will be developed and implemented during the 2021-2023 biennium to address stronger retention of people of color, veterans, people with disabilities, LGBTQ and women within the agency.
3. ODHS will continue to expand its recruiting outreach efforts with diverse community-based organizations to increase the diversity of our workforce, especially for people of color, people with disabilities, LGBTQ, women and veterans in positions in salary range 24 and above.

Strategies and timelines for achieving ODHS goals

Goal 1: ODHS will continue to foster an inclusive and respectful culture that encourages collaboration, creativity and flexibility to enable individuals to contribute to their full potential.

Strategies:

- Discuss diversity and inclusion regularly at the leadership level. Once a month a diversity and inclusion topic will be discussed at the executive team meeting. Guest presenters will be from OEMS, HR or possibly from outside the agency. Once a quarter, updated workforce representation reports will be presented to the executive team.
- In 2019, the RiSE project team visited offices around the state to share the RiSE model. Continue and strengthen RISE, to increase cultural awareness.
- Strengthen the onboarding of new employees to increase awareness of diversity, equity and inclusion trainings, policies and resources such as RiSE, and the ERGs.
- Use a diversity and equity-perspective to examine turnover rates quarterly for voluntary and involuntary separations' adverse effect on women, people of color, LGBTQ and people with disabilities. Develop strategies to eliminate any disproportionate turnover for a protected class. Determine if there is more turnover in diverse populations. HR and OEMS will work together to develop strategies to eliminate excessive turnover.
- Develop a procedure to ensure exiting employees are invited to complete the exit interview on Workday that includes diversity and inclusion-related questions. These exit interviews will be used when examining turnover rates. Quarterly, a summary of these exit interviews will be provided to the executive team.
- Review annually and revise, if necessary, the ODHS Equal Employment Opportunity/Affirmative Action Statement and any recruiting materials related to affirmative action or diversity and inclusion.

- The agency will continue to develop programs where employees can discuss diversity, equity and inclusion in a welcoming and respectful environment so that everyone can have a chance to understand and help address and rectify their biases and learn how to be antiracist.

Goal 2: The ODHS employee orientation process will be reviewed, and a more comprehensive new employee orientation will be developed and implemented during the 2021-2023 biennium to address stronger retention of people of color, veterans, people with disabilities, LGBTQ and women within the agency.

Strategies:

- HR and OEMS will coordinate the review and make improvements to the current new employee orientation/onboarding process. Develop and implement a new on-line agency-wide orientation that every new employee their first week. This will cover all agency or State-wide policies employees need to understand. It will also cover all diversity, equity and inclusion efforts, trauma informed and resources available to employees.
- Program offices will also review and improve their own on-boarding which will explain specific offices procedures and practices, in addition to reinforcing the diversity, equity and inclusion efforts to strengthen the culture at ODHS.
- It will be discussed during onboarding and by the employee's new supervisor why ODHS needs the information regarding race/ethnicity. New employees will be encouraged to disclose this important information in Workday.
- It will be discussed during onboard and by the employee's new supervisor why ODHS needs the information regarding disability and Veteran's status in Workday.
- A plan will be developed to work with the employees who have not filled out the information regarding race/ethnicity to meet the agency goal of having this information 100% reported.

Goal 3: ODHS will continue to expand its recruiting outreach efforts with diverse community-based organizations to increase the diversity of our workforce, especially for people of color, people with disabilities, LGBTQ, women and veterans in positions in salary range 24 and above.

Strategies:

- ODHS will review the recruitment process annually to make sure all the elements are included:
 - Strong, accurate job announcement;
 - Diverse organization outreach strategy;
 - Selection process;
 - Veterans' preference;
 - The interview process, including diversity/inclusion questions;
 - Reference checking, including diversity/equity/inclusion questions;
 - Onboarding;
 - Unit orientation; and
 - Retention.

- Develop outreach strategies to include outreach beyond Oregon when applicable.

- On a quarterly basis, recruiters will review workforce representation report for people of color, people with disabilities, women and veterans in all positions, with a focus on positions salary range 24 and above.

- Reports will be pulled from Workday regarding the diversity of the candidate pool, analyzing where candidates dropped out of the process and shared with the recruiters. This information will assist the recruiters in helping managers to improve the effectiveness of the future recruitment process.

- Efforts will be made to build stronger relationships with organizations representing the American Indian and Alaska Native and the Native Hawaiian and Other Pacific Islander groups. These groups will receive job vacancy announcements and offers of job search assistance to their members.

- Build and sustain relationships with diverse organizations and send them job announcements. The list below is a sampling of organizations, there are many more:
 - NAACP
 - APANO
 - Hispanic Services Roundtable
 - Oregon Association for Minority Entrepreneurs
 - IRCO
 - Cultural Advocacy Coalition of Oregon
 - Coalition of Communities of Color
 - Incight
 - US DOL Vet
 - Exceed Enterprises
 - Micronesian Islander Community
 - Basic Rights
 - Latino Business Alliance
 - Oregon State Hispanic Employees Network
 - Oregon Native American Chamber
 - Asian Pacific American Chamber and Partners in Diversity.

- ODHS HR Recruiting will partner with OEMS to coordinate networking with groups and send out new job announcements. Recruiters will ask ERGs to share job announcements with their networks.

- Work with other ODHS programs such as Vocational Rehabilitation, Aging and People with Disabilities, and Intellectual and Developmental Disabilities to develop stronger strategies for hiring people with disabilities. In addition, ABLENet will also be consulted.

- Offer career services to members of diverse organizations, including informational interviews, application material review and mock interviews.

- Attend career fairs and targeted outreach events (i.e. diversity, veterans, people who identify as disabled, LGBTQ, etc.) and accept resumes from job seekers that will be shared with the appropriate programs/section managers. Help job seekers set up informational interviews as needed.

- Develop and maintain recruitment and career services partnership with veterans’ organizations, such as Oregon Department of Veterans Affairs, USDOL-Vets, United States Guards and Reserves, E3 Federal Solutions, and local Disabled Veterans Outreach program.
- Develop partnerships with college and university strategy/working groups, career centers and alumni organizations, trade schools, and apprentice programs around Oregon and across the country.
- Continue reporting quarterly to the executive team on several equity-focused outcome measures to include workforce diversity; diversity advancement; diversity retention (turnover); and employee engagement/satisfaction. The quarterly reports will drive correction action plans on issues that are not satisfactorily improving, based on targets established by the executive team in 2020.

VI. Appendices

Appendix A – State Policy Documentation

The following links lead to a pdf with all of the state documents:

- [ADA and Reasonable Accommodation Policy \(Statewide Policy 50.020.10\)](#)
- [Discrimination and Harassment Free Workplace - \(Statewide Policy No. 50.010.01\)](#)
- [Employee Development and Implementation of Oregon Benchmarks for Workforce Development \(Statewide Policy 50.045.01\)](#)
- [Veterans Preference in Employment \(40-055-03\)](#)
- [Equal Opportunity and Affirmative Action Rule \(105-040-0001\)](#)
- [Executive Order 17-11: Relating to Affirmative Action and Diversity and Inclusion](#)

Appendix B - Federal Documentation

Link to federal documentation:

http://www.oregon.gov/gov/policy/Documents/Federal_Affirmative_Action_Title_VII.pdf

Includes:

- Age Discrimination in Employment Act of 1967 (ADEA)
- Disability Discrimination Title I of the Americans with Disability Act of 1990
- Equal Pay and Compensation Discrimination Equal Pay Act of 1963, and Title VII of the Civil Rights Act of 1964
- Genetic Information Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008 (GINA)
- Title VII of the Civil Rights Act of 1964
- National Origin Discrimination Title VII of the Civil Rights Act of 1964
- Pregnancy Discrimination Title VII of the Civil Rights Act of 1964
- Race/Color Discrimination Title VII of the Civil Rights Act of 1964
- Religious Discrimination Title VII of the Civil Rights Act of 1964
- Retaliation Title VII of the Civil Agency Affirmative Action Policy
- Sex-Based Discrimination Title VII of the Civil Rights Act of 1964
- Sexual Harassment Title VII of the Civil Rights Act of 1964

[Executive Order 11246 \(OFCCP regulations\)](#)

**Oregon Department of Human Services
AUDIT RESPONSE REPORT**

1. ODHS and OHA: Statewide Single Audit Including Selected Financial Accounts and Federal Awards for the Year Ended June 30, 2018, audit #2019-14 (dated March 2019)

- Recommend management ensure year-end reporting methodologies reflect a complete understanding of transaction relationships as well as proper application of amounts provided by other entities.

The year-end task list shows the annual meetings with each unit, including the Management Reporting Unit (MRU), to provide information and inquire of changes. The FY19 year-end list OFS MRU is the actual agenda for items discussed with each unit. The MRU specific items include inquiring of new program revenues and expenditures.

- Recommend department management implement processes and procedures to ensure data reports accurately reflect case status and activity of the reporting period.

The agency and our contractor are continuing to work through data reporting errors and correcting business requirements to ensure accurate reporting. Code and data fixes have been implemented for several errors within both the 199 and 209 reports.

- Recommend department management implement monitoring of eligibility re-determinations to ensure they are completed timely. We also recommend department management correct the identified cases and reimburse the federal agency for amounts claimed for ineligible cases.

In February 2020 it was discovered that two cases, that did not previously incur any charges, did not accurately end eligibility as expected when the corrections were entered in June 2019. This was because the corrections were made to the pre-adopt cases. In coordination with OR-Kids, the eligibility was appropriately ended on the bio-cases on February 11, 2020. One of the cases incurred charges after the original finding was made, so this correction in February resulted in an additional reimbursement of \$9,836.13.

- Recommend department management ensure timely and consistent monitoring of OR-Kids reports, including adequate communication, to ensure the cases exceeding the benefit threshold of \$25,350 are corrected timely. We also recommend department management reimburse the federal agency for costs exceeding the limit.

Report EL-3008 was designed to identify children's TANF claims that exceed \$20,000. This finding occurred due to staffing changes, and since the finding was issued, we have provided training and updated procedures to include a review of the EL 3008 report each month. The request to OR-Kids for a system enhancement will remain on the list of future OR-Kids changes.

- Recommend department management ensure adequate processes are in place to ensure federal TANF payments are not made beyond the 60-month time limit. We also recommend department management correct the identified case and reimburse the federal agency for amounts claimed.

Effective May 1, 2019, Self Sufficiency Programs- TANF, designated a point person to review the over 60-month Time Limit Data Report. This report is generated monthly and the TANF point person will review every month for accuracy. If the point person determines a case needs updating, they will email the lead at the local branch office with instructions on how to update the time limit for the specific case.

Adjusting entry BT178490 was completed on February 22, 2019 to reclass costs in the amount of \$953.10 from federal funds to general funds as they were outside the federal time limit.

- Recommend department management continue to work with DHHS to obtain approval of the department’s plan for “Indian country” time limit exemptions. We also recommend department management correct cases that had been improperly exempted prior to January 1, 2017, and review and reimburse the federal agency as appropriate for payments made beyond the allowable time limit.

The department received a letter from the Federal Administration for Children and Families dated December 5, 2017 stating Oregon’s plan for Indian Country brings the state into alignment with the TANF statute.

- Recommend department management investigate and identify the extent to which client income was not verified. We also recommend department management provide appropriate notification and training to staff to ensure that data is entered in a manner that would ensure the ONE system appropriately accesses the hub to verify income eligibility.

In response to this audit and since its release, the department has:

- *Provided additional guidance by way of an all-staff transmittal in March 2019;*
- *Updated the staff eligibility manual in April 2019; and*
- *Made an update to the ONE eligibility system on April 11, 2019 to default the question about verification to trigger the Federal Data Services Hub. This update was done to ensure the Hub is*

pinged, regardless of the avenue in which the application is entered, when no one on the case has income.

- *After the system update, guidance about the update was put in an agency-wide newsletter for May 2019. An all-staff transmittal will be sent in August 2019.*

- Recommend management strengthen controls to perform timely eligibility redeterminations and verification of client income, and ensure eligible clients are appropriately enrolled in both Medicare and Medicaid. Additionally, we recommend management provide periodic training to caseworkers to reduce the risk of administrative errors. We also recommend management correct all identified issues and reimburse the federal agency for unallowable costs.

The ONE system was implemented statewide on February 1, 2021. The ONE system requires that fields and screens be completed before an eligibility worker can advance in the system. Verifications are automated via interfaces when possible and must be reviewed. In addition, the ONE system contains a robust rule engine, and checks for correct program enrollment prior to the authorization of benefits. These systematic actions will support accurate and timely eligibility determinations now and into the future.

- Recommend department and authority management strengthen controls to ensure documentation supporting a provider's eligibility determination is retained. We also recommend department management reimburse the federal agency for cost paid related to the ineligible provider.

Questioned costs of \$8,518 were adjusted through the JH system with document BTJHCQAP. The effective date of the adjustment was January 19, 2020.

A missed data base verification has been added to the enrollment staff self-reporting spreadsheets. The state is reviewing a report to complete any missed required validations every three months.

The automated solution is still a work in progress and will not begin to replace a portion of staff database checks until October 2020. We are reviewing other options to further reduce the time between enrollment and when a missed check is fixed.

- Recommend department management ensure all required documentation is completed timely, reviewed, and maintained. We also recommend department management reimburse the federal agency for costs paid related to the exceptions identified above.

A new OR-Kids report, EL-3026-D Foster Care IV-E Eligibility and Certification Status Detail, was implemented on June 20, 2019. This report allows the user to pull a list of all children who are eligible for Title IV-E while placed with a provider who has a temporary certificate of approval, so that claiming corrections can be made in a timely manner.

CW eligibility staff were provided training regarding the IV-E age requirements for young adults 18 years or older during the March 2019 Statewide Eligibility Summit. This information was recently reiterated through email correspondence and the August 2019 Eligibility Newsletter.

An adjustment of \$24,565 was entered into ORKIDS and reported on the 2019 third quarter CB-496 (04/01/2019 – 06/30/2019) report.

- Recommend department management review OR-Kids transaction processing and complete system modifications as appropriate to ensure proper financial reporting of program expenditures. We also recommend department management review prior year and current year transactions and reimburse the federal agency for grant expenditures claimed inappropriately.

Office of Financial Services (OFS) has developed and reviewed a process that allows us to report appropriately federal expenditures and identify the adjustments that are needed to release our federal partners from participating in expenditures that have since been reversed for various reasons. The process has been implemented as of March 2021. OFS has performed correcting entries that appropriately reflect federal funding for AY 21 through March 2021, as well as individual month of April 2021. This process will continue to be used on a go-forward basis.

The known costs for IV-E were adjusted on document BT183513, and \$277,004 was repaid and reported on the September 30, 2019 CB-496. The known costs for Medicaid, were adjusted on document BT186519 on February 10, 2020, and the \$5,949 was repaid and entered into the CMS for FFY20 Q2.

- Recommend department management ensure payments are adequately reviewed to verify payments are for the correct federal financial participation rate and calculated correctly. We also recommend department management reimburse the federal agency for unallowable costs.

The agency response has been updated to focus on the manual efforts to ensure the correct rates are used with agreement from SOS. FPR is ensuring mileage is claimed correctly by sending out an annual notice with the approved mileage rate and spot checking the OR-Kids financial reports to monitor that these are claimed correctly.

- Recommend department management ensure adequate contract monitoring processes are in place to provide assurance that the department is receiving the services provided for in these waiver-based contracts.

This finding is connected to the use of Title IV-E federal funds. For these specific services and contracts the IV-E funds were only allowed under the Title IV-E waiver, which ended September 30, 2019. Therefore, there is no longer concerns about inappropriate federal fund claiming because these contracts are only using the

general fund. No new contracts were entered into during State fiscal year 2019 or 2020 that would use Title IV-E funds.

- Recommend management ensure changes to the cost allocation process are included in its change log to ensure all changes are incorporated in subsequent plan submissions. Further, the department should ensure the discrepancies identified are corrected in the next plan submission.

Going forward, we are documenting all of our correspondence in a log with a number, brief description and which plan year it applies to. Additionally, with each update requested, the plans are being produced in their entirety where each version builds on the prior so that the most recent plan or update is always the most current and inclusive of all changes and or updates. Regarding the Random Moment Sampling, the majority of those activity codes required narrative updates only to ensure the description of the calculation was accurate.

There were two activity codes that resulted in claiming differences:

- *Activity Code 4.A.8 – Pre-Finalized Adoption Assistance Case Management – The penetration rate used in activity code 4.A.8 is based on IV-E Foster Care. This rate should have instead been based on IV-Adoptions. The funding source charged for this activity, however, was in fact “TITLE IV-E ADOPTION ASSISTANCE”. Because the federal funding source is correct, there is no adverse impact to reporting. Because the Foster Care penetration rate is lower (57.07%) than the Adoptions rate (86.24%), the resulting impact on claiming is that Oregon under-claimed to IV-E. Since the amount that is not funded by IV-E is charged to state funds (GF), as such no correcting entry is necessary.*
- *Activity Code 4.A.2 Transportation for Medical, Dental, And Mental Health Services – The penetration rate used in this activity is XIX Foster Care (XIX FC) eligible children. The rate should have been XIX weighted / blended (based on Foster Care and In-Home). The approximate difference*

in rates is 2.5% less when using a blended rate. As a result, the agency over-claimed to title XIX. Activity code 4.A.2 accounts for approximately 1.77% of Child Welfare Survey results. The overall impact to Child Welfare RMSS results is 0.043% (or a 2.5% XIX reduction in the 1.77% of survey responses in activity code 4.A.2), the federal fund impact and correcting entry is estimated at approximately \$63k.

The entry for 4.A.2 was made with document numbers BTCC2130 through BTCC2136. Total federal fund impact was \$36,204. The initial estimate was based on averages versus a month by month calculation. This will be reported on the federal fiscal year 2019 quarter 4, CMS-64 report.

- Recommend management strengthen internal controls to ensure all costs entering the cost pools are allowed and for the correct amount. Further, the department should identify any additional mileage rate errors and correct all known issues.

The agency has a regular process to review for duplicate payments; however, the questioned payment was missed. It was corrected October 30, 2018 on document AR075480 for \$2,201.

Also, the agency will be working with program staff to ensure they understand that submissions for court witness mileage reimbursements are paid a different IRS per diem rate. The agency reviewed court witness mileage reimbursements and found an additional 27 transactions paid at the inappropriate rate, resulting in \$535.33 in overpayments. This amount was adjusted March 15, 2019 on BTCL1177. The questioned cost of \$18.20 was also adjusted March 13, 2019, on BTCL1176.

- Recommend department management implement a consistent process to verify branch offices are conducting required inventory and accurately completing stock control logs.

A plan was developed and implemented to conduct quarterly inventory reviews for EBT stock control logs in Self Sufficiency offices and this will be expanded to include APD/AAA offices by October 1, 2019. The reviews are conducted by local business experts and the information is then tracked in a Central office database. The information will be reviewed during the quarterly business review to identify strategies to improve accuracy.

2. ODHS and OHA: Integrated Eligibility Project Has Generally Followed Industry Standards to Help Ensure Data is Converted Completely and Accurately, Fiscal Year 2019, audit #2019-37 (dated October 2019)

- Recommend agency compare data extracts to legacy systems to ensure completeness and accuracy and document the results.

After the audit, the Integrated Eligibility, Data Conversion team reached out to the Legacy extract team to better understand steps taken to ensure the mainframe extracts correctly represented the data from the online systems.

Each Legacy team providing an extract (FSMIS, CM, CI, OA and AJ) was interviewed and design/test artifacts were reviewed.

In summary, the team determined the following:

- *The Legacy teams have varying processes to manage and track extract requests - some using ticketing systems that track and manage requests, while other teams manage requests via email*
- *In all cases, the Legacy teams were working from defined specifications, either uploaded to the ticketing system or managed via email*
- *In all cases, the Legacy teams confirmed the accuracy of the extract with the Legacy BA's, who confirmed against the online system.*

- *Test evidence/confirmation was exchanged via email, and either uploaded to the ticketing system or preserved in email.*

Based on this follow up review of the process, there is now sufficient evidence that the mainframe data extracts have been adequately tested against a defined design, and accurately represent that data in the mainframe.

- Recommend management develop a staffing plan that reflects the potential volume of work that will need to be completed after data conversion along with existing eligibility processing workloads and staff availability.

The state has developed a plan to minimize the amount of impacts created for eligibility workers by data conversion. This plan includes creation of a team to perform duties necessary to align the data within the multiple systems and automating some of the functions necessary to align the data within the multiple systems. These two strategies will decrease the impact to eligibility workers and allow for better service to Oregonians. There is a workplan that has been developed for the cases that will continue in conversion mode after go-live. This plan includes appropriate necessary time for every point of contact. This time correlates to our current recertification timelines.

- Recommend management eliminate the use of shared accounts to transmit PII and PHI.

The Audit Team observed server administrators using a shared account to manage file transfer of sensitive data. This practice was stopped upon notification to Project leadership and did not expose sensitive data outside of the system boundaries. Additionally, the server in question is being replaced and decommissioned.

- Recommend management improve monitoring of the transmission of PII and PHI.

While the Audit Team did not assess specific security risks for the IE system, there was recognition by the Project Team that controls were needed to address Project-identified risks related to the protection of PII and PHI during UAT. A team called the Security Controls Workgroup was formed to identify and put into place controls necessary to protect this data. This workgroup was made up of security professionals from the Project Team, SI, Enterprise Security Office (ESO), Enterprise Technology Services (ETS), Office of Information Services (OIS), Public Knowledge, and oversight agency representatives. These controls included:

- *Ensuring there was no mechanism to allow offshore resources to access the UAT environment.*
- *Ensuring processes were in place to validate no PII or PHI was copied into Team Foundation Server or other environments in which offshore personnel had access.*
- *Requiring all testers to use test ID's during testing.*
- *In the mainframe environment, specifically placing “deniers” into access scripts to ensure testers could not access production environments and, conversely, production users could not access the test environment.*
- *User profiles for testers were created to change the background color of screens such that it was easy for users to differentiate between production and test environments.*
- *Ensuring processes were in place to quickly provide testing credentials (authentication and access) to new testers.*

In addition to the above controls, security-related plans are followed and are regularly updated and reviewed by the ESO and federal partners. These plans include:

- *System Security Plan (SSP)*
- *Information Security Risk Assessment (ISRA)*
- *Privacy Impact Assessment (PIA)*

- *Plan of Action and Milestones (POAM)*

- Recommend management update existing Business Associate Agreements to include clauses required under HIPAA.

According to a message from Department of Justice (DOJ) dated November 14, 2019, the business Associate Agreement (BAA) template used by OIS was found legally sufficient and is not out of compliance with federal requirements. No further action will be taken on this finding by the IE Project Team leadership.

3. ODHS and OHA: Using the U.S. Treasury’s Do Not Pay System for Health and Human Services Program Will Save Taxpayers Money, audit #2020-05, (dated February 2020)

- Work with U.S. Treasury to gain access to Do Not Pay’s worker portal to perform on-demand searches.

The Do Not Pay (DNP) work is being performed by secure file exchange and not by accessing the DNP portal. This file exchange is completed and was fully tested and implemented in May 2021.

- Work with U.S. Treasury to develop annual death matching that covers all clients and all providers in the SNAP, TANF, ERDC, and Medicaid programs. Based on research of those matches, terminate ineligible clients and provides, and correct erroneous data in information systems.

All bodies of work are now officially in place and occurring on a regular basis for all programs. Provider Date of Death will be determined by owners of that program and will occur at least once annually. The Office of Payment Accuracy and Recovery (OPAR) will provide the file to DNP and provide the match file back to program for action.

- Develop internal policies and procedure for using Do Not Pay and taking the appropriate actions to close cases.

Work has begun in earnest. The Secure file transfer is complete and has been quality tested. Agency is continuing quality improvement work with DNP and the file. Internal processes for quality, de-duplication and internal matching are in place, although work has not started on reports.

- Send letters to all clients and providers who are identified as potentially deceased, but whose records could not be independently verified by DHS or OHA staff.

DHS and OHA staff will check all internal databases and perform internal research to verify the data that has been received by DNP. If DNP identifies someone as deceased, we are concerned that it would not be an effective approach to submit letters to clients and providers who, through the use of DNP, have been identified as deceased. We would clearly take the DNP data seriously and would do all necessary validation, but sending letters to potential surviving family members does not seem the most effective approach.

- Work with appropriate authorities to correct erroneous death reports found as a result of Do Not Pay data matching.

Policies and procedures will be developed to address methods and strategies for communicating with the data source of any potentially erroneous record.

- Work with U.S. Treasury to develop annual data analytics to identify potential data quality issues in information systems serving SNAP, TANF, ERDC, and Medicaid clients and providers.

The Office of Payment Accuracy and Recovery (OPAR) teams on behalf of OHA and ODHS have established secure data exchange with DNP. OPAR management and data stewards are performing extensive data matching and cross reference to previously known cases and DOD workload to identify new DOD cases that require action.

This will be an ongoing body of work and conversation with DNP to fine tune the process for both DNP and OPAR.

- Work with U.S. Treasury's Do Not Pay services to develop monthly matches against required datasets for all providers. Based on research of those matches, terminate ineligible providers, and correct erroneous data in information systems.

Provider Enrollment has partnered with CMS on a pilot screening program which includes a DNP file comparison. CMS is screening Medicaid providers monthly and we are refreshing our provider list every three months which is more frequent than originally planned. When the pilot screening program comes to an end, we will reach out to OPAR to resume the comparison through their interface.

- After the Integrated Eligibility system is implemented, research cases that lack Social Security numbers and valid exemptions. Based on research of those cases, address any eligibility, compliance, and/or system issues.

This recommendation will be addressed post implementation of the Integrated Eligibility System. It will be addressed per applicable federal regulation for each program utilizing the Integrated Eligibility system.

4. ODHS: Oregon's Child Welfare Information System is Adequate for Case Management, but Enhancements are Needed to Improve Usability, audit #2020-01 (dated February 2020)

- Recommend DHS continue to engage with program staff and end users to identify and document key usability issues and the potential risks associated with those issues. Based on this assessment, prioritize fixes to address high risk usability issues.

The OR-Kids User Group is comprised of member from both central office and field users. Members are from central office representing eighteen members and twenty OR-Kids users representing fourteen different OR-Kids user roles. The group has met several times and has prioritized and ranked three change requests, which have been documented in our issue tracking software and will be scheduled for a future release.

This group provides valuable insight from a user perspective for how system issues impact efficiency and worker ability to meet the requirements of policy and rules. Child Welfare Business Analysts use this information to complete root cause analysis and determine possible solutions through system changes or updates.

The monthly Child Welfare Information Systems Management Committee (CW ISMC) was chartered June 8th and is chaired by the Child Welfare Director and co-chaired by the Child Welfare Program Systems Support manager. Membership is comprised of Child Welfare Executive Leadership, and participants include representatives from the following offices: Office of Information Services, Office of Financial Services, and Office of Reporting, Research Analytics and Implementation.

The process for prioritizing and scoring system initiatives has been agreed to, and these priorities will be documented and maintained by the CW ISMC co-chair and will be communicated to both the subsequent Child Welfare Central Office Program Managers meeting and the OR-Kids User Group meetings. Consequently, I believe the recommendation has been implemented.

- Implement a data governance function that is responsible for creating a data quality strategy that aligns with the Child Welfare business strategy.

Per industry standard and recommendation of the Oregon Statewide Data Management Community of Practice group, which is comprised of data analysts and architects from various state agencies, OCWP has incorporated a “bottom up” approach to instituting data governance into the CCWIS Data Quality Plan,

submitted to and approved by ACF in February 2020. This approach initially concentrates on education of staff and program management while beginning a process of demonstrating business value by selectively targeting and addressing specific critical data elements.

The program was instituted in early 2020 and is currently on-schedule to continue its accomplishments in 2021 by maintaining a standing agenda item at the monthly CW Information Services Management Committee, which functions as a de facto Data Governance body to make decisions and set data quality priorities, while a more formalized structure of governance and stewards is built organically through demonstrated success, per the CCWIS Data Quality Plan.

- In conjunction with fully defining critical data and planning for data quality, fully identify and document associated automated and manual application controls and analyze whether additional controls are necessary to ensure data are complete, accurate, and reliable.

As the team started working thru this audit recommendation, we found that the scope was significantly larger than originally anticipated. Overall, the business considers almost all the data collected to be critical to their process. In July 2020 we began employing an industry recognized process for gradually rewriting a legacy application by breaking it into modules that over time modernize the system piece by piece. This approach was approved by the Child Welfare Information System Management Committee (CW-ISMC) in January of 2021.

During this process of rewriting modules of the legacy system we evaluate the related data and implement controls to ensure data are complete, accurate and reliable. CW-ISMC agreed to be the data governance body until a data governance body is officially chartered.

We have made significant progress with the implementation of our new modules for the ORCAH Documentation Guide, Family Report, Home Inquire and Person data structure, and will continue utilizing this process until all replacement modules are completed to ensure data are complete, accurate and reliable.

- Define the skills users are expected to possess in order to enter and retrieve information in OR-Kids based on their duties, develop procedures to evaluate user knowledge, and design training approaches to ensure users possess these skills.

Currently, users are assigned a user-role that provides access to system functionality based on job classification. DHS will use these existing roles as a basis for identifying and categorizing training materials to support respective user-roles and will assess the options available for assessing user knowledge and comprehension.

- Develop procedures to adjust training content and materials as needed to reflect changes to OR-Kids functionality or changes to Child Welfare practices that require changes to the use of OR-Kids.

DHS is planning to hire an analyst/technical writer to coordinate changes to training content to reflect OR-Kids and Child Welfare practice changes.

- Acquire a qualified project manager and maintain ongoing engagement with the Administration of Children and Families and Enterprise Information Services to ensure the CCWIS project remains in compliance with federal requirements and the state's IT investment oversight process.

A project manager was hired in February 2020 and is now dedicated to the CCWIS implementation effort.

5. ODHS and OHA: Statewide Single Audit Including Selected Financial Accounts and Federal Awards for the Year Ended June 30, 2019, audit #2020-14 (dated March 2020)

- Recommend management ensure year-end accrual methodologies are complete and include consideration of all relevant expenditures.

During FY21, the SFR unit has reviewed/updated every year-end procedure, including accruals, by going through them as a team so everyone understands the process and what to review.

The Office of Financial Services has also put together a group from multiple financial units to document the financial processes of each program within the sub-systems, so everyone understands the impacts and needs for accruals. This document includes the financial transactions throughout each step of the process and the year-end financial process.

We expect to continue this until all programs are completed. Lastly, we have created an accrual template for the program areas that provide the accrual estimates to use in order to clarify our needs.

- Recommend department management provide additional coding elements related to expenditure data to allow for identification of federal expenditures within the dataset and implement processes and procedures to ensure data reports accurately reflect case status and activity of the reporting period.

As of July 26, 2021, the business change request has not yet been prioritized to add the necessary data elements. Plans are to move this request forward to correct the data elements as needed.

- Recommend department management strengthen controls to ensure adherence to the department's work verification plan documentation of participation and projection of hours of participation, and to ensure data entered into the automated data processing system is accurate and complete.

Targeted reviews began in August 2020 and continue to be conducted monthly. TANF Policy created materials and conducted training for field staff on November 17, 2020 to review errors identified during the JOBS targeted reviews.

In addition to the statewide trainings, analysts attended local staff meetings to answer additional questions and discuss area specific trends with Family Coaches, Engagement Specialists and managers. Communication regarding the requirement to retain documents in the electronic or hard file has been communicated with various groups within ODHS, including contractors.

- Recommend department management strengthen controls to ensure clients benefit payments are appropriately determined.

The JOBS disqualifications and child support sanction protocols were created and uploaded onto the TANF staff tools page for staff to access. TANF Policy created materials and conducted training for field staff on September 15, 2020 regarding JOBS disqualifications and child support sanctions.

- Recommend department management coordinate resources to better maintain and more readily provide sufficient eligibility documentation.

The Self Sufficiency Program (SSP) Training unit in partnership with TANF Policy created and posted an Employability Screening (415A) training on the state iLearn website. The training is accessible for all staff.

Quality Assurance has completed the targeted reviews, communication with field staff regarding the requirements of the employability screening (415A) and child support cooperation (428A) forms has continued in various formats. Communication regarding the requirement to complete the 415A form and retain in the electronic file has been communicated with various groups within ODHS.

- Recommend management ensure the cost allocations are processed according to the federally approved cost allocation plans.

The Medicaid impact of \$36,234 was corrected with document numbers BTCC2130 through BTCC2136 with an effective date of July 14, 2019. The refund was reported to CMS on the CMS-64 FFY19 Q4. The TANF impact of \$1,824,260 was corrected with document numbers BTCC3054 through BTCC3137 with an effective date of September 8, 2019. The refund was reported to ACF on the ACF-196R Part 1 report, line 22B FFY19 Q4.

Internal controls have been strengthened and the Public Assistance Cost Allocation Plan Change Log for both DHS and OHA are reviewed on a monthly basis notating any change, the reason for the change, and the plan part and section reference. The changes accumulated over the year are reviewed prior to the annual state fiscal year submission to the Federal Department of Health and Human Services Cost Allocation Services unit to ensure alignment between the Cost Allocation System and the federally approved plans.

- Recommend department and authority management strengthen controls to perform timely eligibility redeterminations and verification of client income and ensure eligible clients are appropriately enrolled in both Medicare and Medicaid. Additionally, we recommend management provide periodic training to caseworkers to reduce the risk of administrative errors. We also recommend management correct all identified issues and reimburse the federal agency for unallowable costs.

The ONE system was implemented statewide on February 1, 2021. The ONE system requires that fields and screens be completed before an eligibility worker can advance in the system. Verifications are automated via interfaces when possible and must be reviewed. In addition, the ONE system contains a robust rule engine, and checks for correct program enrollment prior to the authorization of benefits. These systematic actions will support accurate and timely eligibility determinations now and into the future.

Additionally, the IE system implementation includes cross policy, system and advanced policy training to support staff, eligibility workers and case managers statewide. We believe this training will also assist in

ensuring we are building and developing an informed workforce with consistent knowledge of federal and state eligibility policies.

All questioned costs have been adjusted as of December 31, 2020 for this finding.

- Recommend department management review OR-Kids transaction processing and complete system modifications as appropriate to ensure proper financial reporting of program expenditures. We also recommend department management review prior year and current year transactions and reimburse the federal agency for grant expenditures claimed inappropriately.

Office of Financial Services (OFS) has developed and reviewed a process that allows us to report appropriately federal expenditures and identify the adjustments that are needed to release our federal partners from participating in expenditures that have since been reversed for various reasons. The process has been implemented as of March 2021. OFS has performed correcting entries that appropriately reflect federal funding for Appropriation Year 2021 through March 2021, as well as individual month of April 2021. This process will continue to be used on a go-forward basis.

The IV-E questioned costs of \$50,810 were corrected with document BT189872 (effective date August 11, 2020) and reported on the September 30, 2020, IV-E report. The Medicaid adjustment of \$10,577 was made with document number BT190147 (effective date August 30, 2020) and reported on line 10a in Q1 for FFY21, Audit Tracking number CIN A-10-20-60714.

- Recommend department management continue to correct known applicable child eligibility data issues in OR-Kids to ensure data used to estimate the savings in state expenditures is complete and accurate.

The three Adoption Assistance determinations with the wrong answer selection were corrected on February 14, 2020 to reflect the appropriate answer. FPR provided 'Applicable Child Only' guidance to IV-E

specialists via email in March of 2020 to ensure that they understand how to complete an Adoption Agency determination accurately. The Adoption Assistance determination batch process from case 2 to case 3 was corrected on JIRA 32928 and was released to production on April 1, 2020. The affected Adoption Assistance determinations were corrected and refinanced on JIRA 32926, 32934, and 33412. These all went into production on April 1, 2020. Adoption Report 3012 was fixed to correctly identify all eligible statuses for IV-E Adoption Assistance to include: applicable child, not applicable child, and applicable/not applicable child. The new report went into production on June 29, 2020. During Secretary of State follow-up in 2020, there was a display error identified that was caused by a field transferring incorrectly from case 2 to case 3. This error did not affect financing. A data fix was completed on January 27, 2021.

- Recommend department management review adequate support for administrative charges and revise the monitoring checklist to demonstrate that on-site monitoring of invoices is done.

The Emergency Food Assistance Program (TEFAP) – The Department is currently working with Food and Nutrition Services (FNS) partners to update three required monitoring tools for TEFAP and Commodity Supplemental Food Program (CSFP). Per federal requirements the monitoring schedule for TEFAP is one annual storage facility review and one quadrennial comprehensive review of the sub-recipient agency, OFB. The Department will make corrections and updates to the current annual storage facility review tool per Food and Nutrition Services (FNS) and Secretary of State guidance to meet the recommendation for documenting specific records reviewed during on site monitoring. The department will create and implement a quadrennial comprehensive review tool with FNS guidance and partnership. The Department will receive FNS approval on the finalized monitoring tools.

Commodity Supplemental Food Program (CSFP) – Per federal requirements the monitoring schedule for CSFP is to complete a biennial inventory and compliance review of the sub-recipient agency, OFB. The department will continue to work with Food and Nutrition Services (FNS) to update and correct the biennial monitoring tool to reflect FNS and Secretary of State guidance to meet the recommendation for documenting

specific records reviewed during on site monitoring. The Department will receive FNS approval on the finalized monitoring tools.

Due to the coronavirus pandemic original timelines and reviews were adjusted.

TEFAP – The monitoring tools have been completed and approved by FNS as of March 25, 2021. The Department plans to conduct an onsite or virtual storage facility review by the end of FFY2021 or September 30, 2021.

CSFP – The monitoring tools have been completed and approved by FNS as of March 25, 2021. The Department plans to conduct an onsite or virtual facility review by the end of FFY2021 or September 30, 2021.

6. ODHS: Oregon Should Improve Child Safety by Strengthening Child Care Background Checks and the State’s Sex Offender Registry, audit #2020-21 (dated June 2020)

- To ensure consistency and standardization, OCC and BCU propose legislation to have all childcare background checks performed by a single agency that conducts childcare provider background checks.

Senate Bill 49 has been introduced for legislative approval during the 2021 Legislative Session. Upon passage of SB49, ODHS will transfer all child care provider background checks to Oregon Department of Education’s Office of Child Care (OCC) by 2022.

- In consultation with the Oregon Department of Justice, OCC and BCU should create a consistent list of automatic disqualifying crimes to use in background check determinations for state licensed and regulated childcare providers, and periodically evaluate that list as criminal laws change. Agencies should seek clarification from the U.S. Department of Health and Human Services Office of Child Care, as needed, for act requirements.

Implementation will require collaboration between the DHS Background Check Unit (BCU), DHS Child Care Unit (CCU) and the Oregon Office of Child Care (OCC), and Oregon Department of Justice (DOJ) before proceeding to a Rules Advisory Committee (RAC) to publish permanent rules. Crime lists will be reviewed annually thereafter. ODHS is waiting on pending legislation to move the background checks over to OCC.

- OCC and BCU should work together to set the same background check requirements for all childcare providers that are at a high enough standard to protect the welfare of children. At a minimum, this should happen on a regular basis due to law changes and include determining other concerning crimes to consider, looking at trends or patterns of concerning behavior, timing of renewal and interim background checks, setting minimum age requirements, and reporting requirements.

Implementation will require collaboration between BCU, CCU and OCC, and DOJ before proceeding to RCA to publish permanent rules. Thereafter procedural and other documents will need to be updated and training on new processes provided to all pertinent BCU and OCC staff. Synchronization of practice and requirements will be reviewed annually thereafter to maintain quality control.

- Recommend OCC and BCU advocate to the U.S. Dept. of Health and Human Services Office of Child Care the need for interstate sharing of information critical in assessing childcare providers.

Conversations and advocacy for interstate data-sharing tools and processes between BCU, OCC, and the US Office of Child Care have been ongoing since early 2017. Oregon has participated in a variety of Region X teleconferences with US Office of Child Care and other states' licensing and background check agencies, as well as state police departments working toward acquiring Federal statutory data-sharing authority, as well as Federally provided tools and applications.

- Recommend OCC and BCU establish policies and procedures to share updated, pertinent information resulting from background checks on related individuals.

BCU and OCC will collaborate with DOJ and Oregon State Police (OSP) to identify what information can be shared, and what processes for that sharing are legally sufficient. BCU and OCC will enact those recommendations for data-sharing as applicable.

- Recommend OCC and BCU check the provider's address with Oregon's sex offender registry when conducting background check procedures on a provider whose home is where childcare is provided.

ODHS Child Care Policy along with Shared Services Background Check Unit (BCU), Oregon State Police (OSP) and Office of Child Care (OCC) is currently solidifying a business process to cross match child care provider addresses to OSP's Sex Offender Registry (SOR) on a monthly basis.

A business process is being developed by the Office of Information Services (OIS) to create an electronic transfer file that will be sent to OSP monthly listing current approved ODHS license-exempt provider addresses to compare with OSP's SOR database system. OSP will return via electronic file any "hits" matching SOR addresses to license-exempt approved child care providers. BCU will receive the information and gather necessary information to report any matches to Oregon Reporting Child Abuse Hotline (ORCAH) to screen and assign an investigation if appropriate.

- Recommend DHS work with OCC to regularly provide OCC with adult protective services reports.

The Office of Child Care (OCC) received statutory authority per (HB4054/2018 session) ORS 329A.030(4)(a)(A) to access state adult abuse history when individuals apply to be listed on OCC's Central Background Registry. Upon receipt of this information, Aging & People with Disabilities (APD) coordinated with OCC in October of 2018 to create the following initial process for sharing adult protective services

reports for investigations in both licensed (referred to as Facility APS investigations) and unlicensed settings (referred to as Community APS investigations):

- 1. OCC will request abuse history from APD whenever an applicant self-discloses abuse history on their application.*
- 2. APD established a central APD-APS Unit email address to send requests and created a specific contact person/gatekeeper, so OCC can send the request to one APD entity. Part of the contact person/gatekeeper's role is obtaining information from the Office of Safety, Oversight and Quality (SOQ) for information related to Facility APS investigations and combining it with any information contained in Community APS investigations for a consolidated APD response.*
- 3. The request from OCC is sent via a secure e-mail from the Oregon Department of Education (ODE) helpdesk to the APD-APS Unit mailbox with a subject line identifier "OCC Request for Adult Abuse History." The OCC request includes a cover letter requesting "Adult Abuse History" and provides an APS case number, type of abuse, date the record was closed. APD is asked to return confirmation of all substantiated cases and any details. The applicant's name, DOB and SSN are included in the cover letter as verification points.*

It is important to note that APD (in coordination with other DHS/OHA programs) implemented a new Centralized Abuse Management (CAM) System. All APD or Area Agency on Aging (AAA) offices were operational in CAM as of Jan. 1, 2019. Our gatekeeper coordinates with respective contacts in SOQ and APD to ensure all relevant systems (legacy, CAM) are queried for pertinent information to ensure a comprehensive review is completed.

DHS (including APD-APS, SOQ and the OTIS) will continue working with OCC to develop a process for sharing information necessary for OCC to perform their background checks.

- Recommend DHS have common identifiers within its abuse and neglect registries that are reliable and can be used to readily identify a person involved in a protective service allegation. DHS should collect and work with OCC to also collect those identifiers for all childcare providers. This will allow a more complete check of abuse and neglect registries.

DHS Aging and People with Disabilities (APD), in coordination with other DHS/OHA programs, implemented a new Centralized Abuse Management (CAM) System for Adult Protective Services (APS). All APD or Area Agency on Aging (AAA) offices were operational in CAM as of January 1, 2019. In addition, the Safety Oversight and Quality Office (SOQ) implemented a new Corrective Action and Licensing Management System (CALMS) as of February 18, 2020. CALMS imports information/records from CAM to SOQ that enables them to perform Licensing and Corrective Action tasks. In each system, several common identifiers exist to identify a person involved in an APS investigations and SOQ corrective action.

Examples include:

- 1. Each intake or investigation is assigned a CAM/CALMS identification number as a unique identifier.*
- 2. CAM has a global search feature that allows a user to search for an individual and any role they had in an APS intake or investigation. The roles include alleged victim, alleged perpetrator, reporter, witness, collateral contact, etc. This is another identification source that can be utilized.*
- 3. Each individual involved in an APS intake or investigation has a unique person record created in CAM that contains identifiers such as name, alias, date of birth (DOB), address, Social Security Number (SSN), as available. A person record must be created before an intake or investigation can be assigned or closed.*

APD and OTIS recognize that DOB or SSN information is not always available. It is important to note, APS is not an eligibility-based program that requires this type of identification. Investigation parties have the

right to decline APS interventions and asking for this type of identification during a case of familial type abuse could create a safety risk for a vulnerable adult.

Whenever possible, this information is included in the CAM/CALMS system or provided via other sources such as through SOQ for licensed providers. Currently, a data analysis query is being conducted by the APS Unit, QA/QI Coordinator to determine data trends for SSN and DOB numbers for both Community and Facility APS settings. The data analysis will be shared with Field Administration and respective offices for a quality improvement plan. Early results from the data query show a modest improvement in this area of data collection.

OTIS investigations similarly are using CAM and will review data capture for these common identifiers.

Child Welfare (CW) consistently requests identifying information, such as: name, DOB, address and SSN numbers. Like APS, child protective services (CPS) is not an eligibility-based program that requires this type of identification. Case participants have the right to decline providing this type of information during the investigation phase and even when a case is opened for services. When the information is available, it is added to the CW case record and is searchable.

CW and OTIS have developed business processes that facilitate the entry of OTIS investigations into the OR-Kids system for enhanced tracking of perpetrators and individuals involved in investigations. In terms of working with OCC to collect common identifiers, there are notable privacy and security issues with gathering and storing sensitive information such as SSNs. Establishing data-sharing with DHS protective services for OCC-collected Employment Identification Numbers (EINs) or Social Security Numbers (SSNs), and other common identifiers would require review by DOJ to establish what could be requested and shared between parties while remaining legally sufficient.

Secure methods of sharing the information would need to be implemented. Data-sharing would also need to include data integrity procedures to ensure that fraudulent or incorrect information (ex., incorrect SSNs) was not being added to protective service records. Likewise, even correct information would need to be cross matched accurately to the correct APS or CPS files. Erroneous or incorrectly matched information could create false negatives or false positives that would erode the integrity of the background check process as well as protective service records.

- Recommend DHS regularly check department employees for criminal convictions and involvement in founded abuse and neglect allegations.

ODHS has implemented a process whereby the agency conducts criminal background checks for employees new to the agency upon employee transfers, promotions and re-employments. In addition, the ODHS Background Check Unit receives notification from law enforcement and the courts when a ODHS employee is arrested or charged upon which time the employee is required to complete a criminal background check.

7. ODHS: Oregon Can More Effectively Use Family Services to Limit Foster Care and Keep Children Safely at Home, audit #2020-26 (dated July 2020)

- Establish collaboration protocols with partner divisions and agencies that set common goals, procedures, and timelines for action on Child Welfare referrals and at the front end of open cases.

DHS Child Welfare has already begun this work with the Office of Developmental Disabilities Services, working with the young people in foster care who experience temporary lodging.

DHS Child Welfare will continue the work of identifying additional opportunities to develop collaboration protocols to set common goals, procedures, and timelines for action on Child Welfare referrals.

- Use data analysis and input from staff, parents, and other stakeholders to identify the types of services and providers that are most successful and cost-efficient, including alternatives for improving front-end family engagement, service coordination, and safety services.
 - a. Provide ORRAI with enough capacity to credibly evaluate service outcomes and staffing needs, identify the most effective services, and conduct outreach to help districts improve performance management.

The Office of Reporting, Research, Analytics and Implementation (ORRAI) will first need to determine if there is enough data for an evaluation, then complete program evaluation/service effectiveness for each program/service. The second step will be to automate the evaluation and determine the population best served by the program. The final step is running the models by individual/family, to determine the most appropriate program/service for optimal outcome. Partners will be included to provide information about program, data, focused services, etc.

This is a multi-phased effort that begins with service effectiveness through program evaluation and service matching and will require automation to be effective. The entire process would take 2-3 years if started immediately.

It is also important to note that this recommendation is dependent on fiscal and staffing resources that are currently not available. Budget restrictions in the wake of Covid-19 may require the target date for this recommendation to be adjusted.

- Identify and implement alternatives to reduce caseworker workload. Potential alternatives include reducing time spent on data entry and other administrative activities and making case procedures more accessible and user friendly.

In collaboration with partners, youth and parent mentors, Child Welfare has developed a new Family Report that significantly reduces workload to caseworkers. The new Family Report combines the case plan and reports to the juvenile court and legal parties, two very lengthy documents.

The Child Welfare Policy Unit is currently analyzing the structure, accessibility and usefulness of the Child Welfare Procedure Manual. Since March 2020, Child Welfare has convened several workgroups that include field staff and central office policy staff, to document the business process flow for a journey through child welfare involvement. This information is being used to identify and inform procedural updates that create more efficiency in practice to then be reflected in the Procedure Manual. Revisions to the Child Welfare Procedure Manual are on track for implementation within the next year.

Additionally, DHS Child Welfare will analyze work assignments to caseworkers to determine whether there is opportunity for using case aides in a consistent manner.

- Develop contract measures at the district and central office level that set goals for provider timeliness, access, quality, and reporting of overall performance. Set clear performance management guidelines for contract administrators.

The Child Welfare Contracts Team, in collaboration with district level contract administrators, will develop a charter or work agreement that establishes goals for consistent quality, performance management and overall performance.

- Work with contracted providers to develop diverse delivery options that address service gaps in rural areas and other underserved areas, such as delivering services online or virtually when appropriate.

DHS Child Welfare recognizes the benefits in delivering some services online and virtually especially in the wake of the COVID-19 global pandemic. Ongoing, the Child Welfare Contracts Team will request contracted providers to

consider enhancing service delivery options that include implementing online or virtual options to address service gaps.

It should also be noted that not all services are effective through online or virtual settings. Contracted providers and the clients they serve have varying degrees of access, skill, and infrastructure to support consistent and effective service provision and participation through online or virtual services.

- Work with OHA, CCOs, and other stakeholders to quantify needs for mental health and addiction treatment services in underserved areas, ensure adequate coverage, and establish data sharing for CCO-provided services in Child Welfare cases. Also work with OHA to develop publicly reported CCO performance metrics that tie to Family First goals.

The Oregon Health Authority policy advisor to the Child Welfare Executive Leadership is convening a Medicaid/Child Welfare work group. That work group will be taking on implementing each component of this recommendation.

- Ensure that ORRAI's efforts to account for racial bias receive an independent review, either through peer-reviewed studies or commissioned experts.

Work with OHA, CCOs, and other stakeholders to quantify needs for mental health and addiction treatment services in underserved areas, ensure adequate coverage, and establish data sharing for CCO-provided services in Child Welfare cases. Also work with OHA to develop publicly reported CCO performance metrics that tie to Family First goals.

- Incorporate detailed information on services for CIRT team evaluation of CIRT cases, including whether key services within or outside Child Welfare were effective or available.

The Child Fatality Prevention and Review Program will take immediate steps to incorporate changes to the case file summary template to prompt the gathering of detailed information about services provided by or outside the agency, and whether they were available and effective. In addition, service discussion will be added to the CIRT meeting agenda to ensure detailed information on services will be provided and discussed during the CIRT meeting. These changes can be implemented within the next few months.

While availability of service is fairly simple to determine, determining effectiveness of services is nearly impossible to do without a robust program evaluation criterion. In Recommendation 2, ORRAI is identifying nearly 3 years needed to develop and implement a process that determines effective and cost-efficient services.

- Provide biennial reports to state leadership and policymakers on service access, availability, and effectiveness throughout the state, drawing on improved performance information.

Child Welfare submits an Annual Progress and Services Report (APSR) to the Children's Bureau. The APSR is a narrative report on progress made towards meeting each goal and objective approved in the 5-Year Plan/Child and Family Services Plan (CFSP). It documents changes in goals and objectives and narrates a description of the services to be provided in the coming year, as well as other program information required by the federal Program Instruction. These reports are submitted to the Governor's office for approval prior to submission to Children's Bureau. Upon approval from the Children's Bureau, the report will be shared with key legislators on House and Senate Human services committees and posted to the DHS website.

- Incorporate the previous recommendations into development of the new five-year Family First prevention plan for ongoing inclusion in periodic Child and Family Services plans.

While many of the recommendations will naturally contribute to the Family First prevention plan, the previous three recommendations are outside of the scope of the Federal Program Instructions for the Family First State Plan. The

charter guiding the Family First Prevention Plan work addresses the remaining recommendations as part of implementation.

8. ODHS and OHA: Statewide Single Audit Including Selected Financial Accounts and Federal Awards for the Year Ended June 30, 2020, audit #2021-13 (dated April 2021)

- Recommend management ensure transaction review is adequate and includes examination of proper and complete coding, accounting periods, and supporting documentation.

The Office of Financial Services has reviewed and updated all year-end procedures and is engaged with staff for more accurate accrual data.

- Recommend management strengthen year-end review procedures to ensure necessary system processing has occurred, and account balances are reasonable and properly classified.

Year-end methodologies have been reviewed and we continue to engage closely with the staff providing year-end transaction details to educate on the importance of accurate estimates. The MMIS contractor has made the FMAP rate updates from 2020 at this time.

- Recommend the department's office of information services ensure systems used for preparing the ACF-199 and ACF-209 reports provide the coding elements necessary for accurate and complete reporting in compliance with requirements. We recommend program management ensure performance data reports submitted are complete and accurate.

Policy and business analysts in partnership with system experts have continued to work through the ACF-199 and ACF-209 federal instructions and system business requirements in ONE to ensure the data reporting is complete and accurate. Through this process, work items have been logged, prioritized, and

implemented to make corrections in the system. This group will continue to review business requirements and submit work item requests as errors are identified.

- Recommend TANF program management ensure the work participation rate is calculated appropriately using verified and accurate participation data in adherence with the department's Work Verification Plan. We recommend program management review their system of controls and identify where improvements are needed to ensure compliance with the work verification plan.

Policy has updated the JOBS Activity Guide (JAG) to align with the Work Verification Plan (WVP) and eliminate discrepancies. An updated WVP has been submitted to ACF, Oregon is awaiting approval. Changes made to the WVP allow for greater flexibility in attendance reporting while adhering to the federal requirements. It is anticipated this will help increase accuracy.

Policy in partnership with Design and Implementation will utilize a focus group of Engagement Specialists to identify the training necessary in the field to ensure adherence. Focus groups will be completed by July of 2021. Focus group findings will guide, policy, training unit and Design and Implementation around the specific training(s) to Engagement Specialists to serve as the subject matter experts at the local level. In addition, Engagement Specialists will provide support to Family Coaches and Case Aids to ensure documentation and hours entered are accurate. In addition to this the Self-Sufficiency Training Unit will launch new virtual training options specific to entering attendance, documentation, and plan building.

Policy in partnership with district JOBS contract administrators will create a checklist for contractors who are responsible for obtaining and entering JOBS attendance into the system. The checklist will provide instructions on documentation requirements to ensure the documentation and hours entered are accurate. Policy will provide technical assistance to JOBS contractors along with district JOBS contract administrators to review and provide the checklist.

- Recommend program management ensure client benefit payments are correctly calculated, paid on behalf of eligible individuals, and documentation is maintained to support eligibility decisions and benefit calculations. We also recommend program management correct the identified cases and reimburse the federal agency for any amounts claimed for ineligible cases.

Oregon's new ONE system retains a record of applicants' agreement to cooperate with child support. It is a mandatory question in data collection, requiring that staff review the requirement with applicants and check yes, they agree or no, with the reason. ONE then determines appropriate eligibility.

Currently, ONE screens have a mandatory field indicating the employability screening has been completed for those mandatory to meet the requirement. A change request has been submitted to add the employability screening questions directly into ONE as mandatory field. Until the change request is prioritized and implemented, an operations process document has been created for staff which outlines the process to complete the form and upload into the ONE system.

The ONE system reads the TANF time limits for each recipient and removes individuals from the grant once they meet the 60-month time limit. ONE appropriately determines the funding stream for individuals who have exceeded 60 federal months, no longer requiring a manual funding adjustment by Office of Financial Services. Furthermore, when a hardship is granted in ONE, the system recognizes the hardship end date and removes the individual from the grant.

ONE requires basic information for all household members, benefits cannot be authorized until all required information is provided, the system then determines the benefit amount based on entire household composition for no-adult cases. Targeted communication has been sent to field staff who determine eligibility explaining the minimum required information and the importance of ensuring all household members are added to the case.

Policy will review the cases cited and make an appropriate referral to the Overpayment Recovery Unit, then the IE/JV subsystem will set up the overpayment and adjust the expenditures on the TANF federal grant based on the referral. Overpayments recouped can then be adjusted by Office of Financial Services and put back towards the TANF program rather than reimbursing, per instructions outlined in TANF-ACF-PI-2006-03.

- Recommend program management ensure eligibility re-determinations are completed timely.

Child Welfare reviewed and corrected the identified cases. This topic is covered in initial training for all Federal Revenue Specialists. It has also been addressed in annual ongoing training summits and in direct communications to all Federal Revenue Specialists. The Eligibility Program Specialist is providing ongoing training and support to all Federal Revenue Specialist staff. A reminder was sent out on April 26, 2021 to all Federal Revenue Specialists emphasizing the TANF anniversary determination requirements. As of March 2021, Child Welfare has implemented monthly eligibility reviews to help ensure that re-determinations are completed timely. Additionally, on May 12, 2021, an eligibility procedure manual update was sent to all federal revenue specialists which included more emphasis around the 30-day requirement.

- Recommend department management strengthen existing controls by implementing procedures that include review of financial records supporting expenditures submitted for reimbursement.

The Office of Aging and People with Disabilities Community Services and Supports Unit management has developed a plan and process to meet the Secretary of State requirements. We have shared that information and expectation with the Area Agencies on Aging (AAA). The new process will be used during the AAA contract and fiscal audit that occurs in November of each year. We will complete half of the AAAs each year starting in November 2021. All of the AAAs reviews will be completed by November 2022 for this biennium.

- Recommend department and authority management strengthen controls to perform timely eligibility redeterminations and provide periodic training to caseworkers to reduce the risk of administrative errors. We also recommend management implement corrections in the ONE system to address the weaknesses identified in verifying income. Management should also review the entire duration of the claim identified to determine if there are additional questioned costs from previous years. Additionally, management should reimburse the federal agency for unallowable costs.

The Department is committed to providing timely benefits to only those individuals who are appropriately determined eligible. The Department has taken positive steps since 2016 to continuously improve and automate reporting capabilities for tracking and remediating untimely Medicaid redeterminations, including the successful implementation of the new Integrated Eligibility (IE) system, named “ONE” in February 2021. This new system provides improved client eligibility controls specifically related to timeliness of determinations, correct enrollment, automated notification of redeterminations and subsequently, actions to close eligibility if necessary, along with electronic retention of eligibility data elements such as signed applications. With implementation of ONE and as we move the rest of the cases into ONE over the next year of redeterminations., we expect the errors associated with these areas to be reduced.

The Department has collaborated across OHA and ODHS programs to develop a combined eligibility manual that incorporates all relevant policy and process for determining eligibility for the medical benefits contained in the IE system. This allows our eligibility workers and case managers in the local offices an upgraded tool and a singular resource that allows us to work collaboratively in our efforts to better serve and be good stewards to Oregonians. We anticipate releasing this in July 2021.

In addition, new program and system training has been developed and deployed collaboratively across OHA and ODHS programs to ensure new and existing eligibility staff are trained sufficiently in the ONE system and all programs contained therein. The department and authority are committed to providing training and guidance to staff to ensure information related to an eligibility determination, that is not captured by the ONE system, will be include in the individual’s case record. The department will review and update any

existing training material as needed and send a communication to staff highlighting the importance of recording any information related to the eligibility decision, that is not already captured by ONE.

The authority has submitted a change request to update the logic used by the ONE system to determine whether income information received by the Federal Data Services Hub is reasonably compatible with information contained within a case record. Additionally, the authority will review the identified individual's case and reimburse the federal agency for any questioned costs for the duration of the claim.

- Recommend authority management strengthen controls to ensure documentation supporting a provider's eligibility determination and revalidation is retained. Additionally, we recommend management review the automated processes to ensure databases are checked timely.

As of June 30, 2021, the state had addressed all bullet points noted above and obtained the missing managing employee information, new disclosure statements or new enrollment agreements for all providers in the sample with one provider being inactivated who failed to respond. New enrollment agreements and provider disclosure documents for revalidating providers are now required.

Since April 2019, the State has been running monthly missed validation reports for newly enrolled or revalidated providers to ensure missed validations are completed.

- Recommend department management review OR-Kids transaction processing and complete system modifications as appropriate to ensure proper financial reporting of program expenditures. We also recommend department management review prior year and current year transactions and reimburse the federal agency for grant expenditures claimed inappropriately.

Office of Financial Services (OFS) has developed and reviewed a process that allows us to report appropriately federal expenditures and identify the adjustments that are needed to release our federal

partners from participating in expenditures that have since been reversed for various reasons. The process has been implemented as of March 2021. OFS has performed correcting entries that appropriately reflect federal funding for appropriation year 2021 through March 2021, as well as the individual month of April 2021. This process will continue to be used on a go-forward basis.

Questioned costs for Foster Care and TANF have been corrected with document BTCL9104 entered on April 12, 2021. The adjustments are being reported on Q3 of FFY2021.

- Recommend department management ensure a client's monthly copay and childcare hours are correctly calculated, and provider addresses are updated timely. In addition, in situations with multiple providers, the department should seek reimbursement from a client when the client copay is not met as the primary provider did not provide care. We also recommend department management reimburse the federal agency for unallowable costs.

ODHS agrees with this recommendation and plans on the following corrective actions.

- *Child Care Program will issue a policy transmittal to all staff determining ERDC eligibility providing information on the importance of calculating both childcare hours and copay correctly based on current Family Service Guide's instruction.*
- *Direct Pay Unit (DPU) manager and lead will provide a refresher training to DPU representatives to update provider address information correctly.*
- *DPU will review the uncollected copay report monthly to ensure processes are in place for copays to be collected each month. In addition, a refresher training for DPU representatives to issue billing forms with copays correctly.*
- *Child Care Program will provide case findings information to the Office of Payment and Accuracy and Recovery (OPAR) for recoupment purposes.*

- *Questioned costs of \$10,241 was corrected with document BT195015 on May 11, 2021. Since the correction was backfilled with other qualifying expenditures of the same amount, the agency's federal reports remain unchanged and ACF will not see an actual refund.*
- Recommend department management extend its retention policies for a sufficient length of time to ensure the department and auditors can verify federal awards are necessary and reasonable. In addition, the department should review all incentive payments made to providers to ensure duplicate payments have been identified and reimburse the federal agency for all improper costs.

ODHS agrees with this recommendation and plans on the following corrective actions.

- *Provider log retention guidelines are aligned with Early Learning Department/Office of Child Care (ELD/OCC) for twelve months. Program will consult with lead agency ELD/OCC for consideration of extending provider log retention periods.*
- *Direct Pay Unit (DPU) will identify all incentive duplicate payments sent to the Office of Payment Accuracy and Recovery (OPAR) for recoupment efforts. DPU manager will provide program a spread sheet of all over payment referrals sent from the incentive payment program.*
- *Questioned costs of \$12,250 was corrected with document BT195015 on May 11, 2021. Since the correction was backfilled with other qualifying expenditures of the same amount, the agency's federal reports remain unchanged and ACF will not see an actual refund.*
- Recommend department management implement controls to ensure actions listed in Oregon's CCDF State Plan are accurate and occurring. We also recommend department management timely investigate its fraud referral cases in order to recover improper payments.

Child Care Program is requesting a quarterly report from the Fraud Investigations Unit (FIU) with status updates on fraud investigation involving childcare providers receiving subsidy payments on behalf of

families eligible for ERDC benefits and ensure appropriate referrals are sent to OPAR for recoupment of improper payments. Program is in conversations with FIU manager to plan meeting to further discuss the request and set a process.

- Recommend department management review policies and procedures surrounding documentation and approval of transactions, and provide additional staff training on processes involved, including verification of signature authority during the invoice review process.

Vocational Rehabilitation (VR) Management agrees with the finding and will take the following corrective actions:

- a. Reviewing Delegated Signature Authority forms and delegation for all VR staff.*
- b. Restructuring sub-delegations and updating form MSC 0286 for all VR staff.*
- c. Train VR employees on policy and procedure related to Delegated Signature Authority.*

9. ODHS: Developmental Disabilities Leadership is Proactively Addressing Program Challenges to Ensure Optimal Service Delivery, audit #2021-24 (dated August 2021)

- Assign staff, either through staff re-assignment or a request from the Legislature, that would be dedicated to complaint handling.

The Office of Developmental Disabilities Services (ODDS) will request a position to oversee this work during the 2023-2025 legislative session. If approved, ODDS will move forward with hiring a staff to oversee the complaint process. ODDS will be mindful of the need for a dedicated position and will continue

to assess opportunities to reassign staff in the meantime. The target date to complete implementation activities is Fall of 2023.

- Create written policies and procedures to address:
 - a. Formal complaints as defined by administrative rules.
 - b. All other inquiries that do not fall under the administrative rules definitions but are received by complaint staff.

The Office of Developmental Disabilities Services (ODDS) has initiated discussions regarding formal and informal complaints. ODDS will hold stakeholder calls and gather input and feedback prior to the summer of 2022 in order to file rule amendments. ODDS is also working with Office of Information and Security to adjust the database that holds complaint details. The adjustments will align with the recommendations such that formal complaints are clearly identified and non-complaints are filed and tracked separately. The target date to complete implementation activities is July of 2022.

- Train and make users aware of the complaint process and its purpose and value during the required case management contacts with individuals receiving services.

The Office of Developmental Disabilities Services (ODDS) provides training to case management offices that request the training or when it is identified that complaints are not being processed according to administrative rules. Following the rule amendments, ODDS will provide additional training related to the clarification of formal and informal complaints, expectations for case managers to discuss the option of filing complaints as well as how case management offices respond to complaints. The target date to complete implementation activities is September of 2022.

- Educate care providers about, and require case managers to discuss, ad hoc service hour increases with individuals during the annual review of rights and during the case management contacts with individuals to remind them of the opportunity to participate in meetings and advisory groups.

The Office of Developmental Disabilities Services (ODDS) will add language to the Case Management rule requiring case managers to remind individuals of the opportunity to engage in advocacy at least annually, with the annual review of rights. ODDS will also continue to train case managers to review the individual's ability to request an exception for additional service hours to meet their assessed needs, including service hours to receive support during advocacy activities. ODDS will incorporate this requirement to discuss advocacy opportunities and supports needed for individual to engage in advocacy to case managers training and will issue guidance to case managers and providers around this issue. The target date to complete implementation activities is January of 2023.

- Increase participation by individuals with I/DD and their families in advisory groups or agency meetings by providing consistent resources to improve accessibility for participating in process improvement such as:
 - a. Accessibility for individuals to attend meetings such as transportation,
 - b. Live streaming meetings with video recordings and captions,
 - c. Increasing notification requirements,

- d. Varying times of day for meetings, and providing support staff to help individuals ask questions and repeat information.
 - a. *Individuals receiving services already have ability to use Medicaid funded transportation services to access advocacy activities, exceptions to increase benefit limits can be granted if there is additional need. With implementation of the new rate model for transportation in July 2022, ODDS hopes to increase provider capacity to provide transportation. Additionally, ODDS has requested to use a portion of ARPA funding to explore creative ways to access transportation resources in the community. ODDS will be working with transportation experts to explore creative types of transportation by the end of 2022.*
 - b. *ODDS is exploring ways to make meetings more accessible in how they are structured, paced, facilitated and what types of supports can be provided during meetings (also including, but not limited to interpretation, live captioning, graphic facilitation, etc.). ODDS will expand these practices to enhance individuals and family member participation in meetings, workgroups and other advocacy opportunities.*
 - c. *ODDS will work, with stakeholder input, to develop ways to increase notification requirements, including providing advance notices and making notifications available in at least five major languages (and other modes upon request).*
 - d. *ODDS has conducted some meetings during various times or by offering scheduling options, including lunch hours, or after work hours to accommodate individual and family schedules. ODDS will continue to expand this practice to accommodate varying schedules when engaging self-advocates and family members.*
 - e. *Individuals have ability to use their paid support staff to support them during*

advocacy activities.

The target date to complete implementation activities is the end of 2022.

- Engage directly with organizations dedicated to a diverse group of people to invite members to participate in ODDS committees and workgroups or when gathering input for process improvements.

The Office of Developmental Disabilities Services (ODDS) is committed to community relationship development and included this as one of six priority areas in its Service Equity Plan. ODDS will continue and expand its community engagement efforts in collaboration with the Office of Equity and Multicultural Services (OEMS). ODDS is currently moving its Service Equity plan forward, and through this effort will identify and prioritize specific actions and projects related to community engagement. ODDS is working to hire an ODDS Equity and Inclusion Manager, who will assist ODDS Leadership in spearheading the work to build direct relationships with diverse groups and engage them in providing ongoing input in the policy making process. One example of the ongoing effort is ODDS' ongoing dialog with the Spanish Speaking Family leaders' group, Tribal outreach efforts and others. The target date to complete implementation activities is the end of 2022.

**Secretary of State Audits
Current Status of ODHS Audits
September 30, 2021**

Ongoing Audits	Scope
SOS 2021 Single Statewide Audit - Financial	<p>Audit of the State of Oregon's financial statements and related note disclosures included in the Comprehensive Annual Financial Report (CAFR) including report on internal control over financial reporting and compliance with laws, regulations and provisions of contract or grant agreements. Audit work will be performed for both ODHS and OHA and testing to include financial accounts that are material to the State of Oregon's financial statements. Audit work expected to be completed by October 2021.</p>
SOS 2021 Single Statewide Audit -SNAP Cluster	<p>Federal compliance audit for the Statewide Single Audit Report to determine if the federal program complied with the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Interim audit work to be conducted in Spring 2021 and completed in Fall 2021. Federal reporting deadline is March 31, 2022.</p>
SOS 2021 Single Statewide Audit - Coronavirus Relief fund	<p>Federal compliance audit for the Statewide Single Audit Report to determine if the federal program (CFDA 21.019) complied with the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Interim audit work to be conducted in Spring 2021 and completed in Fall 2021. Federal reporting deadline is March 31, 2022.</p>
SOS 2021 Single Statewide Audit -Medicaid	<p>Federal compliance audit for the Statewide Single Audit Report to determine if the federal program complied with the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Fieldwork is expected to commence in November 2021.</p>

ODHS Program Eligibility Requirements 2020

	Child Welfare (CW)	Intellectual and/or Developmental Disabilities (I/DD)*	Aging and People with Disabilities - Medicare Savings Programs (APD)	Long-Term Care (LTC - within APD)	Adult Protective Services (APS)	Vocational Rehab Services (VR)	Employment Related Day Care (ERDC)	Temporary Assistance for Needy Families (TANF)	Supplemental Nutrition Assistance Program (SNAP)
Age	0-18, 18 - 21st birthday if in Foster Care prior to age 18.	All Ages	Any age with Medicare	65 or older or disabled N/A- (ACA Expansion Population)	65 or older or disabled	16 and older (can be down to age 14 if appropriate)	Children 0 - 12 years. Children with documented special needs are served through the age of 17.	Serves families with children up to age 17 and through age 18 if the child is in secondary school or an equivalent program full time.	All ages. Certain groups must apply together if in same household including: those who purchase and prepare together, spouses, adults who have children in common, children under the age of 22 living with parents, and children under 18 who are under parental control within household.
Disability	N/A	<u>Age 0-7:</u> 1) standardized testing verifying significant impairment; or 2) medical stmt w/diagnosis of neurological condition that will likely cause significant impairment in two or more areas of adaptive behavior. <u>School-age children and adults:</u> Significant impairment in adaptive behavior caused by: 1) intellectual disability present prior to age 18 (IQ 75 or below); or a neurological condition, prior to age 22 and expected to last indefinitely, that originates in and directly affects the brain. <u>All age groups:</u> impairment cannot be primarily related to an excluded condition, including, but not limited to, a mental or emotional disorder, sensory impairment, substance abuse, personality disorder, learning disability or attention deficit hyperactivity disorder.	N/A	SSA determination of blindness or disability	SSA determination of blindness or disability	Must have a physical or mental impairment that constitutes a substantial impediment to work that requires vocational rehabilitation services to obtain, maintain, regain and advance in employment. The presumption is that employment is the applicants objective.	Higher child care reimbursement rates may be available for children with documented special needs.	N/A	SSA determination of blindness or disability. Disability exempts ABAWDs from having to meet work requirements, makes students of higher education SNAP eligible, qualifies household for medical deductions and removes shelter cap on cases.
Citizenship	N/A	Must be a citizen or meet non-citizen requirements.	Must be a citizen or meet non-citizen status requirements.	Must be a citizen or meet non-citizen status requirements.	N/A	Must meet I-9 Federal Requirements to work in the United States.	Must be a citizen or meet non-citizen requirements.	Must be a citizen, qualified non-citizen, or other specific unqualified non-citizen.	Must be a citizen or meet non-citizen requirements.
Residency	N/A	Must be a resident of Oregon. For applicants under 18, legal guardian must be resident of Oregon.	Must be resident of Oregon	Must be a resident of Oregon	N/A	Must meet I-9 Federal Requirements to work in the United States.	Must be a resident of Oregon.	Must be a resident of Oregon	Must be resident of Oregon
Income	N/A	<u>In-home waiver services:</u> Oregon Supplemental Income Program – Medical (OSIPM) income limits; generally, the countable income limit is 300% of the full SSI standard for a single individual. <u>In-home k-plan services:</u> OHP MAGI-based income methodologies are used; up to 133% FPL. <u>Case mgmt only:</u> N/A.	\$1005-\$1357	\$735-\$2205	N/A	N/A	Current income must be no more than 185% of the federal poverty level	Income must meet income and payment standards. Income limits vary by family size, but in general current income must be no more than 37% of the federal poverty level for initial certifications for a family of three. To meet ongoing, the same family must be no more than 60% of the federal poverty level.	Most households must have gross income below 185% of the federal poverty level to be eligible for SNAP. Services are based upon income received in past 30 days.
Asset/Resource Limits	N/A	OSIPM: \$2000 (1-person need group) - \$3,000 (2-person need group).	N/A	\$2,000 - \$3,000 (categorical) N/A- (ACA Expansion Population)	N/A	N/A	Cannot exceed \$1,000,000.	Applicant resource limit \$2,500. Recipient's resource limit \$10,000. Allows a motor vehicle exclusion up to \$10,000.	There is a \$25,000 liquid asset test for households to meet categorical eligibility. All households that do not meet categorical eligibility must meet a \$2250 resource limit unless an elderly or disabled member is in the household—then the resource limit is \$3250.

	Child Welfare (CW)	Intellectual and/or Developmental Disabilities (I/DD)*	Aging and People with Disabilities - Medicare Savings Programs (APD)	Long-Term Care (LTC - within APD)	Adult Protective Services (APS)	Vocational Rehab Services (VR)	Employment Related Day Care (ERDC)	Temporary Assistance for Needy Families (TANF)	Supplemental Nutrition Assistance Program (SNAP)
Other	N/A	Needs assessment and authorized individual support plan.	N/A	Must meet service priority levels from 1 - 13: Individuals with the most impairments are assessed at a higher priority level. For example, individuals at level 1 have a higher level of need than an individual at level 13.	N/A	Youth age 14 can be eligible for VR services while participating in Transition activities coordinated by school districts.	N/A	Family must include one child or pregnant individual. Child only case must be under the age of 18 or under the age of 19 and in secondary school or equivalent program full time.	Able-Bodied Adults Without Dependents (ABAWDs) are adults ages 18-49 who don't have children in the home and must meet work requirements to be eligible for SNAP in non-waived counties, unless they meet an exemption. Qualified non-citizens are only eligible when additional criteria is met or when a special status such as Refugee or Trafficking is applicable.

***Intellectual/Developmental Disabilities**

In order to access DHS I/DD Services, individuals must meet one of the assessment/diagnosis requirements. For all other programs, all requirements must be met.

<p style="text-align: center;">Office of Facilities Management Facilities Proposal Impact on Workspace for 2021 - 2023</p>			
<p style="text-align: center;">Oregon Department of Human Services Major Projects Summary</p>			
		<p style="text-align: center;">2021 – 2023 BIENNIUM</p>	
<p style="text-align: center;">Priority</p>	<p style="text-align: center;">Project (Programs)</p>	<p style="text-align: center;">Estimate</p>	<p style="text-align: center;">Closing/Comments</p>
	Lane County – Multi-Service Building (CW, SSP, VR)	\$1,500,000	Close 3 current Eugene office locations at: <ul style="list-style-type: none"> • 1899 Willamette St • 2101 W 11th Ave • 2885 Chad Dr Consolidate into a single multi-service building.
	Gresham Multi-Service Building (CW, SSP)	\$1,700,000	Closing building at 355 NW Division, purchase of systems furniture and moving costs.
	Klamath Falls Multi-Service Building (CW, SSP, APD)	\$1,800,000	Closing 4 buildings at: <ul style="list-style-type: none"> • 509 Commercial St. • 710 Klamath Ave. • 714 Main St. • 801 Oak St. Purchase of systems furniture and moving costs.
	North Clackamas Expansion (CW, SSP)	\$500,000	Close 1 current building at 16440 SE 82 nd and relocate to larger facility. Purchase of systems furniture and moving costs.
	Field Offices Carpet Replacement	\$750,000	Includes furniture lifts, moving costs, carpet costs.
	Total:	\$ 6,250,000	
<p>Note: Lane County (Eugene) Business Case approved by the ODHS Facilities Committee prior to Dept. of Administrative Services proposal to consolidate into a multi-agency, state property. Clackamas County expansion Business Case approved by the ODHS Facilities Committee. Klamath Falls and Gresham Build-to-Suit locations are currently <i>estimated</i> to be ready for agency move in/commencement: <i>February 2022</i>.</p>			

Oregon Department of Human Services Gender Equity Report

The Oregon Department of Human Services (ODHS) submits this report as required by ORS 417.270 (Equal Access to Appropriate Services for Girls and Boys) to report on our progress and plans in achieving equal access to appropriate services for males and females under age 18.

ODHS supports equal access to appropriate services for females and males under 18 years of age. While ODHS works to align with mandated binary gender reporting, we recognize that biological, mental and emotional traits shape gender. It is also to be acknowledged that gender exists past the binary (male and female) on a continuum and spectrum. Budgetary information supporting this program is provided below:

Gender Equity Report 19-21 Child Welfare Budget

	2019 CW Databook		Total Fund	19-21 LAB Budget	
	Male	Female		Male	Female
Foster Care	48.5%	51.5%	\$45,971,704	\$22,276,474	\$23,695,230
Adoptions Finalized	50.7%	49.3%	\$395,604,078	\$200,618,179	\$194,985,899
Child Abuse/Neglect Safety	49.8%	50.2%	\$182,093,401	\$90,667,655	\$91,425,746
Child Welfare Average	49.5%	50.5%	\$623,669,183	\$308,542,184	\$315,126,999

During the last biennium, Programs worked to implement the policy by taking the following steps:

- The Office of Contracts and Procurement (OC&P) gender equity within ODHS contracts, including, when applicable, ODHS requests for proposals:
- Nondiscrimination in all contracts.
 - a. The Contractor must provide services to ODHS clients without regard to race, religion, national origin, sex, age, marital status, sexual orientation, or disability (as defined under the Americans with Disabilities Act). Contracted services must reasonably accommodate the cultural, language, and other special needs of clients.
 - b. The Contractor certifies that Contractor has a written policy and practice that meets the requirements described in ORS 279A.112 for preventing sexual harassment, sexual assault, and discrimination against employees who are members of a protected class. Contractor agrees, as a material term of this Contract, to maintain such policy and practice in force during the entire Contract term.
 - c. As required by ORS 279B.235, the Contractor must comply with ORS 652.220 and shall not unlawfully discriminate against any of Contractor’s employees in the payment of wages or other compensation for work of comparable character based on an employee’s membership in a protected class. “Protected class” means a group of persons distinguished by race, color, religion, sex, sexual orientation, national origin, marital status, veteran status, disability, or age. Contractor’s compliance with this Section constitutes a material element of this Contract and a failure to comply constitutes a breach that entitles ODHS to terminate this Contract for cause.
 - d. The Contractor may not prohibit any of Contractor’s employees from discussing the employee’s rate of wage, salary, benefits, or other compensation with another employee or another person. Contractor may not retaliate against an employee who discusses the employee’s rate of wage, salary, benefits, or other compensation with another employee or another person.

- The standard language in ODHS personal services contracts has been updated to read: “Contractor shall provide equal access to covered services for both males and females under 18 years of age, including access to appropriate facilities, services and treatment to achieve the policy in ORS 417.270.”
- Providing training to new contracts’ staff and updating the rest of the staff on contracts and solicitations into which gender-specific services provisions were incorporated.
- Continuing to review and provide feedback to contracted Behavioral Rehabilitation Services (BRS) shelter or residential treatment programs regarding their ability to provide services that are gender specific.
- Continuing to raise awareness with staff and providers through meetings to discuss and understand what gender-specific services mean.
- Tracking current male/female ratios in all licensed child facilities and encouraging providers to participate in the Licensed Child Placing Agencies program review for assessment and monitoring.
- Program participation in the National Youth in Transition Database tracking program.
- Child Welfare continues to be engaged with the Coalition of Advocates for Equal Access for Girls by:
 - Referring staff, community programs and inquiries to explore the website for Coalition of Advocates for Equal Access for Girls <http://equalaccessforgirls.org>.
 - [Including Equal Access for Girls representation on the Child Welfare Advisory Committee.](#)

Child Permanency Program

In compliance with ORS 417.270, the Child Permanency Program in the Office of Child Welfare Programs includes in all service contracts the requirement that the contractor shall provide equal access to covered services for both males and females under 18 years of age, including access to appropriate facilities, services, and treatment. In addition, all contracts include a nondiscrimination clause that states the Contractor must provide services to

ODHS clients without regard to race, religion, national origin, sex, age, marital status, sexual orientation, or disability. The Child Permanency Program has, on occasion, denied a contract based on the inability of the contractor to agree to these terms.

In addition, program staff is committed to providing gender-equal services on how to support LGBTQIA2S+ youth in foster care or who is entering into adoption or guardianship by identifying and addressing their specific needs with a prospective family. Furthermore, the Child Permanency Program embraces placement of children with prospective adoptive parents regardless of sexual orientation. Emails with LGBTQIA2S+ engagement information is provided to staff in association with trainings. Child Welfare's Health and Wellness Services team has created a Sexual orientation, gender identity, and gender expression (SOGIE) procedure and revised the intake nursing assessment, which includes language for gender, pronouns, and sexual identity. For LGBTQIA2S+ youth in care, inclusive sexual health education materials are available.

Post Adoption Services

In compliance with ORS 417.270, the Post Adoption Services Program provides equal access to services and supports for both male and female children and youth. Monthly subsidies and medical coverage are provided on behalf of the children to their adoptive parents and guardians. The purpose is to promote the achievement of permanency for special needs children and the ongoing stability of the children in their adoptive and guardian homes.

By contract, the Oregon Post Adoptive Resource Center (ORPARC) is required to provide equal access to serve both males and females under age 18, including access to appropriate facilities, services, and treatment. OPARC is also required to abide by a non-discrimination clause regarding race, religion, national origin, sex, age, marital status, sexual orientation, or disability, and must provide reasonable accommodations to meet the cultural, language, and other special needs of clients.

ORPARC also operates a lending library which offers a wealth of literature and resource packets, free of charge, to adoptive parents, guardians, and other professionals serving special needs adopted and guardian children. The materials cover a breadth of topics and include books specific to gender-specific development and identity

formation of children and youth. The goal being to ensure children of all genders have informed adults parenting and providing support to meet their unique needs.

Child Welfare Training Opportunities

During the 2019-21 biennium, the following trainings were offered to child welfare staff:

- Safe Zone Training Pilot
- District 3 Understanding Gender Identity
- District 3 Bridge 13 LGBTQIA+ Equity & Inclusion Training
- SOGIE Training
- TransActive Gender Diversity Training
- District 4 Diversity Conference with Guest Speaker Panel
- District 5 Back to the Basics Workshop; basic terminology LGBTQIA2S+
- Barriers to Access Transgender and Gender Diverse Individuals Panels sharing daily challenges,
- Analyzing Privilege as it relates to being heterosexual and cisgender
- District 6 LGBTQIA2S+ Training, D8 Transforming Organizations: Gender and Sexuality Affirming Spaces
- District 8 Queer 101: An Overview of Sexuality and Gender
- District 15 Community Conversations
- District 15 Learning Session LGBTQIA+ Issues in Foster Care
- District 15 LGBTQIA+ CYPM Workgroup
- ORCAH Guest Speaker Panel Gender Identity and Pronouns training and discussion
- LGBTQ+ Experiences Across the Lifespan and LGBTQ+ Institutional Barriers and Resources presented Statewide

- Statewide Supervisor Quarterlies: LGBTQ+ Inclusive Practices
- Partnered with the Coalition of Advocates for Equal Access for Girls to coordinate a training for Supporting Youth Across the Gender Spectrum
- Promoted access to Child Welfare’s Equity Training & Workforce Development Equity Page for all Child Welfare staff and includes free webinar trainings, articles and other gender focused learning materials available for staff to review at any time.

Child Well-Being Program

The services provided to children who are in Child Welfare programs remains consistent over time in terms of gender equity. The population of children in out-of-home care during the past five federal fiscal years remains consistent.

FFY 2012-2018 Gender of Children Served in Foster Care					
Gender	2015	2016	2017	2018	2019
Girls	48.3%	47.8%	48.3%	48.3%	49.3%
Boys	51.7%	51.7%	51.7%	51.7%	50.7%
Total	11,238	11,191	11,645	11,445	10,887

Value Based Practice:

- Gender-responsive approach integrates those things that intentionally allow gender identity and development to affect and guide services and service delivery, create an environment (physical, social, emotional) that reflects and understands the reality of youth lives, and is responsive to the issues and needs of the youth being served.
- Gender-responsive approach integrates those things that intentionally allow gender identity and development to affect and guide services and service delivery, create an environment (physical, social, emotional) that reflects and understand the reality youth lives, and is responsive to the issues and needs of the youth being served. It values the individual gender identity perspective, celebrates, and honors their experiences, respects, and considers gender development and empowers youth to reach their full potential. A gender-responsive approach also clearly recognizes that there are unique differences between genders and includes an understanding and knowledge of these differences including sociological, biological and brain differences

that are specifically reflected in how services are provided, how staff interact with the individual youth, in staff training, programming, service planning and behavioral management.

Strategies in place to continue a focus on gender equity:

- ODHS - Office of Child Welfare Program has and will continue to encourage the Residential Services Programs in Oregon to utilize the Gender-Responsive Standards and Assessment Tool for Girls Programs and Services (G-SAT). The G-SAT is a great resource for enhancing a program's gender-responsive approach and by integrating these empirically based standards. This should improve the outcomes for girls.
- ODHS ensures staff access to the training conference in Oregon, which is sponsored by the Coalition of Advocates for Equal Access for Girls <http://equalaccessforgirls.org>.
- ODHS will continue to recruit private agencies to develop programs for higher levels of care for girls in Oregon.
- ODHS Equity and Inclusion Statewide Collaboration Team: The team engages in advocacy, not only for clients, but for workers in order to ensure a safe, supportive, and respectful workplace for all. This group focuses on gender equity with a special emphasis on LGBTQIA2S+ individuals.
- The Champions Academy is a six-week summer program designed to support the year-long investments of teachers, coaches, and mentors by holistically preparing student athletes for academic promotion and post-high school transitions. With the success of this program per male student/athletes, the department provided additional scholarships for 15 female and 5 male children in foster care to ensure female access.
- The development of Child Welfare's Equity Framework heavily centers the importance of engagement and data collection with LGBTQIA2S+ identifying youth.
- Community partnerships to ensure inclusion of children not represented by the gender binary.

- Intersectional initiative to empower black and brown youth with gender-specific, affirming hair and skin products and services.
- Capacity building and learning opportunities to ensure engagement success with LGBTQIA2S+ youth.
- Child Welfare Health and Wellness Services program attends multiple trainings related to LGBTQIA2S+ youth needs. Consultations on gender affirming supplies are also made available to support the spectrum of gender represented by our youth.

Oregon Department of Human Services 2021-23 Intellectual & Developmental Disabilities (I/DD) Community Housing Fund Report

The I/DD Community Housing Program assists persons with developmental disabilities to live successfully in community housing that is affordable and safe and contributes to their independence and quality of life. I/DD Community Housing supports services to persons with developmental disabilities in the following ways:

- Oversees the property management of homes developed for the former Fairview State Training Center residents.
- Develops and manages and funds eligible home modification projects for In-Home and Crisis Services for children and adults with developmental disabilities.
- Per SB 491 passed in the 2019 Legislative session, remaining funds from the Fairview Community Housing Trust (two of those accounts contain the proceeds from the sale of the Fairview State Training Center) were transferred to Oregon Community Foundation for management and distribution to support housing grants and projects for Oregonians with developmental disabilities.
- Provides technical assistance to individuals, families, brokerages, and counties regarding housing issues faced by persons with developmental disabilities and best practices to implement solutions.

Funding for the program is maintained through the operating fund for maintenance, development, technical assistance, etc.

Fairview Community Housing Trust Accounts

Effective January 2, 2020, per SB 491 passed in the 2019 Legislative session, remaining funds from the Fairview Community Housing Trust (two of those accounts contain the proceeds from the sale of the Fairview State Training Center) were transferred to Oregon Community Foundation.

Background:

The two accounts containing proceeds from the sale of the Fairview State Training Center were designated in statute as follows:

*** Per ORS 427.340 "The Department of Human Services may expend, for the purposes of ORS 427.330 to 427.345, any earnings credited to the account, including any income from the lease of surplus property and any interest earned on monies deposited in the account, and up to five percent of any sale or transfer proceeds initially credited to the account by the Oregon Department of Administrative Services. At least 95 percent of all sale or transfer proceeds shall remain in the account in perpetuity."*

Historically the funding from the five percent of sale proceeds account as well as the accrued interest on both accounts has been used to provide grant funding to children and adults with developmental disabilities to allow for them to continue living in their own home or family home. There is a Fairview Trust Advisory Committee which oversees the grant awards and other policies governing the operation of the Trust. The committee membership includes former Fairview clients, family member of former Fairview clients, client advocates and others. Clients submit grant applications which are reviewed for eligibility and funding.

As part of the budget development process for 2011-2013 a reduction action was put forward to expend the balances out of the two Fairview Community Housing Trust Accounts. The action that was taken was to leave \$6,000,000 in the corpus or 95% sale proceeds account and to use \$5,970,375 from that account combined with the projected remaining balance in the 5% Fairview Grant account of \$979,759 for a total of \$6,950,134. This action was taken in year two of the biennium and the grant fund program suspended.

A Policy Option Package for 2013-15 would have restored the corpus account to pre 2011-2013 balance, adding back \$6,950,134 GF; however, the Policy Option package was not selected as part of the Legislatively Adopted Budget.

In 2015-17, a legislative action added \$92,500, EOTC sale proceeds, to the Trust. This action resulted in a combined account balance of \$6,079,941 as of April 30, 2016.

After 2016 Legislative Session, a Fairview Housing Trust Workgroup was formed to develop and propose strategies for the use of the Fairview Housing Trust funds. Per recommendation of the group, 95% of the funds (\$5,112,741) were invested in the state's intermediate term fund on September 1, 2016.

With recommendation of the Fairview Housing Trust Workgroup and advocacy from member of the I/DD stakeholder community, SB 491 transferred remaining balance of the Fairview Trust, both 95% and 5%, to Oregon Community Foundation. Total remaining balance transferred was: \$6,590,595

Fairview Community Housing Trust Account (95% Restricted Account)			
	GF	OF	TF
Deposit, September 2016	\$0	\$5,112,741	\$5,112,741
Interest Gain/Loss Treasury Account	\$0	\$415,416	\$415,416
Total Revenue, January 31, 2020	\$0	\$5,528,157	\$5,528,157
Total Transfers, January 31, 2020		-\$5,528,157	-\$5,528,157
Total Expenditures	\$0	\$0	\$0
Balance	\$0	\$0	\$0

Account information from Oregon State Treasury Bank Statement ending January 31, 2020

Fairview Community Housing Trust Account (5% Unrestricted Account)			
	GF	OF	TF
Deposit	\$0	\$0	\$0
OF Limitation (<i>expend against existing Treasury Account</i>)	\$0	\$1,062,438	\$1,062,438
Total Revenue	\$0	\$1,062,438	\$1,062,438
Total Transfers	\$0	-\$1,062,438	-\$1,062,438
Total Expenditures (<i>grant application & award process</i>)	\$0	\$0	\$0
Balance	\$0	\$0	\$0

Account information from Oregon State Treasury Bank Statement ending January 31, 2020

I/DD Community Housing Operating Account

When Fairview was downsized and eventually closed, the I/DD Community Housing Section in partnership with private non-profit housing developers constructed or remodeled 200 homes to provide housing for those residents and persons misplaced in nursing homes. It was called the Community Integration Project (CIP). The homes were funded by general obligation bonds sold by Oregon Housing and Community Service Department (OHCDSD) and incorporate many specialized features. Per an agreement with OHCDSD a reserve amount of \$500,000 is required for this account to assure maintenance of an asset purchased with GO bonds.

The I/DD Community Housing Section allocates funds and provides oversight and technical assistance in order to develop, adapt and maintain safe and appropriate housing for children and adults with developmental disabilities that receive services funded and/or licensed by the Department of Human Services. The persons receiving services in Oregon live in a variety of settings. These include, among others, services to children living in family homes, adults and children in 24-hour licensed out of home services, foster care, and adults in apartments or private homes. Often, providing these services requires that housing be constructed, modified or adapted in order to meet the needs of persons and to assure that homes are safe and adapted to the unique needs of the persons who live there. In carrying out its responsibilities, the I/DD Community Housing Section:

- Manages the maintenance and repair program for 200 bond funded homes that provide housing for persons with developmental disabilities receiving 24 hour support;
- ;
- Manages and allocates funding for CIP homes in need of housing adaptations for adults and children with developmental disabilities receiving funded services;
 - Provides fiscal oversight of expenditures from the Housing Fund.,

I/DD Community Housing Operating Fund			
	GF	OF	TF
Deposit (September 2021)	\$3,131,348	\$0	\$3,131,348
Reserve	\$0	\$500,000	\$500,000
Accrued & Projected Interest	\$0	\$884,872	\$884,872
OF Limitation (21-23 Operations Budget)	\$0	\$3,131,348	\$3,131,348
Total Revenue	\$3,131,348	\$4,516,220	\$7,647,568
Total Expenditures	\$3,131,348	\$3,131,348	\$6,262,696

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Oregon Department of Human Services

Annual Performance Progress Report

Reporting Year 2020

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KPM #	Approved Key Performance Measures (KPMs)
1	OLDER ADULTS NEEDING LONG TERM CARE SERVICES (APD) - The percentage of older adults (65+) needing publicly funded long term care services
2	LONG TERM CARE RECIPIENTS LIVING OUTSIDE OF NURSING FACILITIES (APD) - The percentage of Oregonians accessing publicly funded long-term care services who are living outside of nursing facilities
3	TIMELY APD ABUSE INVESTIGATIONS - The percentage of abuse reports assigned for field contact that meet policy timelines
4	ABSENCE OF REPEAT MALTREATMENT OF ABUSED/NEGLECTED CHILDREN (CW) - The percentage of abused/neglected children who were not subsequently victimized within 6 months of prior victimization
5	TIMELY REUNIFICATION OF FOSTER CHILDREN (CW) - The percentage of foster children exiting to reunification within 12 months of foster care entry
6	TIMELY ADOPTION ONCE CHILDREN ARE LEGALLY FREE (CW) - The percentage of legally free children adopted in less than 12 months
7	DISPARITY OF FOSTER YOUTH ACHIEVING PERMANENCY (CW) - The disparity in foster youth achieving permanency with 2 years by race/ethnicity
8	CHILDREN SERVED BY CHILD WELFARE RESIDING IN PARENTAL HOME - The percentage of children served in Child Welfare on an average daily basis (in home and foster care) who were served while residing in their parents' home

KPM #	Approved Key Performance Measures (KPMs)
9	TIMELY ELIGIBILITY DETERMINATION FOR ODDS SERVICES - The percentage of individuals who apply for ODDS services who are determined eligible within 90 days from application
10	ADULTS ENROLLED IN ODDS PROGRAM RECEIVING IN-HOME SERVICES - The percentage of adults enrolled in the Intellectual/Developmental Disabilities program who are receiving services in their own home, including family home
11	SUPPORTED EMPLOYMENT SERVICES TO OBTAIN COMPETITIVE INTEGRATED EMPLOYMENT - Number of individuals in sheltered workshop target population receiving supported and/or related employment services from ODDS and VR who obtain competitive integrated employment
12	ABUSE/NEGLECT OF ADULTS WITH DEVELOPMENTAL DISABILITIES (ODDS) - The percentage of substantiated abuse/neglect of adults in licensed and endorsed programs
13	HOUSEHOLDS AT, OR ABOVE, LIVING WAGE FOUR QUARTERS AFTER LEAVING SSP PROGRAM - The median percentage of households leaving Self Sufficiency who are at, or above, a living wage four quarters out
14	SSP PARTICIPANTS REPORTING HOUSING STABILITY - The percentage of Self Sufficiency participants who report their housing needs are fully met
15	SSP PARTICIPANTS REPORTING FOOD SECURITY - The percentage of Self Sufficiency participants who report they did not worry about having enough food, or actually run out of food, in the past 12 months
16	SSP PARTICIPANTS REPORTING GREATER SELF-EFFICACY - The percentage of Self Sufficiency participants who report they feel more confident in their ability to improve their current circumstances because of SSP and other services they were connected to
17	OVRs CONSUMERS WHO ARE SUCCESSFULLY EMPLOYED AT PROGRAM EXIT - The percentage of Office of Vocational Rehabilitation Services (OVRs) consumers with a goal of employment who are employed at program exit
18	OVRs CONSUMERS EMPLOYED IN SECOND QUARTER FOLLOWING PROGRAM EXIT - The percentage of OVRs clients closed from plan who are employed during second quarter following program exit
19	OVRs CONSUMERS EMPLOYED IN FOURTH QUARTER FOLLOWING PROGRAM EXIT - The percentage of OVRs clients closed from plan who are employed during fourth quarter following program exit
20	OVRs MEDIAN QUARTERLY WAGE AT SECOND QUARTER FOLLOWING PROGRAM EXIT - Median quarterly wage at second quarter following OVRs program exit

KPM #	Approved Key Performance Measures (KPMs)
21	DHS CUSTOMER SATISFACTION - The percentage of customers rating their satisfaction with DHS above average, or excellent

Performance Summary	Green	Yellow	Red
	= Target to -5%	= Target -5% to -15%	= Target > -15%
Summary Stats:	71.43%	19.05%	9.52%

KPM #1	OLDER ADULTS NEEDING LONG TERM CARE SERVICES (APD) - The percentage of older adults (65+) needing publicly funded long term care services
	Data Collection Period: Jan 01 - Dec 31

* Upward Trend = negative result

Report Year	2016	2017	2018	2019	2020
LTC NEED PREVENTION					
Actual	3.09%	3.12%	3.05%	2.95%	2.90%
Target	5%	3.10%	3.10%	3.08%	3.08%

How Are We Doing

In 2020, only 2.9% of Oregonians 65 or older needed assistance with publicly funded long-term care. This is a noticeable downward trend that exceeds legislative targets.

Factors Affecting Results

Oregon has adopted the Community First Choice Model, also known as the K Plan. This is a big driver in these results as the K Plan has numerous tools that are designed to keep people independent. Additionally, the success of the AAA network administering Oregon Project Independence, Older Americans Act programs and the Aging and Disability Resource Connection contribute towards keeping older adults independent. More preventative programs should be considered to ensure targets continue to be met, ultimately resulting in system sustainability.

US Census no longer publishes the PEPAGESEX table used as the denominator for Oregon's population of 65 and over. Other Census population tables, such as DPO5, will not be updated until 2021. We are using Portland State University's *Annual Population Report Tables* published by Population Research Center instead.

KPM #2	LONG TERM CARE RECIPIENTS LIVING OUTSIDE OF NURSING FACILITIES (APD) - The percentage of Oregonians accessing publicly funded long-term care services who are living outside of nursing facilities
	Data Collection Period: Jul 01 - Jun 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
LTC RECIPIENTS LIVING OUTSIDE OF NURSING FACILITIES					
Actual	86.90%	87.20%	87.40%	87.20%	87.50%
Target	85.96%	87%	88%	89%	89%

How Are We Doing

APD has begun to fall behind the goals established. Recent programmatic changes designed to promote sustainability have resulted in increased acuity levels of individuals served. As a result, continued progress towards decreasing the number of individuals served outside of nursing facilities will be challenging.

Factors Affecting Results

Hospitals continue to discharge patients sicker and quicker. In many cases, hospitals prefer to discharge older adults needing additional care to nursing facilities. Institutional care may be appropriate for certain individuals for short periods of time. DHS must continue to aggressively ensure that seniors are appropriately transitioned from nursing facilities when their care can be supported

in less restrictive and costly settings. Doing this will allow DHS to continue meeting our targets. APD also needs to focus efforts on developing new adult foster homes and preserving our existing provider base.

KPM #3	TIMELY APD ABUSE INVESTIGATIONS - The percentage of abuse reports assigned for field contact that meet policy timelines
	Data Collection Period: Jan 01 - Dec 31

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
Abuse Investigation Timeliness					
Actual	No Data	97.70%	97.82%	96.70%	95.90%
Target	TBD	TBD	95%	95%	95%

How Are We Doing

Although there was a slight decrease in performance when compared with the prior two years, we remain above the target goal. Note below the increase in overall investigations which is likely a contributing factor to this small decrease in performance.

Factors Affecting Results

This measure includes a wide variety of assigned response times and two investigative entities.

- Community Investigations completed by Adult Protective Services have response times of same day, end of next business day, or within 5 business days.

- Facility (Adult Foster Home, Assisted Living Facility, Residential Care Facility, Memory Care) Investigations completed by Adult Protective Services have response times of same day and end of next business day.
- Nursing Facility investigations completed by the Nursing Facility Survey Unit within Safety, Oversight and Quality have assigned timelines of two days or ten days.

During this reporting period, there were 13397 investigations completed by APS (compared with 11,229 from the past reporting period, an increase of 19%). Of those, 13170 (98.3%) received a timely response.

During this reporting period there were 525 Nursing Facility Investigations (compared with 508 from the past reporting period, an increase of 3.3%). Of those, 195 (37.1%) received a timely response.

KPM #4	ABSENCE OF REPEAT MALTREATMENT OF ABUSED/NEGLECTED CHILDREN (CW) - The percentage of abused/neglected children who were not subsequently victimized within 6 months of prior victimization
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
ABSENCE OF REPEAT CHILD MALTREATMENT					
Actual	94.60%	93.87%	92%	93.20%	92.90%
Target	96%	96%	96%	97%	97%

How Are We Doing

The outcome of 92.9% is Federal Fiscal Year 2019 data, for Report year 2020 (October 2018 to September 2019). As the data reflects, Oregon has consistently hovered slightly below meeting the target goal of 97% safe from repeat maltreatment. Child Safety consultants have continued to review cases in which a child victim has been identified as experiencing repeat maltreatment to determine if there are practice or program improvements that will positively impact this measure and improve child safety outcomes. In June 2020 the Safety Program and ORCAH developed and initiated considerations and training for CPS workers and screeners regarding the difference between a new report of abuse and compliance issues or insufficient safety plans that can be addressed by the permanency worker, rather than multiple founded dispositions for the same ongoing or chronic issue.

Factors Affecting Results

Oregon transition to a centralized screening hotline with training and a continuous quality improvement team has increased consistency in screening assignments across the state. One of the areas identified that impacts recurrence of maltreatment are reports that document historical abuse after a child has entered substitute care. These reports should reflect the date of incident, rather than date of report, however this continues to be a training issue. Root cause analysis of cases has also indicated that there are a substantial number of reports that are founded for maltreatment for an allegation that has already been assessed and being addressed in an open case with a safety plan. New reports are generated reflecting insufficient safety plans, compliance issues, or violations of visitation plans that are not new allegations of abuse. When these reports are assigned for field assessment, our inexperienced CPS workforce has struggled to understand how to review these reports and make an independent CPS decision. For example, in-home cases in which a parent has been founded for neglect due to substance use may have subsequent reports generated if a relapse occurs, regardless of impacts on the child(ren).

It should also be noted that the reporting period falls within the period of time Oregon made concerted efforts to complete overdue assessments, resulting in substantially higher numbers of completed assessments with dispositions that impacts the data.

KPM #5	TIMELY REUNIFICATION OF FOSTER CHILDREN (CW) - The percentage of foster children exiting to reunification within 12 months of foster care entry
	Data Collection Period: Oct 01 - Sep 30

* *Upward Trend = positive result*

Report Year	2016	2017	2018	2019	2020
Timely Reunification					
Actual	66.10%	73.70%	71.60%	71.90%	75.70%
Target	70.60%	75.20%	75%	76%	76%

How Are We Doing

Oregon continues to make progress in this area improving by 3.8% over the last year which marks a steady increase over the past 3 years. Oregon is .3% away from meeting the benchmark for this measure.

Factors Affecting Results

The Permanency Program in Oregon has continued its intentional focus on reunification efforts through the Program Improvement Plan, Quality Assurance Reviews, consultation, and training. There are several pilot projects aimed at supporting the field in using the Practice Model Conditions for Return-to-return children home quickly and safely. Those efforts have been across programs and in partnership with outside service providers and community programs. Oregon has also implemented an internal case transfer process that supports permanency workers engaging with family's mere days after a child is placed in care. Oregon continues to

work with communities and community partners to develop much needed in-home services for families. These efforts have resulted in more children exiting foster care to their families quickly and safely.

KPM #6	TIMELY ADOPTION ONCE CHILDREN ARE LEGALLY FREE (CW) - The percentage of legally free children adopted in less than 12 months
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
Timeliness of Adoption Once Legally Free					
Actual	46.10%	48.50%	42.10%	43.70%	47.20%
Target	48.20%	53.70%	53.70%	54%	54%

How Are We Doing

Oregon improved performance in this measure by 3.5% over the prior year, marking the second straight year of improvements.

Factors Affecting Results

Oregon, using strategies and activities outlined in our Performance Improvement Plan, has continued coordinated efforts between Central Office Child Permanency Program and Local Branch/Field Office staff to streamline adoption processes, provide technical assistance from central office to field staff (including trainings, process/procedure guides, etc.), and to work with the Courts and other entities/partners on methods to better track adoption progress and move adoption work forward more timely for each child who has a plan of adoption. Those efforts have resulted in improved timeliness to adoption and were still working to improve the timeliness even more.

KPM #7	DISPARITY OF FOSTER YOUTH ACHIEVING PERMANENCY (CW) - The disparity in foster youth achieving permanency with 2 years by race/ethnicity
	Data Collection Period: Oct 01 - Sep 30

Report Year	2016	2017	2018	2019	2020
Disparity of Non-Hispanic African American Youth					
Actual	No Data	0.80	0.70	0.70	0.80
Target	TBD	TBD	1	1	1
Disparity of Non-Hispanic Asian/Pacific Islander Youth					
Actual	No Data	1.30	0.90	1.30	1.30
Target	TBD	TBD	1	1	1
Disparity of Non-Hispanic White Youth (always=1)					
Actual	No Data	1	1	1	1
Target	TBD	TBD	1	1	1
Disparity of Non-Hispanic Native American/Alaska Native Youth					
Actual	No Data	1	1	1	1
Target	TBD	TBD	1	1	1
Disparity of Hispanic (any race) Youth					
Actual	No Data	1	1	1.10	1
Target	TBD	TBD	1	1	1

How Are We Doing

We are proposing to delete this KPM. It has not effectively measured or reflected the disparity by race/ethnicity of foster youth achieving permanency.

Factors Affecting Results

This measure has gone through thorough analysis including breakdown by decision points and by district in an attempt to look at the variances in foster youth achieving permanency by race/ethnicity across the state. Child Welfare leadership believes this measure reports potentially misleading information regarding real disparities and disproportionalities that need addressing. In response, for 2021 reporting year, Child Welfare has developed two new equity KPMs to target both the reduction of racial/ethnic disparity in length of stay and the reduction of disproportionality at entry into substitute care and would like to discontinue the use of this measure.

KPM #8	CHILDREN SERVED BY CHILD WELFARE RESIDING IN PARENTAL HOME - The percentage of children served in Child Welfare on an average daily basis (in home and foster care) who were served while residing in their parents' home
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
CHILDREN RESIDING AT HOME IN LEAST RESTRICTIVE SETTING					
Actual	23.90%	25.40%	23.80%	23%	22.10%
Target	30%	33%	33%	33%	33%

How Are We Doing

The outcome of 22.1% is Federal Fiscal year 2019 data for report year 2020. This represents a decrease of .9% from the previous FFY. With the impending implementation of Family First Act, Oregon initial candidates for federal funding will include children at imminent risk for removal. This provides the Department an opportunity with a renewed focus on this population of children served in-home. Oregon's practice around serving children in-home varies around the state with some in-home cases remaining in Child Protective Service Units while services are provided, and others transitioning to Permanency units for ongoing case and safety management. Ongoing efforts to train staff on Oregon safety practice model has resulted in the need to focus efforts once again on supervisors to ensure caseworkers have support necessary to practice fidelity to the safety model. The in-home criteria have been evaluated and updated changing the criteria to more accurately describe that there are no barriers in the

home preventing safety services to occur. Oregon continues to evaluate our practices in providing in-home services and supports that will allow children to successfully remain in their home while sufficiently managing safety.

Factors Affecting Results

The lack of resources in communities and natural supports for families to manage safety threats while children remain in-home has been a consistent factor for numerous years. Cases where children remain in-home must receive consistent safety management until parents/caregivers have made sustainable behavior changes. Case reviews, however, indicate in-home cases are often closed prior to the family conditions being fully addressed or insufficient safety planning resulting in removal and placement in foster care. While in-home services may be provided, there is a lack of sustained focus on monitoring safety. In order to manage these high-risk cases, caseworkers require in-depth knowledge of Oregon practice model which provides specific criteria and guidance for all child safety decisions throughout the life of the case.

Placement of children in foster care is the most restrictive and least desirable outcome to manage child safety. Whenever possible, children who can be safely reunified with their family will continue to receive services in-home. Currently, Oregon practice for offering in-home cases is inconsistent around the state. Additionally, the number of children served in-home has seen a minor downward trend since the previous FFY. The Department believes the implementation of Family First Act will counter this decline and offer specific focus on children at imminent risk for removal.

KPM #9	TIMELY ELIGIBILITY DETERMINATION FOR ODDS SERVICES - The percentage of individuals who apply for ODDS services who are determined eligible within 90 days from application
	Data Collection Period: Jan 01 - Dec 31

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
SERVICE ELIGIBILITY - ODDS					
Actual	No Data	No Data	No Data	61%	67%
Target	TBD	TBD	TBD	70%	72%

How Are We Doing

Community Developmental Disability Programs (CDDPs) continue to make improvement in meeting 90-day determinations, with an ongoing pattern of continuous improvement between 2019 and 2020 and an increase in the number of cases where an applicant received a determination within 90 days. Data variances provide initial indications that targeted timeline goals have increased by at least 6% in the last fiscal year, and determinations are at least 4% closer to the target as compared to 2019.

Factors Affecting Results

We continue to hold a 90-day determination timeline as a goal. Several factors impact meeting this goal: workload model and staffing impacted determination timelines; some offices with less eligibility staff or those with multiple roles experience increased difficulty in achieving timelines; an individual's ability to attend required appointments for eligibility also delay determinations.

Additionally, in early 2020 the effects of the COVID19 pandemic and subsequent emergency response policy created an emergency outside the control of the State and the CDDP offices. Due to the pandemic some determinations were delayed, and additional time was required to schedule in-person meetings or establish other methods to complete a determination or evaluation.

Data extrapolations have identified some variance in quantitative and qualitative analysis, requiring further interpretation and follow up. ODDS will submit subsequent data and comment, upon further evaluation of the data if appropriate.

Comment: When this data was initially reported in 2019, it was based on a year-to-date calendar year and showed 67% of applicants were determined eligible within 90 days. The measure is now based on a fiscal year, beginning July 1, and running through June 30 the following year. The 2019 data was adjusted for fiscal year reporting as well.

KPM #10	ADULTS ENROLLED IN ODDS PROGRAM RECEIVING IN-HOME SERVICES - The percentage of adults enrolled in the Intellectual/Developmental Disabilities program who are receiving services in their own home, including family home
	Data Collection Period: Jan 01 - Dec 31

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
In-Home Services					
Actual	No Data	No Data	No Data	66.30%	66%
Target	TBD	TBD	TBD	75%	75%

How Are We Doing

Oregon does not have any institutional care settings for people with intellectual/developmental disabilities. All services are provided in a community setting. Additionally, two of our five strategic goal areas are focused on supporting people's living options and providing adequate support to individuals and families, so they can be happy, safe, and healthy in the home setting they choose.

Factors Affecting Results

Group homes and foster homes fulfill an essential role in providing supports and services to those that may not have access to in-home supports or whose support needs are specialized enough that providing them in the family home would provide a major disruption to others living in the home.

KPM #11	SUPPORTED EMPLOYMENT SERVICES TO OBTAIN COMPETITIVE INTEGRATED EMPLOYMENT - Number of individuals in sheltered workshop target population receiving supported and/or related employment services from ODDS and VR who obtain competitive integrated employment
	Data Collection Period: Jul 01 - Jun 30

* *Upward Trend = positive result*

Report Year	2016	2017	2018	2019	2020
SUPPORTED EMPLOYMENT - EMPLOYMENT FIRST					
Actual	399	542	780	914	1,024
Target	235	395	565	735	885

How Are We Doing

At this time, ODDS continues to be in substantial compliance with this metric and the *Lane v. Brown Settlement Agreement*. This is a significant achievement given that many people in Oregon experienced temporary and permanent job loss due to COVID-19 during FY 2020. ODDS and DHS as a whole continue to prioritize and grow Competitive Integrated Employment for people with Intellectual and Developmental Disabilities.

Factors Affecting Results

ODDS continues to be in substantial compliance. It is important to note that though ODDS continues to exceed the requirements of this metric, growth was slowed this year due to COVID-19.

KPM #12	ABUSE/NEGLECT OF ADULTS WITH DEVELOPMENTAL DISABILITIES (ODDS) - The percentage of substantiated abuse/neglect of adults in licensed and endorsed programs
	Data Collection Period: Jan 01 - Dec 31

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
ABUSE OF PEOPLE WITH DEVELOPMENTAL DISABILITIES					
Actual	No Data	No Data	No Data	2.49%	2.23%
Target	TBD	TBD	TBD	1.70%	0%

How Are We Doing

Changes to the definition of the KPM last year make direct comparisons to data from earlier years inappropriate. Historically the population was based on all people with developmental disabilities adults and children, whether they lived in residential settings, received services provided by programs with endorsements or not. In 2019 the metric changed to focus on substantiated abuse of adults in licensed and endorsed programs. The metric now applies to a smaller group of individuals, and it is a more responsive metric. Because these programs have sought licenses or endorsements, ODDS can have a direct impact on the provider agencies involved in abuse and neglect.

In previous years most reports of abuse and neglect involved licensed settings. Employees in these settings are mandatory reporters of abuse and are trained to recognize signs of abuse. The estimate of abuse for this more constrained population appears

to have declined by approximately 2/10 of a percent from last year's figure. This reduction is the result of a 4% larger adult population receiving these services and a 10% decline in the actual number of adults with a substantiated abuse allegation.

Because of a lack of national abuse data, it is a challenge drawing comparison to the IDD abuse rate targets. Targets are currently based on trends of historical data.

Oregon is in the process of transitioning to a Centralized Abuse Management (CAM) information system that will allow for enhanced tracking and monitoring of abuse referrals and investigations. IDD service cases were included in the second phase of implementation. Piloting began in October 2019 and continued into early August of 2020. The full implementation of CAM will enhance access and availability of information across the state and greatly improve the ability to make data informed decisions.

Factors Affecting Results

Abuse rates for people with intellectual/developmental disabilities can be affected by many factors, including:

- The high acuity and service needs of residents being served in community-based care settings.
- High turnover rate of treatment and support staff in all settings.
- An adult right to make decisions about their living situation, companions, etc.
- Barriers to the reporting of abuse by cognitively impaired clients.
- Limited resources available to respond to and support people with intellectual/developmental disabilities who are abused (e.g., domestic violence shelters, counseling resources, etc.).
- Current data systems do not have the capacity to clearly identify risks associated with reports of abuse.

What needs to be done in this area includes:

- Ongoing training for service coordinators, personal agents, personal support workers, direct support providers, service providers and facility staff in recognizing, reporting, and preventing abuse.
- Research and collaboration with community response systems and resources, including domestic violence interventions, sexual assault response, mental health services, housing, etc.
- Coordination and participation with local area multidisciplinary teams and coordinated-care organizations.
- Increased investigator access to content experts such as forensic nurses, psychologists, and other health care professionals.
- Appropriate training of investigators and staff in proper use of data systems to assure high-quality, accurate data entry.

KPM #13	HOUSEHOLDS AT, OR ABOVE, LIVING WAGE FOUR QUARTERS AFTER LEAVING SSP PROGRAM - The median percentage of households leaving Self Sufficiency who are at, or above, a living wage four quarters out
	Data Collection Period: Jul 01 - Jun 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
HOUSEHOLDS AT, OR ABOVE, LIVING WAGE					
Actual	No Data	No Data	No Data	68.10%	68.70%
Target	TBD	TBD	TBD	71%	71%

How Are We Doing

The Office of Self-Sufficiency Program (SSP) mission is to provide a safety net, family stability and a connection to careers that guide Oregonians out of poverty. A key dimension to address poverty and maximize people potential is the ability to earn living wages. It is well known that families who are employed with incomes at, or just above the federal poverty level often cannot make ends meet. In these circumstances, individuals and families find it difficult to pay for the necessities like food, housing, utilities, childcare, clothing, etc. This measure tracks the median percent of participants who exit all Self-Sufficiency programs and are earning at, or above, living wages four quarters after they leave the programs. The most recent data available shows that 68.7 median percent of those participants are earning living wages.

Factors Affecting Results

This measure relies on Oregon Employment Department (OED) reported earnings for SSP participants one year after they left all SSP programs and comparing these earnings to the most recent Washington State University Self-Sufficiency Standard for Oregon. It is important to note that only the SSP exiters with income captured by OED are included in the pool. The Self-Sufficiency Standard calculates how much income a family must earn to meet basic needs, with the amount varying by family composition and where they live^[1]. This measure may be affected by several things, including the status of the economy, the availability of jobs, geography, standard costs for basic living needs by county, and family composition. It can also be affected by the structure of SSP employment and training programs and the effectiveness of other agency and community partnerships that connect SSP participants into living wage jobs.

Over the past four years the Oregon Workforce System became more aligned and includes coordinated partnerships and service delivery.

- Data-sharing agreements are in place to include Supplemental Nutrition Assistance Program (SNAP) employment plans in the Oregon Employment Department (OED) data-system.
- People served by the SNAP-Able-Bodied Adults Without Dependents (ABAWD) program now access enhanced employment services from OED.
- In the Fall 2018, DHS SSP and workforce system partners participated in regional poverty simulations to ensure goals and approach to servicing families are aligned beginning with a common understanding and framework.

Over the past four years DHS SSP invested in expanded employment and training opportunities and supports:

- SNAP Training and Employment Program (STEP) has expanded investments in partnership with OED, community colleges and local community organizations, drawing additional federal dollars to offer a more comprehensive set of training and employment opportunities for SNAP participants.

- DHS SSP invested seed money so that OED can pay for things such as uniforms, scrubs, etc. that their STEP participants need to start a new job.
- Job Opportunity and Basic Skills (JOBS) Program investments include expansion of a more comprehensive model of vocational training and education, expanded supports and payments for family stability services and housing assistance to support Temporary Assistance for Needy Families (TANF) and former TANF participants.

ODHS SSP plans to continue expansion of employment and training programs in partnership with communities, participants, agencies, employers, nonprofit organizations and the federal Food and Nutrition Service.

The current COVID-19 health pandemic and associated social distancing measures have caused an abrupt slowdown in the economy. It is anticipated that next year's data on this measure will reflect the changes in the economy.

[1] Dr. Diana M. Pearce, The Self-Sufficiency Standard for Oregon 2017, Center for Women's Welfare at the University of Washington. Available online at: <http://selfsufficiencystandard.org/oregon>

KPM #14	SSP PARTICIPANTS REPORTING HOUSING STABILITY - The percentage of Self Sufficiency participants who report their housing needs are fully met
	Data Collection Period: Jul 01 - Jun 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
HOUSING STABILITY					
Actual	No Data	No Data	No Data	22.20%	40.50%
Target	TBD	TBD	TBD	25%	25%

How Are We Doing

The Office of Self-Sufficiency Program (SSP) mission is to provide a safety net, family stability and a connection to careers that guide Oregonians out of poverty. Housing is a foundation for successful communities. Affordable and permanent housing improves the quality of life of families by leading to better health, stability, safety, and security. Where a person lives can predict their life expectancy^[1]. The goal of this measure is to track the percentage of households connecting to Self-Sufficiency programs who report housing stability. In the Summer 2020, SSP conducted a statewide survey of Supplemental Nutrition Assistance Program (SNAP) participants who applied or reapplied for SNAP or other SSP programs in the month of April 2020. **Of 39,082 SNAP applicants in April 2020, there were 4,544 survey respondents which represents a 11.6% overall response rate.**

The survey found that 40.5% of respondents reported housing stability. This year's result was almost double the result from 2019. Based on the survey, slightly over half of the respondents reported housing instability, meaning that their housing needs are not fully met.

The following is a breakdown of participant responses to the KPM question: **Please select what you feel is most true for your family nowadays:**

Response	Percentage
I and/or my family need(s) immediate help getting into housing	5.4%
I and/or my family have housing, but it is temporary and/or inadequate	10.5%
I and/or my family needs help at times with rent and/or bill payment	40.7%
I and/or my family's housing needs are fully met (i.e., I can afford to pay rent/mortgage and utilities without difficulty)	40.5%
Decline to answer	2.9%

The following is the breakdown of participants responses to: What is your current living situation:

Response	Percentage
Staying or living with family / friends	16.8%
Rental housing with no subsidy	46.1%
Rental housing with subsidy (Section 8, public housing, or other housing assistance)	8.1%
Renting a room or exchange work for room	5.8%
Living on the street / no physical shelter	2.0%

Own home / own trailer	11.6%
Emergency shelter/ Transitional housing (group home, recovery center, etc.)	1.0%
Living in car	1.1%
Other	2.8%
About to lose housing / facing eviction	1.2%
Hotel / motel	0.7%
Staying or living in a recreational vehicle (RV, motorhome, fifth wheel trailer, truck camper, etc.)	2.9%

The following are a few of the quotes from survey respondents who opted to provide more input:

I work but cannot afford my own housing.

I reside with my daughter who owns the home.

I am] living with my father would not have anywhere to live if not living with my father, rent is too high and not able to find jobs.

"Rentals are hard to find right now. Not sure where my family will be in September."

We are losing everything with COVID. We had a small business and now we have lost it. Now I am so far behind in my rent I feel that my family cannot make up this large of sum of money.

We] can't get housing till something opens up on waitlists. Food is not enough when you have nowhere to prepare it. Office can't really help when you are already at maximum for food and there are no programs for housing.

"Housing was part of my job as a hotel manager. With COVID we are closing at end of month. We have nowhere to go."

Paying hotel by the week is expensive but it is better than living on the streets with my kids. I'm hoping I can find a place soon, but I have to look around my work schedule. With COVID I have a lot of fear going to look at places too.

Things are okay for housing, but my utilities are kind of expensive with the kids home all the time.

I'm living in neighborhood I grew up in however due to cost of housing I have to exchange work for housing. Need more affordable housing.

I'm taking care my 87yr old father and I'm not paying rent.

We are pretty crammed in this house, but we make do.

This data is also collected by race and ethnicity and is available upon request.

[1] Arias E, Escobedo LA, Kennedy J, Fu C, Cisewski J. U.S. small-area life expectancy estimates project: Methodology and results summary. National Center for Health Statistics. Vital Health Stat 2(181). 2018. Found at this link:

https://www.cdc.gov/nchs/data/series/sr_02/sr02_181.pdf

Factors Affecting Results

According to the Department of Housing and Community Services, housing had already emerged as a paramount concern across Oregon and **the lack of available housing, high rents and high home prices were driving rapid increases in housing instability and homelessness**^[1]. These themes rang true and were reflected throughout the SSP well-being survey we conducted in this Summer. At the same time, in the current health pandemic, the survey shows that individuals and families are doing everything they can to take care of themselves and that the word stability may be a relative term depending on their situation. Survey respondents reported relying on family, friends, and in some cases landlords. It is also possible that the CARES Act funding, other pandemic related benefits, as well as greater amount of rental assistance funds that Community Action Agencies had available this year compared to 2019 helped create more housing stability for individuals and families. Also the passage of [SB 608](#) that eliminated no-cause evictions and limited rent increases may have also contributed to housing stability for some survey respondents.

Over the past three years SSP expanded TANF funded supports to cover housing related emergent needs. SSP has also provided for innovative contracting for housing related services, including navigation services, in partnership with community-based organizations and agencies. Due to the States budget challenges, some housing-related investments approved by the 2019 Oregon Legislature did not get implemented.

[1] Oregon Statewide Housing Plan 2019-2023, Oregon Housing and Community Services. Available online at: <https://www.oregon.gov/ohcs/DO/shp/SWHP-Executive-Summary.pdf>

KPM #15	SSP PARTICIPANTS REPORTING FOOD SECURITY - The percentage of Self Sufficiency participants who report they did not worry about having enough food, or actually run out of food, in the past 12 months
	Data Collection Period: Jul 01 - Jun 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
FOOD SECURITY					
Actual	No Data	No Data	No Data	12.30%	25.30%
Target	TBD	TBD	TBD	15%	15%

How Are We Doing

The Office of Self-Sufficiency Program (SSP) mission is to provide a safety net, family stability and a connection to careers that guide Oregonians out of poverty. Access to nutritious food helps babies hit milestones, fuels kids as they learn and grow, reduces the chances of chronic disease in adults and makes it more likely seniors are healthy and independent. The goal of this measure is to track the percentage of households connecting to Self-Sufficiency programs who report food security. The United States Department of Agriculture (USDA) defines food security as having consistent, dependable access to enough food for active, healthy living. The USDA’s Household Food Security in the United States in 2019 report found that 9.8% of Oregon households were food insecure, down from 11.1% in 2018^[1]. In May 2020, Oregon State University estimated the number of people experiencing food insecurity in Oregon would double to 900,000 people or more than one in five residents due to the increased unemployment from the COVID-19 health pandemic lockdown^[2].

In the Summer 2020, SSP conducted a statewide survey of Supplemental Nutrition Assistance Program (SNAP) participants who applied or reapplied for SNAP or other SSP programs in the month of April 2020. **Of 39,082 SNAP applicants in April 2020, there were 4,544 survey respondents which represents a 11.6% overall response rate.**

The survey found that 25.3% of respondents reported experiencing food security^[3]. This year’s result is double the food security rate reported in 2019. Based on the survey, 72.4% of the respondents reported experiencing food insecurity, meaning that their access to adequate food is limited by a lack of money or other resources.

In the current COVID-19 health pandemic, it is possible the higher food security rate reported is attributed in part to the additional federally approved food benefits deployed by ODHS-SSP as well as other USDA approved benefits like school lunches, and state-level investments through the food banks.

The following is a breakdown of participant responses to: **Within the past 12 months, we worried whether our food would run out before we got money to buy more.**

Response	Percentage
Often true	23.0%
Sometimes true	49.4%
Never true	25.3%
Don’t know	1.3%
Decline to answer	0.9%

The following is the breakdown of participants responses to: **Within the past 12 months, the food we bought just didn't last and we didn't have money to get more:**

Response	Percentage
Often true	19.6%
Sometimes true	44.7%
Never true	33.0%
Don't know	1.8%
Decline to answer	0.8%

The following are a few of the quotes from survey respondents who opted to provide more input:

"SNAP has been very helpful. Without it we would not be able to have food."

I am grateful that I received extra money on my trail card because of pandemic. Before this it was always hard to make it to the end of month. I finally was able to not feel stressed about food. I just got food money for school kids and this has helped a lot since my daughters are home all the time.

The office has been helpful during this pandemic, they got me SNAP quickly and that helped. Worried about how long this is going to go on.

Glad to have help with food, it is just never enough. Prices of things are going up quickly, but the benefit amount stays the same. It takes almost all the money I make to pay my rent and utilities. Feel like I'm stuck in a never-ending bad dream.

Office staff was very helpful and was very happy when got full amount for benefits, it came right when I needed the food.

I am finally able to get enough food for a month during the COVID crisis because my disability makes me ineligible usually. This is how persons on Social Security should be treated with regard to food help. I worked hard to have a home and then had a heart attack that has made it where I cannot work now. I shouldn't get punished for having other benefits. The last couple months have been the only time I didn't have to go to the food pantries or church in order to have food to eat since my illness â€¦. This is what should happen, even \$194 isn't a lot of food but I am good at stretching it.

I'm trying to eat better but food costs much. So very grateful for any help.

It has helped having the food [benefits] so I do not have to be stressed about that. Just worry as the COVID stuff is getting worse and can't make it if my job is closed again.

It would be nice if people could buy hot food with SNAP when they are living on the streets or otherwise have no refrigeration. The fridge in our RV doesn't work. Hard to store nutritious food.

This data is also collected by race and ethnicity and is available upon request.

[1] Alisha Coleman-Jensen, Matthew P. Rabbitt, Christian A. Gregory, and Anita Singh. 2020. Household Food Security in the United States in 2019, ERR-275, U.S. Department of Agriculture, Economic Research Service. Available online at: <https://www.ers.usda.gov/publications/pub-details/?pubid=99281>

[2] Mark Edwards. May 2020. Oregon State University School of Public Policy, Oregon Policy Analysis Lab. Available at this site: <http://olis.leg.state.or.us/liz/201911/Downloads/CommitteeMeetingDocument/222368>

[3] The SSP Well-being survey incorporated the Hunger Vital Sign, a validated 2-question food insecurity screening tool developed by Drs. Erin Hager and Anna Quigg and the Children’s HealthWatch team. The Hunger Vital Sign, identifies households as being at risk for food insecurity when they answer that either or both of the 2-question statements are often true or sometimes true. For more information visit the Children’s HealthWatch website at: <https://childrenshealthwatch.org/public-policy/hunger-vital-sign/>

Factors Affecting Results

These results are derived from participants entries on the SSP well-being survey which will continue to be conducted by SSP each year. Our survey population is composed of persons applying or reapplying for SNAP or other SSP benefits. The current COVID-19 health pandemic and associated social distancing requirements have caused significant job losses. Many people have turned to ODHS for benefits and services such as the SNAP program. In the weeks after Oregon’s Governor declared a state of emergency and instituted social distancing mandates, new SNAP application requests increased by 400 percent statewide. At the same time, the SSP workforce began teleworking, while maintaining offices open, and the use of the current online application was encouraged. Despite the surge in applications, SSP did its best to process applications as quickly as possible. Federal waivers helped ease certain application requirements and additional food benefits approved by the federal government were deployed. One example of these food benefits was issuing maximum SNAP allotments to all households regardless of their countable income. Another example is issuing Pandemic Electronic Benefits Transfers (P-EBT) which allowed for depositing food benefits in an EBT card equal to the value of school meals that children would have received if they had been physically attending school.

Oregon continues its outreach efforts to connect with difficult to reach populations, including people of color, by providing information on the benefits of qualifying for and maintaining SNAP eligibility, dispelling myths, providing application assistance, advocating on behalf of participants, and numerous other strategies to reach populations in need. These strategies include identifying and removing barriers to the SNAP program across all populations. We currently collaborate with 15 different community agencies who serve as Oregon SNAP outreach partners.

KPM #16	SSP PARTICIPANTS REPORTING GREATER SELF-EFFICACY - The percentage of Self Sufficiency participants who report they feel more confident in their ability to improve their current circumstances because of SSP and other services they were connected to
	Data Collection Period: Jul 01 - Jun 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
SELF-EFFICACY/HOPE					
Actual	No Data	No Data	No Data	66.50%	73.40%
Target	TBD	TBD	TBD	70%	70%

How Are We Doing

The Office of Self-Sufficiency Program (SSP) mission is to provide a safety net, family stability and a connection to careers that guide Oregonians out of poverty. Poverty is multidimensional, meaning that it is more than a lack of adequate income^[1]. Multidimensional poverty asserts that there are multiple dimensions of deprivation that must be addressed for people to be equipped to exit poverty and build well-being^[2]. This new measure aims to track one dimension of poverty: whether participants perceive a sense of influence over their own circumstances. Specifically, we are tracking participant’s reported increased self-efficacy and hope as a result of their involvement with Self-Sufficiency Programs and the connections to other services SSP makes. In the Summer 2020, SSP conducted a statewide survey of Supplemental Nutrition Assistance Program (SNAP) participants who applied or reapplied for SNAP or other SSP programs in the month of April 2020. **Of 39,082 SNAP applicants in April 2020, there were 4,544 survey respondents which represents a 11.6% overall response rate.**

Based on the survey, 73.4% of survey respondents reported feeling more confident about their ability to improve their current circumstances as a result of their involvement with SSP and the services SSP connected them to. In addition, 74.2% of respondents reported they feel more hopeful about their future as a result of their involvement with SSP and the services SSP connected them to.

The following is a breakdown of participant responses to: **My involvement with DHS Self-Sufficiency and the services DHS has connected me to have helped me feel more confident in my ability to improve my current circumstances:**

Response	Percentage
Strongly agree	22.3%
Agree	51.1%
No opinion	17.6%
Disagree	6.0%
Strongly disagree	1.8%
Decline to answer	1.2%

The following is the breakdown of participant's responses to: My involvement with DHS Self-Sufficiency and the services DHS has connected me to have helped me feel more hopeful about my future:

Response	Percentage
Strongly agree	23.5%
Agree	50.7%
No opinion	17.1%

Disagree	6.0%
Strongly disagree	1.4%
Decline to answer	1.4%

The following are a few of the quotes from survey participants who opted to provide more input:

I don't know that the programs make me feel better, but they help me get by.

ODHS has helped me feel more confident that my family will have food. The extra amount coming during state closure has helped a lot and I just received the school kids benefit [Pandemic-EBT] so summer doesn't feel as overwhelming anymore. I just started back to part time work and have hope we can resume some normalcy.

My experience has been good. I felt like the people cared and I wasn't just a number.

".... everything was done on a timely manner and extremely helpful and allowed me to keep my dignity in that time."

Without DHS SSP assistance we may not be surviving at this point and I am extremely grateful for the program.

Since I have lost my job due to COVID, the people at the office were helpful to me. It was my first time in one of these offices and they were very considerate. I am hopeful that as things go back to normal, I will be able to find work and get back on my feet.

The office staff has been very helpful. [Worker] was very calm and reassuring, gave me hope even though there aren't programs to supplement my current needs. During this unprecedented weird and uncharted time, the office staff is being proactive and trying to coordinate with other programs to keep the people from Oregon above water. I appreciate that.

This data is also collected by race and ethnicity and is available upon request.

[1] Policy A Multidimensional Approach, Oxford Poverty & Human Development Initiative, University of Oxford. Available online at: <https://ophi.org.uk/policy/multidimensional-poverty-index/>

[2] Torgerson, March 2017, Measuring Community Action Program Impacts on Multi-Dimensional Poverty: Final Report of the Futures Project, Oregon State University. Available online at: <https://caporegon.org/what-we-do/the-future/>

Factors Affecting Results

These results are derived entirely from participants entries on the SSP well-being survey which will continue to be conducted by SSP each year. We define *Self-efficacy* as participants having a sense of control or influence over the events and circumstances that affect them and can act on it. We define *Hope* as participants belief that their current circumstances will improve. Our desired outcome is that in partnership with participants, agencies, and communities, SSP provides programs and services that maximize the potential that lies within everyone. Foundational to these changes are intentionally involving families; having a philosophy and practice of being person centered; being strengths based and having resources that build broader well-being.

Hope and self-efficacy are interactively related, having influence on each other, but are also separate, stand-alone concepts. Self-efficacy often generates hope and hope can inspire a person to feel more able to achieve a goal. The SSP program decided to use two questions and measures to bring greater clarity to the impact of SSP services for each, with the primary KPM of self-efficacy.

KPM #17	OVRs CONSUMERS WHO ARE SUCCESSFULLY EMPLOYED AT PROGRAM EXIT - The percentage of Office of Vocational Rehabilitation Services (OVRs) consumers with a goal of employment who are employed at program exit
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
OVRs CLOSED - EMPLOYED					
Actual	62.34%	60.20%	57%	56.50%	55.60%
Target	66%	66%	63%	65%	65%

How Are We Doing

Placements over the past year have increased slightly in a positive direction. Variance in this measure has been less than 3% year-over-year and also saw an increase during the period 2012 through 2016 when the overall economy saw even greater gains. Those gains in the economy have eased and we have seen a softening in the placement rates over the period 2016 through 2020.

The Oregon target of 66% has historically been optimistic when compared to federal expectations. The Oregon VR Program has met or exceeded the federal expectation. This is no longer a federally required metric under the Workforce Innovation and Opportunity Act of 2014 (WIOA). However, we will continue to work toward increasing this outcome as administrative staff see value in this measure.

Factors Affecting Results

Additionally, significant numbers of clients with intellectual and developmental disabilities as a result of the Lane v. Brown Settlement have influenced this metric in that the resources necessary to place the most significantly disabled individuals within our state has had an impact on the overall program. We anticipate and increase in this population group as we work through the initial high numbers.

We are working to improve placement opportunities by engaging in employer relationships at a much higher degree as required by WIOA and this has resulted in increased training for potential employers. Staff in Vocational Rehabilitation meet monthly with staff from the Office of Developmental Disabilities Services (ODDS) to jointly plan and coordinate services and to improve outcomes for this population and continue to develop the resources to mainstream this activity to improve on the service delivery model.

KPM #18	OVRS CONSUMERS EMPLOYED IN SECOND QUARTER FOLLOWING PROGRAM EXIT - The percentage of OVRS clients closed from plan who are employed during second quarter following program exit
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
EMPLOYMENT IN SECOND QUARTER					
Actual	No Data	No Data	No Data	57.50%	57.80%
Target	TBD	TBD	TBD	52%	52%

How Are We Doing

For the period October 1, 2018 through September 30, 2019, the most recent period for which all needed data are available, 57.8% of individuals exited from Vocational Rehabilitation services were employed during the second quarter following exit. Staff are working toward more effective career counseling and guidance to ensure employment longevity for our clients.

The program is working to emphasize non-technical employment skills (soft skills) to improve employability and retention in employment.

Factors Affecting Results

This result is impacted by the sophistication of the individual's skills in seeking and maintaining employment is a major factor in this measure. The economic realities of the geographic areas in which they live, and the available workforce supports also impact this measure.

KPM #19	OVRS CONSUMERS EMPLOYED IN FOURTH QUARTER FOLLOWING PROGRAM EXIT - The percentage of OVRS clients closed from plan who are employed during fourth quarter following program exit
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
EMPLOYMENT IN FOURTH QUARTER					
Actual	No Data	No Data	No Data	54.30%	53.80%
Target	TBD	TBD	TBD	52%	52%

How Are We Doing

For the period October 1, 2018 through September 30, 2019, the most recent period for which all needed data are available, 53.8% of individuals exited from Vocational Rehabilitation services were employed during the second quarter following exit. This exceeds our target but shows a slight dip from last year's performance. Staff are working toward more effective career counseling and guidance to ensure employment longevity for our clients.

The program is working to emphasize non-technical employment skills (soft skills) to improve employability and retention in employment.

Factors Affecting Results

This result is impacted by the sophistication of the individual's skills in seeking and maintaining employment is a major factor in this measure. The economic realities of the geographic areas in which they live, and the available workforce supports also impact this measure.

KPM #20	OVRS MEDIAN QUARTERLY WAGE AT SECOND QUARTER FOLLOWING PROGRAM EXIT - Median quarterly wage at second quarter following OVRS program exit
	Data Collection Period: Oct 01 - Sep 30

* Upward Trend = positive result

Report Year	2016	2017	2018	2019	2020
MEDIAN QUARTERLY WAGE					
Actual	No Data	No Data	No Data	\$3,378.00	\$3,606.00
Target	TBD	TBD	TBD	\$3,300.00	\$3,300.00

How Are We Doing

We are working to increase both the hourly wage and the total hours worked per quarter for clients. A few of the approaches are by delivering both technical skills for employment and soft skills for maintaining and advancing in employment. In addition to these actions, we are also incorporating labor market research to identify high and true wage employment opportunities that match our clients' skills and interests to be incorporated into the comprehensive career counseling that we provide.

Factors Affecting Results

This is influenced by career counseling to individual job seekers to move them toward career choices that can improve income potential by increasing job skills. As a result of efforts to meet the requirements of the Lane v Brown settlement, the program is

currently placing many clients with intellectually/developmentally disabled for the most part at minimum wage. This large number of minimum wage employees has depressed this number.

Staff are working to meet the needs of employers in sectors offering higher salaries. Additionally, this is impacted by both hourly wage and total hours worked.

KPM #21	DHS CUSTOMER SATISFACTION - The percentage of customers rating their satisfaction with DHS above average, or excellent
	Data Collection Period: Jan 01 - Jan 31

Report Year	2016	2017	2018	2019	2020
Timeliness					
Actual	74%	79%	73.80%	62%	No Data
Target	75%	75%	75%	75%	81%
Accuracy					
Actual	84%	89%	78.80%	67.90%	No Data
Target	75%	75%	85%	85%	91%
Overall					
Actual	82%	88%	75.70%	79.20%	No Data
Target	75%	75%	82%	82%	90%
Helpfulness					
Actual	83%	No Data	No Data	No Data	No Data
Target	75%	75%	85%	85%	86%
Expertise					
Actual	84%	88%	78.50%	66.30%	No Data
Target	75%	75%	85%	82%	90%
Availability of Information					
Actual	No Data	90%	No Data	No Data	No Data
Target	75%	75%	88%	88%	92%

How Are We Doing

Due to other priorities impacting ODHS, such as the pandemic, we were not able to conduct the annual customer satisfaction survey in time for this report. Once new data are available, an update will be provided.

Factors Affecting Results



PROPOSED SUPERVISORY SPAN OF CONTROL REPORT

In accordance with the requirements of ORS 291.227, the Oregon Department of Human Services presents this report to the Joint Ways and Means Committee regarding the agency's Proposed Maximum Supervisory Ratio for the 2021-2023 biennium.

Supervisor Ratio based on CHRO data:

The agency actual supervisory ratio as of is 1:10.22 as of October 5, 2020.

The Agency actual supervisory ratio is calculated using the following calculation:

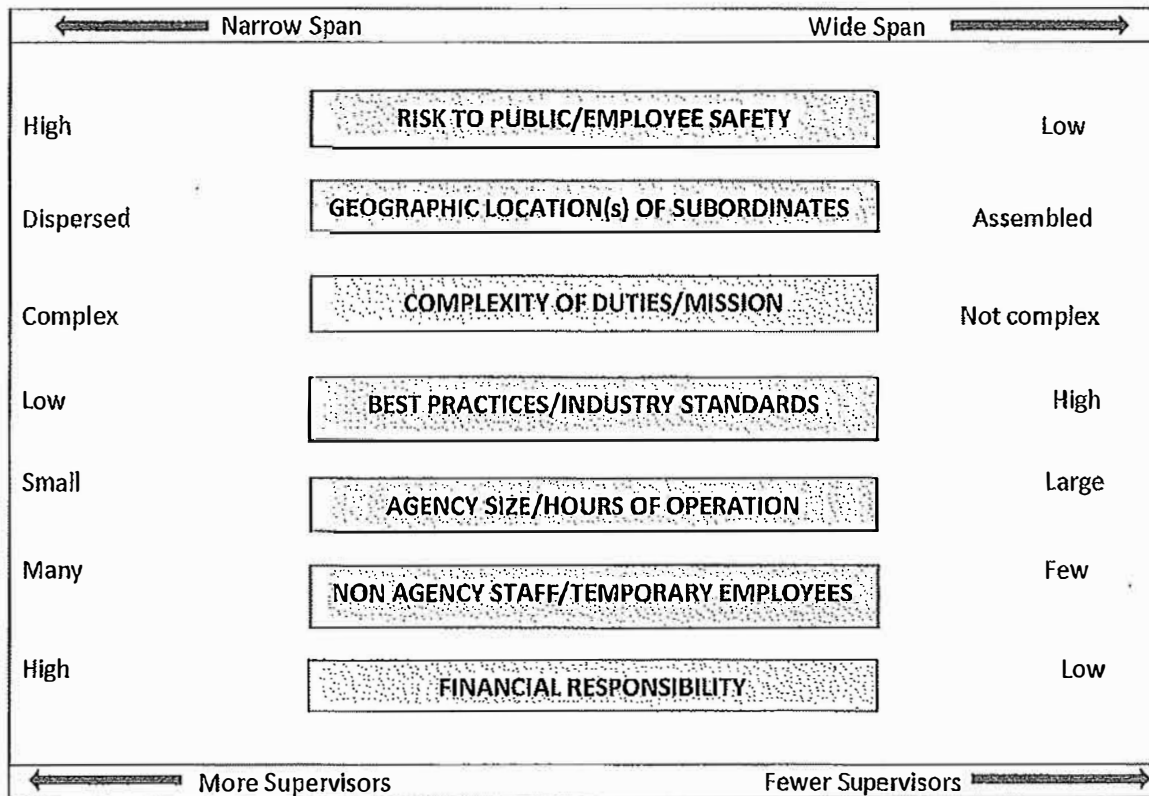
975	=	894	+	82	-	(1)
(Total supervisors)		(Employee in a supervisory role)		(Vacancies that if filled would perform a supervisory role)		(Agency head)

9,972	=	8,862	+	1,110
(Total non-supervisors)		(Employee in a non-supervisory role)		(Vacancies that if filled would perform a non-supervisory role)

The agency has a current actual supervisory ratio of-

1: 10.22	=	9,972	/	975
(Actual span of control)		(Total non - Supervisors)		(Total Supervisors)

When determining an agency maximum supervisory ratio all agencies shall begin of a baseline supervisory ratio of 1:11, and based upon some or all of the following factors may adjust the ratio up or down to fit the needs of the agency.



Ratio Adjustment Factors

Is safety of the public or of State employees a factor to be considered in determining the agency maximum supervisory ratio?
Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

ODHS is responsible for the safety of many vulnerable Oregonians in Child Welfare, Self Sufficiency, Aging and People with Disabilities, Individuals with Intellectual Disabilities and Vocational Rehabilitation programs. Due to safety concerns and industry best practices in both Child Protective and Adult Protective Services a higher than 1:11 MSR is appropriate. ODHS has many supervisors that are working clinical supervisors responsible for the supervision of case managers that have an industry standard much higher ratio than 1:11 in order to maintain the safety of Oregonians and keep reasonable workloads.

ODHS houses the Stabilization and Crisis Unit (SACU) a series of 24/7 homes for people with developmental or intellectual disabilities who are in crisis. Currently the staff to supervisor ratio is below the 1:11 ratio. This is not an ideal ratio to begin with due to the acuity of the clients in the homes and the fact that currently ODHS has supervisors that cover more than one house. 1:7 is a more reasonable target for a supervisory ratio and ODHS is using this as its "target" ratio for SACU employees who are now all in the police and fire designation due to difficulty, stress and potential danger of the positions working with difficult clients.

Is geographical location of the agency's employees a factor to be considered in determining the agency maximum supervisory ratio? Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

ODHS has over 158 office locations statewide including many smaller offices in very rural parts of Oregon. (The number of buildings was reduced by consolidating some older, smaller offices into newer, larger offices.) However, many supervisors must travel long distances to interact with their staff and have smaller offices. Because of these geographic limitations a higher than 1:11 MSR is appropriate.

ODHS has, without double counting staff, 1,377 employees in non-urban settings of these areas the ratio ranges from 1:9 and 1:15.17, this includes 107 supervisors and 1,270 non-supervisors. ODHS believes a reasonable target ratio for these rural areas should be 1:8. The remaining urban employees are proposed to be 1:11 where they are currently running at 1:11.44. This does not include CW staffing mentioned in the child welfare section of the "industry standards" section.

Is the complexity of the agency's duties a factor to be considered in determining the agency maximum supervisory ratio? Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

ODHS is comprised of 5 major programs the smallest of which is over \$120 million TF. The largest is over \$4.3 billion TF. In addition to Central Services ODHS also houses Shared Services that support both ODHS and OHA. In each major program area there are multiple sub programs that must be managed each with its own set of complexities from federal reporting to limitations on how grants can be spent to complex eligibility determinations. In addition, each of these programs have impacts on each other making the interaction and complexity of ODHS much higher than most agencies. In many parts of the agency Supervisors are responsible not just for the management of staff but also for policy and procedure questions and providing final guidance on how cases are managed. In other words, they are working supervisors not just supervisors. This is the case in most of ODHS as there are very few supervisory positions that don't also do policy or technical work in addition to their supervisory duties. There is also a concerted effort to work across programs to become more focused on wrapping services around families for better outcomes at the lowest level. For ODHS working across programs is like working across agencies due to the size and complexity of the current 5 major program areas. The smallest "program area" in ODHS is larger than most state agencies. ODHS also houses Shared Services that support both ODHS and OHA this means juggling the needs of each organization for tasks like accounting and overpayment recovery. This adds to the complexity of the organization. These two factors justify a higher MSR than one to eleven.

Are there Industry best practices and standards that should be a factor when determining the agency maximum supervisory ratio? Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

Child Welfare working supervisors, based on a January 2018 Casey Family Programs Issue brief entitled Healthy Organizations (citing both Child Welfare League of America. (n.d.) *Standards of excellence for child welfare services*. Retrieved from <http://www.cwla.org/our-work/cwla-standards-of-excellence/standards-of-excellence-for-child-welfare-services> and the Council on Accreditation. (n.d.) *Standards for public agencies: PA-PDS 3: Leadership support of supervisors*. Retrieved from <http://coanet.org/standard/pa-pds/3/>, para. 7), have an industry best practice of 1:5/7 for supervisors providing clinical support to caseworkers. This is in addition to their supervisory duties. ODHS is using 1:5 as the target ratio.

Adult Protective services, based on a 2017 National Adult Protective Services Association nationwide survey the average ratio of caseworkers to supervisors in Adult Protective Service programs is 1:5.65. While this has not yet been published, according to H. Ramsey-Klawnik, Ph.D., NAPSAs Director of Research, NAPSAs planning to publish it as findings from the 2017 National Survey of State APS Programs at their next NAPSAs conference.

Vocational Rehabilitation also has working supervisors that provide clinical supervision.

In all three cases these managers are also doing case worker clinical type supervision of the actual work not just "supervising" employees. All three cases justify a higher ratio than 1:11 due to clinical supervision duty needs that help with the overall safety of these vulnerable populations.

Is size and hours of operation of the agency a factor to be considered in determining the agency maximum supervisory ratio?
Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

While not yet fully implemented, ODHS is moving towards a fully staffed 24-hour child welfare hotline which will justify a higher MSR than 1:11. ODHS is also reviewing its field structure and footprint and may be moving to more smaller locations across the state which may change the geographic footprint of the agency.

In addition, ODHS runs a 24/7 crisis service through the Stabilization and Crisis Unit (SACU). This provides services to those with Intellectual and/or developmental disabilities in crisis. There are over 780 positions at SACU with some supervisors having to cover multiple houses and as necessary providing direct services to clients to ensure proper staff to client ratios based on the needs of the client. Staffing ratios have been below 1:11 which is not a reasonable ratio considering the acuity of clients and the 24/7 nature of the business. SACU should be at a higher ratio such as 1:7 to be more appropriately staffed in a 24/7 environment.

Are there unique personnel needs of the agency, including the agency's use of volunteers or seasonal or temporary employees, or exercise of supervisory authority by agency supervisory employees over personnel who are not agency employees a factor to be considered in determining the agency maximum supervisory ratio? Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

On average ODHS has over 100 volunteers and many contractors that need some level of supervision. These positions are not in the "system" per se, at this point but do require some level of supervision. This justifies a higher ratio than 1:11.

In addition, all supervisors but the director have supervisors and supervisors should be included as supervised employees in the denominator of the calculation. This would also justify a higher than 1:11 MSR. This should be taken into consideration on the ASR calculation but is not currently part of the calculation of the ASR.

Is the financial scope and responsibility of the agency a factor to be considered in determining the agency maximum supervisory ratio? Y/N Yes

Explain how and why this factor impacts the agency maximum supervisory ratio upwards or downward from 1:11-

ODHS is responsible for serving over 1 million Oregonians per year (which is close to one quarter of the state's total population of 4.2 million individuals) encompassing over \$14.6 billion-dollar total fund in the Governors' budget. This comes with more than 126 funding streams each with their own limitations, rules and reporting requirements. There are 5 major program areas each bigger than most agencies. Within each program are multiple sub programs again each with their own rules, funding sources and complexities. Most of this funding is spent in the community through hundreds of contracts, thousands of providers and multiple interagency agreements. Each program comes with its own eligibility criteria, usually having multiple different factors. Each sub program usually has its own set of eligibility criteria and there is not continuity between program eligibility due to federal regulations. Employees must know each separate sub program and their supervisor must also be able to guide the employee or answer questions they may have as to how to apply the criteria etc. In addition, the central office staff for each program must keep up with ever changing federal regulations and state changes that must then be distributed out to our many field offices. These changes can be weekly or even daily sometimes meaning employees and managers need to keep up with a myriad of process or policy changes every day. This justifies a higher ratio than 1:11.

Based upon the described factors above the agency proposes a Maximum Supervisory Ratio of 1: 8.41.

Unions Requiring Notification: SEIU; AFSCME; ONA

Date unions notified: SEIU 10/12/20; AFSCME 10/19/20; ONA 10/30/20

Submitted by: Eric Moore, ODHS CFO

Date: January 25, 2021

Signature Line _____

Date January 25, 2021

Print Name: Fariborz Pakseresht, ODHS Director

Signature Line _____

Date January 25, 2021

Print Name: Audray Minnieweather-Crutch, ODHS HR Director

Signature Line Audray D Minnieweather Crutch

Date January 25, 2021

Print Name: Kim Roberts, ODHS HR Program Administrator

Signature Line _____

Date 1/25/2021