

FAMILY SHELTER OPERATIONAL PLAN SUBMISSION PACKAGE

FILLING INSTRUCTIONS

The operational plans must be submitted by the social services district on behalf of Tier II facility for which the district will seek reimbursement. The requirements for Tier II shelters are contained in NYCRR Part 900. A copy of Part 900 is included in this package. Please refer to Part 900 when filing out the operational plan forms that are also included in this package. Note that relevant sections of Part 900 are indicated in these forms where appropriate.

The forms in this package can be used for initial plan submissions, plan renewals, or plan amendments.

- An initial operational plan must be approved by the Office of Temporary and Disability Assistance (OTDA) before a shelter begins operation. Initial operational plans must be submitted 45 calendar days before planned use of the facility. Approved operational plans will remain in effect for a maximum period of five (5) years.
- An operational plan renewal must be submitted no later than 60 days prior to the expiration of an operational plan.
- Operational plan amendments must be submitted whenever a facility makes significant changes to its operations, staffing, service mix or physical plant. Amendments must include complete information on proposed operational changes including any changes in staffing, contracts, leases, rental agreements, computer systems and/or case management practice.

Initial operational plans and renewal must include information on contracts; leases or rental agreements; documentation that the facility is in compliance with applicable State and local laws, regulations, and codes as specified in NYCRR Part 900.

A social services district may request an extension in order to submit appropriate financial data, and OTDA may grant one extension, not to exceed six months. If an extension is granted, OTDA may either continue reimbursement at the approved rate or establish an interim per diem rate. State reimbursement may not exceed approved per diem rates, and will continue until such time as either the appropriate financial data is submitted and the operational plan is approved, or operational plan approval by OTDA is withdrawn.

PLAN DESCRIPTION

This submission package is comprised of five parts:

Part A Operational Profile

This is the largest part of the operational plan in which the physical characteristics, service plans, employment supports and other facility operations are described. Generally, all items listed in the operational plan profile must be included. In rate cases, an item may be omitted because it does not apply in a specific setting or because it could not be obtained at the time of application. Any omissions must be noted using the

operational plan profile checklist found at the beginning of Part A. Any omission must also be explained in Part E.

Part B Fiscal Profile

The fiscal profile section contains financial statements and other documents related to your facility's operating budget.

Part C Justification of Omissions

The reasons for omitting items found in Parts A, B and E must be included in Part C.

Part D Facility Certification Sheet

This sheet is signed by the facility's chief of operations to certify that the facility will adhere to certain State and federal laws.

Part E Required Forms and Documents

Part E is composed of hardcopy or scanned forms that you use at your facility and other documents required to certification. If you cannot scan forms, Part E can be mailed to OTDA. **NOTE: OTDA has pre-approved forms (attached) that are recommended for use by facilities.**

ELECTRONIC SUBMISSION USING MICROSOFT WORD OR EXCEL

The forms in this package can be filled out using Microsoft Word or Microsoft Excel software and submitted via e-mail. Boxed fields can be filled in with an "X" by clicking on the box. Clicking again will clear the box. Free-form narrative can be entered by clicking on response fields after each item and then entering text. Electronic submission is preferred. Hardcopy forms can be requested by organizations that cannot use this form.

To submit electronically, e-mail Parts A, B and C. Part E which will contain hardcopy documents can be mailed under separate cover or scanned and e-mailed. Part D must be signed and the original copy mailed.

Send completed forms to:

otda.sm.css.bss@otda.ny.gov

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