

# HFNY ASR Guidelines

## **Annual Service Review and Cultural Analysis and Plan**

All programs should complete an Annual Service Review of their program based on the most recent information that is available. The review should be comprehensive, including information about the program's materials, training, and all aspects of the service delivery system (assessment, home visiting, supervision, and management). It includes input from families and program staff and identifies patterns and trends related to program strengths as well as areas to improve upon, such as any culturally sensitive service gaps. The review should be comprehensive with in-depth analyses including the information and headings listed below (references for HFA Best Practice Standards are indicated).

**Cultural Humility** is relevant to all areas of the program and service delivery and should be addressed in each relevant section. (See HFA Best Practice Standards: Culturally Responsive Services: Useful Mechanisms for Assuring Culturally Sensitive Services.)

This review should be completed in the fourth quarter of the program's contract year and submitted to their OCFS Program Contract Manager within 30 days after the end of the contract period, as the final report. This review should be reported to the appropriate supervisory or advisory group of the program. The first quarterly report for the following contract year should include any comments made by the advisory board and any action plan in place to resolve issues identified in the review, as well as any steps implemented to resolve issues.

**Cultural Humility** (5-4. A, 5-4. B, 5-4.C): OCFS monitors the annual service reviews of culturally sensitive practices completed by each site within its system to identify and address any changes that may be needed in the areas of cultural and language diversity, participant-centered perspective, staffing and literacy level of program materials and to ensure ongoing adherence to the standards identified in the HFA Best Practice Standards. Culture is broader than race, ethnicity, language and age. The description may include additional features and attributes such as ethnic heritage, customs, values, gender, religion, sexual orientation, social class, and geographic origin among others, that combine to create unique cultural identity for families, based on both experience and history. Additionally, sites are encouraged to look at social factors such as; domestic violence, substance abuse, mental health, parent incarceration and cognitive abilities as it related to the families they serve. (Please refer to BPS 5-4)

**A. Target Population (1-1. A):**

1. A description of the target population including community data (include source and year) used in the decision-making, utilizing the most recent data available from your source. (i.e. Live births per year, number of women of childbearing age, number of single parents, age of target population, and race/ethnicity/ cultural/linguistic characteristics.)

Are there any changes or movement in particular populations noticed in the target population statistics? If so, are there additions or changes needed in your services or target area?

Good website for demographics by county <http://www.nyskwic.org/>

For program demographics: [Report Catalog/Analysis/ Program Demographics.](#)

2. **A description of issues facing the community.** (i.e. Infant mortality rate, poverty level, teen pregnancy rate.) What changes might you consider in your program process or service delivery relating to these issues? The following website lists risk factors by zip codes:

<http://www.health.ny.gov/statistics/chac/perinatal/index.htm>

3. (1-1B) Where can the target population be found to obtain referrals. (i.e. agencies, hospitals, etc.) How can you use the information in section A to reach families in need of services? Do you see any trends that would lead you to make changes in potential referral sources?
4. (5-1) Description of the service population  
Who are the families that you serve? This includes the families who accept services and receive at least one home visit (include narrative with numbers and percentages). The description should include race, ethnicity, language and other cultural demographic characteristics, such as customs, values, age, gender, military service, religion, sexual orientation, social class, and geographic origin among others determined to be most relevant by the site.

**B. Outreach & Referrals (5-4B):**

1. Describe regular outreach efforts for universal screening.
  - a. To the current demographics of the target population.
  - b. To hard to reach populations.
  - c. How do you modify, or tailor services based on the cultural characteristics of families? How is your team set up to be adaptable to family's cultural needs?
2. Are your outreach materials, (brochures, flyers), appealing and assessable to all the families you serve? Do you need to modify or adjust your outreach materials based on the cultural characteristics of the potential families to be served? Identify any **noteworthy community collaboration efforts** including

coordination with local social services districts/health departments and other community partners (WIC, OB/GYN, Clinics, etc.) Include nontraditional examples of referrals.

**C. Screens (1-1.C):** Report Catalog/Analysis/ Screen Referral Source Outcome Summary and Screen Referral Source Summary.

- a. How many screens/referrals were completed this contract year? How many positive screens? What is the percentage of families from the target population screened/referred to Healthy Families services? Include the source of referrals into the program.
- b. Describe any new linkages (not already noted above) or the process established to achieve universal screening.
- c. What strategies have you identified to increase the number of screens identified?
- d. What are the barriers to reaching universal screening, if any?

**D. Parent Survey (1-2.C):**

1. How many Parent Survey were completed this contract year? Please include the number and percentage completed prenatally, within 2 weeks of birth and after 2 weeks of birth. Report Catalog/Accreditation /Data Report; Report Catalog/1.2-C Assessment Information

- a. **Acceptance of Assessment (1-2. D) (5-4D):** Analyze your screening process and compare the number of positive screens to the number of families that were assessed. If the assessment number is lower than the number of positive screens, determine the reasons why this occurred. If the difference is over 10%, what is your strategy to improve this process?
- b. A description of the population who accepted and refused assessment and why they refused or were not assessed. A comparison of those who accepted a parent survey and those that didn't accept or were not offered the parent survey needs to be included. Were there any factors related to family culture? **Are there any trends with families who accepted vs. declined services?** Report Catalog/Accreditation/1-2.C Assessment Information Report Catalog/Quarterlies/ Quarterly Pre-Assessment Engagement
- c. A description of how the program is attempting to improve **acceptance of the assessment** based on the analysis above.

**E. Acceptance Rate (1-4A, 1-4B, 1-4C) (5-4D) \*:** The HFA definition of acceptance rate =

The total number of families who accept services by completing a first home visit divided by  
The number of families who scored positive on the Parent Survey and are offered home visiting.

1. A description of the population that is determined eligible to receive services by virtue of scoring 25 or more on the Parent Survey.  
[Report Catalog/Accreditation/1-4. A & B Acceptance Rate and Analysis](#)
2. A formal and informal analysis **comparing** those who refused the program who were determined to be eligible for services, including those families that accept a home visit after assessment and declined enrollment in services **vs those that accepted services**, addressing at least one factor in each of 3 categories: 1) programmatic, 2) demographic and 3) social (BPS 1-4. B). (tip – An informal analysis should be a narrative regarding discussions with staff in team meetings and supervision and Advisory Board meeting). Please be sure to include in your analysis, a comparison of the families that accepted services and those that didn't to the target population. Are there any cultural differences between those that accepted services vs. those that declined? Did staff have challenges engaging families from certain cultures, either the same or different from their own?  
[Report Catalog/Quarterlies/ Quarterly Pre-Intake Engagement](#)  
[Report Catalog/Accreditation/1-4. A & B Acceptance Rate and Analysis](#)
3. Explain how the site monitors and addresses families who verbally decline the offer of services subsequent to a positive assessment or the offer of services, after the first home visit and the strategies for improvement. The strategies identified should be based on the outcome of the analysis.
4. BPS 1 – 4 C. If the program has not held a 90% acceptance rate for a period of 2 years, the report will reflect how the program will increase its acceptance rate, including the above factors. Has this plan been implemented? If so, has it been effective? Please address and include strategies to address the programmatic, demographic and social factors identified in the analysis above.

**F. Enrollment/Utilization:**

- a. What was the number of enrolled families at the beginning of the contract period?
- b. How many families discharged?
- c. What was the number of enrolled families at the end of the contract period?
- d. Analyze this data and describe your utilization plan as it applies to your program for the upcoming year. Please be sure to include how the demographic and social factors of the families enrolled compares to the target population. Compare the demographic and social factors of the families enrolled to the sites target population. [Report Catalog/Analysis/ Capacity Building Report](#); [Report Catalog/Quarterlies/ 8 Quarter Report/Report Catalog/Quarterlies/](#)

Quarterly Enrolled Program Caseload Information/Report  
Catalog/Analysis/Program Demographics

**G. Retention:** (3-4A, 3-4B, 3-4C)

1. A formal and informal analysis comparing who dropped out of the program after enrollment, at what point they dropped out and the reasons why vs those that stayed enrolled in the program (3-4. B)\*. (tip – An informal analysis should be a narrative regarding discussions with staff in team meetings and supervision and Advisory Board meeting).

Report Catalog/Accreditation/ 3-4. A and B Retention Rate Analysis *For a one year analysis, your start date should be two years before the end of the reporting period, and end one year before the end of the reporting period. For example, to calculate the retention rate for the period between 7/1/20-6/30/21, input your start date as 7/1/19 and your end date as 6/30/20 in MIS.*

2. A description of how the program is addressing its retention rate based on the analysis of factors identified.

3. In the comprehensive analysis, **compare** at least one factor within each of the categories, 1) programmatic, 2) demographic and 3) social (see rating 3-4. B scale). Please be sure to describe how the families that were retained by the program compares to those that dropped out of services and how do both compare to the target population. Also, consider the cultural makeup of the families who stayed in the program, and who left. Were there families from a certain cultural demographic who left at a higher rate?

4. Based on the above analysis, the site has a plan (3-4.C) to increase the retention rate, addressing the above factors.

**H. Performance Targets:** For each performance target achieved, what particular factors do you attribute this success? For each target not achieved, please describe steps taken, barriers to achievement and plan for overcoming barriers and achieving targets or technical assistance needed. Are there any barriers to performance target achievement related to the cultural beliefs of your service population? How might these be addressed?

Report Catalog/Quarterlies/ Quarterly Performance Targets and  
Report Catalog/Quarterlies/ Performance Targets for 4 Quarters

**I. Performance Indicators:** For each performance indicator achieved, what particular factors do you attribute this success? For each target not achieved, please describe steps taken, barriers to achievement and plan for overcoming barriers and achieving targets or technical assistance needed. Are there any barriers to performance target achievement related to the cultural beliefs of your service population? How might these be addressed?

[Note: If the Home Visit Rate is lower than 90%, a plan is needed.]

## Report Catalog/Accreditation/ 4-2B HFA Home Visit Completion Rate Analysis

**J. Staffing:** (9-4) (5-4B) A stable, qualified workforce is known to contribute to improved participant outcomes, with families more likely to be retained in services when staff are retained. Therefore, site management monitors factors associated with staff turnover. By understanding the circumstances and characteristics of staff that leave, in comparison to those that stay, strategies to increase retention can be developed (based on data) and implemented with a greater likelihood of success. The site considers factors that have been associated with staff satisfaction and retention including: job category, staff demographics, role clarity, acknowledgement of work performed, satisfaction with salary, benefits, reasonable workload, autonomy, opportunities for advancement, and career development. Please include reasons contributing to staff turnover and strategies for improvement except when staff left for reasons pertaining to personal growth that could not have been fulfilled on the job, (returning to school, job promotion)

1. A description of current staff including demographic information.

[Report Catalog/Quarterlies/ Quarterly Worker Characteristics Summary](#)

2. Describe how the staffing demographics reflect the target population. How are staff equipped to serve their population? Consider cultural aspects, such as language, age, gender, military training, immigration status, substance abuse, or intimate partner violence history. If there has been a shift in the target population, include the programs' plan to support staff so they are prepared to effectively serve this population.

3. (5.4) (9-4) A description of staff that have left the program including job type, staff demographics, education, years of service, salary, benefits etc. A description of staff that have stayed and a comparison between the two groups.

**Are there cultural factors identified in staff retention?**

4. A description of how the program monitors and addresses staff retention and satisfaction which includes a summary of the input from staff surveys on satisfaction and what strategies the program has implemented to address any staff turn over issues.

5. (5.4) (5-2B) (8-2A) A description of how staff are assigned to families.

**How do you ensure the Family Resource Specialists and Families Support Specialists are paired well with families? Do you take the family's culture, language, and the staff's level of understanding about such cultures into context?**

6. A description of how feedback from staff is obtained for assessment, home visiting, supervision, materials, training, communication and language factors (languages spoken and written, reading levels etc.) Include the methods and findings of feedback received from staff.

7. Supervision (5.4) (5-2B) **How do supervisors ensure that staff take into account the ethnic, racial, language, demographic and other cultural characteristics identified by the site, in their staff-family interactions? Have staff talked to you about ways to connect**

with families who come from cultures they do not understand? How have you been able to guide staff in recognizing where their own cultural background or norms might impact how they perceive a family or a family's actions?

**K. Training (11-1-5) (5.3, 5.4B)**

Describe what trainings were provided. How were the trainings culturally inclusive? Based on the cultural characteristics identified, how does the training meet the need of the cultural characteristics of your population? For example, if there is a high instance of opiate use in the community, did you provide trainings to support that need? Summarize any training needs that went unmet from the last year and how the statewide system or Central Administration can support these needs.

Identify staff training and technical assistance needs for the upcoming year. How did the community need you have identified, shape the planning for upcoming trainings? Review Best Practice Standard 5-3 for more information. Not all staff have to attend the same training, but all staff employed for at least a year must attend at least one training about the unique cultural characteristics of their service population, annually.

**L. Service Evaluation (5-4):**

- a. A description of opportunities available for participant input to services, including site materials, communication and language factors and interaction between staff and families. How are these practices culturally sensitive? Summarize participant input of strengths and areas to be addressed. Examples include: exit interviews, quality assurance calls, and advisory board participation.

b.. A description of how the program services are shared with the community

(such as an agency annual report or Sharing Annual Service Review with the Advisory Board.)

**M. Curricula/ and Program Materials (5-3)**

1. What is the primary and supplemental curricula your program uses? How are your curricula culturally respectful of your service population?
2. What other materials are shared with families? How does this reflect your community?
3. How do you modify or tailor educational/ developmental materials to meet the needs of the population served?
4. Identify any **new curriculum** used and feedback from families/FSSs

**N. Describe achievements other than performance targets** for families served. (Include case vignettes if applicable.) Share your stories!

**O. Quality Assurance:**

- a. Describe **challenges/issues to effective program operation and service delivery.**
- b. **Advisory Board (5-4C)** Description of representatives (Demographic information, professions, cultural diversity and skills). What steps are taken to ensure a diverse advisory board membership? A description of how the Program Manager (or other site representative) and the advisory/governing group work an effective team with information, coordination, staffing and assistance provided by the Program Manager to plan and develop site policy and procedures. Please indicate the date that the Cultural Analysis and Plan was shared with the Advisory Board and include any feedback or input provided and/or discussed in your quarterly report.

**P. Cultural Analysis Plan for Improvement (5-4C)**

After considering your cultural analysis in all aspects of service delivery, describe what areas can be strengthened/ improved and include the plan to improve each area identified.

Other resources that will be helpful in drafting your ASR are the Cultural Analysis Plan workbook <https://app.box.com/s/xezz0quvh0t10rg2qnup> and reference the Best Practice Standards. <https://app.box.com/s/do7eaq4gn9dbd485ji23r8xj4tp51mmz>