

NEW YORK STATE OFFICE FOR THE AGING

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor

An Equal Opportunity Employer

Greg Olsen, Acting Director

PROGRAM INSTRUCTION

Number 21-PI-02

Supersedes

Expiration Date

DATE: January 25, 2021

TO: AAA Directors, NY Connects Coordinators, NY Connects Regional ILC Contractors

SUBJECT: NY Connects Expansion and Enhancement PY 2020-21 Reporting Requirements

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ACTION REQUESTED: Compliance with NY Connects Expansion and Enhancement Reporting requirements for April 1, 2020 – March 31, 2021.

RESPONSE DUE DATE: Quantitative Reporting information on individuals served by NY Connects is being extracted from the Statewide Client Data System* on a quarterly basis as per the NY Connects reporting schedule (due dates listed on Pg.12). Qualitative Reports related to NY Connects Expansion and Enhancement Deliverables are to be reported within the NYSOFA Budgeting and Reporting website (<http://www.reporting.aging.ny.gov/>), for the quarters outlined in the Reporting Schedule that follows. Additionally, any attachments and supplemental information (e.g. meeting minutes) must be submitted via email to nyconnects@aging.ny.gov.

PURPOSE: This Program Instruction (PI) provides Qualitative and Quantitative Report requirements for the NY Connects Expansion and Enhancement System April 1, 2020 – March 31, 2021.

BACKGROUND: To demonstrate achievement of required NY Connects Expansion and Enhancement Deliverables, local NY Connects must utilize the Statewide Client Data System as part of daily routine and practice to capture Quantitative reporting data on the provision of NWD Screening, Information and Assistance and Options Counseling/Person-Centered Counseling. Qualitative narrative updates and key required documents that reflect activity and progress on various core program areas are reported through the NYSOFA Budgeting and Reporting System on a quarterly schedule. Certain adjustments were made due to Governor Cuomo's declaration of a

*NYC Department for the Aging (DFTA) utilizes the Senior Tracking, Analysis and Reporting System (STARS) which extracts and places data into NYSOFA's On-line Analytical Processing System (OLAP). For purposes of this PI, the Statewide Client Data System includes NYC STARS as described herein.

State Disaster Emergency on March 7, 2020 and the federal declaration of a Major Disaster in New York State on March 20, 2020.

Qualitative Reporting Topics and Schedule:

The following reporting topics capture activity on designated key program areas in the **April 1, 2020 – March 31, 2021** NY Connects Expansion and Enhancement funding period. **Note** - activities noted in **bold** are items required for submission.

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
REFORM EFFORTS Document the progress to date on long term services and supports reform activities in the long term care reform log on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov). Submit any reform documentation, reports, etc., via email attachment to nyconnects@aging.ny.gov.		X		X
CARE TRANSITIONS Describe the key elements of the referral process that you have established with critical pathways, formal care transitions programs, and local service providers to support an integrated long term services and supports delivery system. If referral processes are not in place, provide a description of the progress toward establishing those processes. Complete the Care Transitions section on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).		X		X
LTCC MEETING MINUTES Submit LTCC meeting minutes , as applicable to that reporting quarter, via email attachment to nyconnects@aging.ny.gov .	X	X	X	X

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
PUBLIC EDUCATION <p>In accordance with NY Connects State Program Standard 3.1, NY Connects, will conduct public education utilizing materials that are approved by NYSOFA.</p> <ul style="list-style-type: none"> ✓ At minimum, complete 2 coordinated-joint ILC and AAA efforts to increase public awareness about NY Connects services, and the No Wrong Door System. ✓ Document your Public Education activity in the NY Connects Public Education Activity log on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov). 		X		X
STAFF TRAINING <p>Staff will participate in trainings to support the continued implementation and enhancement of NY Connects.</p> <p>Complete Personnel Roster and Training Events Roster before the Staff Training Attendance Roster on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).</p> <p>In the Training Events Roster List trainings and educational opportunities that have enhanced the ability of staff providing Information and Assistance and /or Options/Person Centered Counseling to provide up-to-date, comprehensive and objective information and assistance on long term services and supports.</p>	X	X	X	X

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
AAA/ILC COMMUNICATION <p>In accordance with NY Connects State Program Standard 1.4, NY Connects, including the Regionally Contracted ILC, will perform the core functions of NY Connects with a singular identity and voice. To facilitate this process, monthly meetings/teleconferences must occur between the principal NY Connects staff who are delivering NY Connects core functions. The following staff should participate in these meetings/teleconferences:</p> <ul style="list-style-type: none"> • The NY Connects Coordinator from the local administrative entity (AAA or subcontracted agency) and other staff of the local administrative entity as necessary • The local ILC NY Connects subcontracted staff and the ILC NY Connects Regional Coordinator as necessary <p>Submit listing of meetings/conferences on the NYSOFA Budgeting and Reporting website https://reporting.aging.ny.gov).</p>	X	X	X	X
NWD IMPLEMENTATION TEAM MEETING MINUTES <p>The local NWD Implementation Team shall:</p> <ul style="list-style-type: none"> ✓ Meet at least quarterly to establish seamless linkages, communication strategies, best practices and other local implementation strategies which align with the NY Connects State Program Standards. ✓ Identify and work on addressing barriers that may be impeding implementation. ✓ Identify outcome measures. <p>Submit meeting minutes, as applicable to that reporting quarter, via email attachment to nyconnects@aging.ny.gov.</p>	X	X	X	X
NY CONNECTS NWD SYSTEM ORGANIZATIONAL CHART <p>In accordance with NY Connects State Program Standard 11, NY Connects has established written policies and procedures.</p> <p>Annually submit an updated NY Connects NWD System Organizational Chart to NYSOFA (organizational chart to include all NY Connects NWD partners) via email attachment to nyconnects@aging.ny.gov</p>			X	

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
AAA/ILC CROSS REFERRAL SCENARIOS In accordance with NY Connects State Program Standard 1.8, the Local NWD Implementation Team shall, at a minimum, hold quarterly (or more often as needed) in-person or virtual meetings, regional or otherwise, to establish seamless linkages, communication strategies, and best practices that align with the NY Connects State Program Standards. Submit the AAA-ILC cross-referral scenario on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).			X	
NWD IMPLEMENTATION TEAM MEMBERSHIP ROSTER In accordance with NY Connects State Program Standard 1.8, the Local NWD Implementation Team shall, at a minimum, hold quarterly (or more often as needed) in-person or virtual meetings, regional or otherwise, to establish seamless linkages, communication strategies, and best practices that align with the NY Connects State Program Standards. Submit the updated NWD Implementation Team Member List showing representation of each agency on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).	X			
STREAMLINED ELIGIBILITY In accordance with NY Connects State Program Standard 16, staff will assist with streamlining eligibility determination and application assistance for publicly funded benefits and supports. Submit descriptions of the processes for conducting the following activities on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov): referral to/explanation of the MyBenefits pre-screening website; referral to or explanation of NY State of Health website; explanation of the application processes; assistance with submission of a completed application(s); following up on eligibility determination status; and linking an individual to the appropriate entity for assessment (if warranted).	X			

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
NY CONNECTS EXPANSION AND ENHANCEMENT POLICIES AND PROCEDURES In accordance with NY Connects State Program Standard 11, NY Connects has established written policies and procedures. <ul style="list-style-type: none"> a. When applicable, coordinate with other NWD partners to complete updates as necessary. b. Copy of revisions as they occur. Submit the NY Connects Expansion and Enhancement Policies and Procedures that are inclusive of operating protocols via email attachment to nyconnects@aging.ny.gov.				X
LTCC MEMBERSHIP LISTING The LTCC must represent the diversity of individuals from the populations in need of LTSS (e.g., underserved, culturally diverse populations, those with limited English proficiency and of various income levels). Membership should encompass providers of community based LTSS, residential settings, acute care and other critical pathways, advocacy groups, individuals utilizing LTSS, and caregivers. Such membership must represent all age groups (children, adult, older adult) and also represent individuals with physical, behavioral health and Intellectual Disability and/or Developmental Disability (ID/DD). Submit the LTCC Membership Roster on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).		X		

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
RESOURCE DIRECTORY MAINTENANCE In accordance with NY Connects State Program Standard 12, NY Connects will add and maintain comprehensive and current resource listings of LTSS, programs and providers in the State's online NY Connects Resource Directory. ✓ Demonstrated compliance with maintaining the NY Connects Online Resource Directory in coordination with the ILC and any applicable subcontractors In accordance with NY Connects State Program Standard 21, NY Connects will conduct ongoing quality assurance and evaluation activities that measure the delivery of core functions. Submit information on activities to ensure Resource Directory Maintenance on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov) including frequency of updates, designated staff, the communication plan with providers, and completeness and accuracy of listings.			X	
OPTIONS COUNSELING/PERSON CENTERED COUNSELING (PCC) CASE SCENARIOS In accordance with NY Connects State Program Standard 17, NY Connects will provide Options Counseling/Person-Centered Counseling (OC/PCC), as appropriate, to assist consumers and their caregivers in making informed choices to meet their identified needs. Submit description of an OC/PCC case scenario, which includes the process used and a summary of the outcome on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov).	X		X	

	4/1/20- 6/30/20	7/1/20- 9/30/20	10/1/20- 12/31/20	1/1/21- 3/31/21
SIGNED AGREEMENT WITH PARTNERS In accordance with NY Connects State Program Standard 1.1, written and signed agreement(s) such as a Memorandum of Understanding (MOU), Memorandum of Agreement (MOA), contractor or subcontract is developed. Each written agreement must, at a minimum, specifically delineate each of the following respective roles and responsibilities: The provision of the core NY Connects functions of: <ul style="list-style-type: none"> ✓ NWD Screening ✓ Information and Assistance, including application assistance for public programs ✓ Options counseling ✓ Public education ✓ LTCC ✓ NWD Implementation Team ✓ Evaluation ✓ Data collection and reporting ✓ Staffing ✓ Referral protocols between the LDSS and NY Connects/Hub ✓ Funding ✓ Administrative, and ✓ Fiscal responsibilities Submit any signed agreement with partners via nyconnects@aging.ny.gov.	X	X	X	X

	4/1/20-6/30/20	7/1/20-9/30/20	10/1/20-12/31/20	1/1/21-3/31/21
QUALITY ASSURANCE & EVALUATION <p>In accordance with NY Connects State Program Standard 21, NY Connects will conduct ongoing quality assurance and evaluation activities that measure the delivery of core functions.</p> <ul style="list-style-type: none"> ✓ Review of the following elements, in coordination with the ILC and any applicable subcontractors: <ul style="list-style-type: none"> • Information and Assistance delivery (quarterly review of accurate and real-time data entry into the system, compliance with annual NYSOFA I&A data validation) • Community reach (ongoing review of I&A data and public education activities) ✓ On the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov) describe how your program conducted a satisfaction survey evaluating customer satisfaction with NY Connects provided Information and Assistance. If using a locally developed survey tool, prior approval from NYSOFA is necessary. <ul style="list-style-type: none"> ○ Please include how the survey was administered, and a description of the sampling technique. ○ Provide a summary of findings. Number of respondents <ul style="list-style-type: none"> ✓ % of Overall Satisfied ✓ % of Overall Dissatisfied ○ Describe program adjustments made to improve the program based on results. 				X
NEW - NY CONNECTS INCOMING CALL AND CONTACT PROCESS <p>In accordance with NY Connects State Program Standard 11, NY Connects has established written policies and procedures.</p> <ul style="list-style-type: none"> ✓ Submit updated description of agency processing for the incoming NY Connects calls/contacts via email attachment to nyconnects@aging.ny.gov 				X

	4/1/20-6/30/20	7/1/20-9/30/20	10/1/20-12/31/20	1/1/21-3/31/21
NEW - OPTIONS COUNSELING/PERSON CENTERED COUNSELING TRAINING In accordance with NY Connects State Program Standard 6.3 applicable staff will participate in training and educational opportunities that enhance their ability to provide up-to-date, comprehensive and objective Information and Assistance and Options Counseling on long term services and supports ✓ Demonstrated compliance with the required NY Connects Person Centered Counseling Training Program for the No Wrong Door System. <ul style="list-style-type: none"> ○ Certifications Completed - Please enter all staff who are currently employed or plan to return to their roles providing OC/PCC that have completed the NYSOFA PCC training certification and the date they received their certificate on the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov). 				X
NEW - NY CONNECTS RANDOM MOMENT TIME STUDY In accordance with NY Connects State Program Standard 22.1, staff time dedicated to NY Connects Medicaid-related activities will be tracked. ✓ Documentation of participating in NY Connects Random Moment Time Study per forthcoming NYSOFA requirements. On the NYSOFA Budgeting and Reporting website (https://reporting.aging.ny.gov): <ul style="list-style-type: none"> ○ Identify if there was participation in the NY Connects Random Moment Time Study. 				X

Quantitative Report Updates:

The following changes have been made to reflect new State and Federal initiatives and requirements. It includes the fields to support NY Connects staff in conducting the NWD screening process. These changes have been added to the NYSOFA Statewide Client Data System.

Under Assistance Provided (Actions Taken):

❖ Additional Steps/Activities

- ✓ Off Site Visit Scheduled
- ✓ Off Site Visit Conducted
- ✓ On Site Visit Scheduled
- ✓ On Site Visit Conducted

	4/1/20-6/30/20	7/1/20-9/30/20	10/1/20-12/31/20	1/1/21-3/31/21
NEW – QUANTITATIVE: OTHER – OTHER VALIDATION In accordance with NY Connects State Program Standard 21, NY Connects will conduct ongoing quality assurance and evaluation activities that measure the delivery of core functions. ✓ Information and Assistance topics that are entered as “other-other” for information provided. Entries should not exceed 10% of the total. If the number of manually entered Other-other topics exceeds 10% of the total, a review of entries and reclassification to existing topics in the IA Record would be necessary as most required LTSS are already represented in the IA Record. <i>We understand that the usage of Other-other will be increased during the period the declarations of a federal Major Disaster and State Disaster Emergency remain in effect. However, as the need for use of this designation due to COVID-19 entries decreases after these declarations are lifted, entries should not exceed 10% of the total Information Provided.</i>			X	X

Overall Reporting Schedule:

Time Period	Report Due Date
April 1, 2020 to June 30, 2020	Quantitative – July 30, 2020 Qualitative – August 31, 2020 <small>*Extension was given for Qualitative due to State Disaster Emergency and federal Major Disaster</small>
July 1, 2020 to September 30, 2020	Quantitative & Qualitative – October 31, 2020
October 1, 2020 to December 31, 2020	Quantitative – February 1, 2021 Qualitative – January 31, 2021
January 1, 2021 to March 31, 2021	Quantitative & Qualitative – April 30, 2021

Note: The Quantitative data will be extracted from the Statewide Client Data System on the report due date.

Reporting Tips:

To assure quality data submission, please follow the procedures below:

- ✓ **Recording Repeat Contacts regarding One Consumer/Caregiver:** Repeat contacts for one consumer may be reported involving the same or different issues during any given time period (e.g. day, week, month, etc.). The purpose of the system is to collect data on the consumer (e.g. the person receiving the service or for whom NY Connects was contacted). Calls made on behalf of a consumer or potential consumer should be entered under the consumer to be served. For consumers who are already in the system from prior contacts, that person's client profile should be retrieved, and the contact should be added to that profile. For new consumers, a new client profile is to be created. Applicable Informed Consent procedures are to be followed.
- ✓ **Contacts Made by Professionals/Providers:** A professional may contact NY Connects and discuss multiple consumers during one exchange with NY Connects staff. In this case, information is reported for each consumer discussed, using each consumer's unique record key. For example, a health professional calls NY Connects to discuss three different consumers. A separate record would be updated or created for each consumer and the contact type recorded as "professional/provider". Applicable Informed Consent procedures are followed for each individual.
- ✓ **Incoming vs. Outgoing Calls:** Only incoming calls are to be reported as a contact to the program (e.g. counted toward the overall "contact total" as per the initiation/opening and closing of a NY Connects IA Record). To record follow-up and outgoing calls, please use Assistance Provided (aka Action Taken), within the NY Connects IA record as well as the Follow up section. Since a single consumer/caregiver may be calling with multiple questions, the assistance provided section allows for the reporting of multiple types of assistance provided.

The only exception is when it is identified that a client needs an in-person or virtual I&A session. In such a case, staff would capture the initial phone call and when the in-person I&A session occurs a new IA Record would be opened and the Mode of Contact would be selected as either: Face to Face: At Individual's Home; Face to Face: At NWD Location; or Face to Face: Other Location.

- ✓ **Reporting Topics as "Other":** If you have counts of information provided that are coded as "Other-other" under Information Provided (aka Topics Discussed) of the Quantitative Report, you must enter a brief description of the "other" topic (e.g. local GPS program for autistic children).
- ✓ **Reporting Options Counseling/Person-Centered Counseling (PCC):** The Options Counseling/PCC function is recorded under Assistance Provided (aka Action Taken) of the NY Connects Quantitative report as a method of "Assistance". A unit of Options Counseling/Person-Centered Counseling should also be added to a new Intake located on the Client Profile in the NY Connects workflow path. It is to be used **only** if it is provided by staff serving in a NY Connects capacity that have completed the 2016 NY Connects Information and Assistance (I&A): Core Skills Refresher, Options Counseling (OC)/Person-Centered Counseling (PCC) – Part 1 and Part 2. (Currently accessible on the NYSOFA website under [Providers and Staff](#)), and/or have completed the NWD Person Centered Counseling training currently offered by NYSOFA. Additionally, Options Counseling/PCC **must** include:
 - 1.) **Discussion** of long term services and supports options;
 - 2.) An element of **decision making support** about what was discussed to assist with next steps and future action; AND
 - 3.) A **follow-up** to contact the individual to check in on status and need for additional assistance. If all three criteria are not met, the encounter should **NOT** to be counted as Options Counseling/PCC.

Important Note: Any **follow ups** completed should be documented in Client Data System in the Intake using the Other – OC/PCC – Follow up service type.

Examples of situations associated with the Options Counseling/PCC category:

- A significant change in a life situation such as a change in level of functioning or transition from hospital to home;
- Medicaid denials requiring decision support about non-Medicaid options;
- Individuals receiving multiple services across systems who may not be aware of other options or the need for coordination between systems;
- Need for assistance and decision support in determining available services and supports;

- Planning for the future related to anticipated housing, caregiver, transportation and financial needs;
- Caregiver has diminished capabilities to continue to provide care at current level;
- Need for assistance in applying for public benefits, such as SNAP (formally Food Stamps), Medicaid, etc. in conjunction with the above examples.

✓ **Public Education:** In addition to entering Public Education into the NYSOFA Reporting site it should also be captured within the Event Profile section in the NY Connects/NY Connects ILC Workflow Path in the NYSOFA Statewide Client Data System.

PROGRAMS AFFECTED:

- | | | |
|---|--|--|
| <input type="checkbox"/> Title III-B | <input type="checkbox"/> Title III-C-1 | <input type="checkbox"/> Title III-C-2 |
| <input type="checkbox"/> Title III-D | <input type="checkbox"/> Title III-E | <input type="checkbox"/> CSE |
| <input type="checkbox"/> WIN | <input type="checkbox"/> Energy | |
| <input type="checkbox"/> EISEP | <input type="checkbox"/> NSIP | <input type="checkbox"/> Title V |
| <input type="checkbox"/> HIICAP | <input type="checkbox"/> LTCOP | |
| <input checked="" type="checkbox"/> NY Connects | <input type="checkbox"/> Other: | |

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