

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 : 11-PI-15

Supersedes:

Expiration Date:

DATE: August 10, 2011

TO: Area Agencies on Aging

CC: NY Connects Lead Agencies, DSS, and Coordinators

SUBJECT: New Application Procedures for NY Connects: *Choices for Long Term Care Program Year 6 (October 1, 2011 – September 30, 2012)*

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ACTION REQUESTED:

The attached grant application for NY Connects Program Year 6 (October 1, 2011 – September 30, 2012) replaces the contract application procedure used in previous years. The Area Agency on Aging (AAA) must collaborate with the Local Department of Social Services (LDSS) and any other NY Connects lead agencies to develop its 2011-12 NY Connects Program application. The AAA must submit three (3) signed original cover pages and a completed application, which includes the Standard Assurances, the Program Narrative and the Budget, in order to receive funding for the local NY Connects program for Program Year 6. Please note that only the AAA Director's signature is required for the October 2011 to September 2012 application.

NYSOFA, upon review and approval, will issue the Notification of Grant Award to the AAA, thus allowing the AAA to submit vouchers for reimbursement. Reimbursement procedures and vouchering forms will be included in the Fiscal Program Instructions (PI) that will be sent out under separate cover.

RESPONSE DUE DATE:

Applications must be sent to NYSOFA by **September 14, 2011.**

Send a completed application electronically to Pauline Santiago at:
Pauline.Santiago@ofa.state.ny.us

The NY Connects Allocation Schedule is an attachment to this PI and need not be submitted with your application.

Mail three original signed cover pages to:

Pauline Santiago
NY State Office for the Aging
Two Empire State Plaza, 5th floor
Albany, NY 12223

BACKGROUND: NY Connects: *Choices for Long Term Care* is an essential component of the State's efforts to rebalance the long term system so that people can live independently and remain at home and in their communities.

The long term care system in New York State, though comprehensive, is often fragmented. The complex nature of this system frequently leads to confusion and uncertainty in obtaining the most appropriate services. NY Connects was established in 2006 in response to the challenges encountered by consumers trying to navigate this complex system.

NY Connects is statutorily mandated through the New York State Elder Law § 203(8) and is recognized by the Federal Administration on Aging and the Centers for Medicare and Medicaid Services as an Aging and Disability Resource Center (ADRC) and as a formal state partner, through various federal grants, in the national movement to redesign long term care, to make it more effective, cost efficient and sensible.

NY Connects is a statewide, locally based point of entry system that provides one stop access to free, objective and comprehensive Information and Assistance on long term care. The program provides individuals of all ages needing long term care, as well as their caregivers, with information about available services and supports, regardless of payment source. NY Connects is a trusted community resource that links individuals to the most appropriate services and supports of their choice.

Many NY Connects programs provide enhanced Information and Assistance, which is called Options Counseling. Options Counseling, a core ADRC function, is an interactive and individualized process whereby consumers and their caregivers are assisted in evaluating all of their long term care options and are supported in making a decision based on their values, needs, preferences and cost.

NY Connects initiates long term care reform through local Long Term Care Councils. The local Long Term Care Councils (LTCC) are an integral part of the NY Connects program and are made up of consumers, caregivers, providers, advocates, government representatives and other key stakeholders who come together to analyze the local long term care system, identify gaps, duplication and barriers in the system, make recommendations for improvements and take action for change. The Councils use their findings to work toward a system that is more streamlined, efficient, and responsive to consumer needs.

PURPOSE OF FUNDING: The purpose of this funding is to support local programs in the delivery and enhancement of the essential components of NY Connects, which include Information and Assistance (including Screenings), Public Education and local Long Term Care Councils.

BUDGET DIRECTION: The NY Connects Allocation Schedule, included in this packet, serves to guide local budget development. The local NY Connects program budget, as part of the grant application, must be consistent with the Standard Assurances and Program Narrative and adhere with the following directions:

1. Funds are to be used solely for NY Connects purposes. Local programs are to include personnel costs whenever feasible. It is understood that the fiscal allocation is not intended to cover the total cost of program operations. As a result, a county may individualize its NY Connects budget to include the appropriate operating expenses of its choice.
2. Personnel costs for county agencies other than the AAA are to be listed in the subcontractor section of the budget (e.g. LDSS).
3. Subcontractor costs are allowable in the NY Connects budget. Include type of subcontract and description in the budget. A copy of each subcontract or consultant agreement must be submitted to NYSOFA before reimbursement will be made.
4. Advertising and promotional materials in the form of informational brochures and the like are acceptable expenses. However, the cost of "give aways" may not exceed \$500 for Program Year 6. Outreach events are encouraged and costs are to be itemized.
5. Reimbursement for technology or related technology costs associated with building or maintaining local directories of long term care services will no longer be permitted under this funding stream effective October 1, 2011, as a result of the development of the State NY Connects Long Term Care Resource Directory. Costs such as personnel to update the resource listings in the State NY Connects Long Term Care Resource Directory will continue to be allowable charges to NY Connects funding.

6. All Information Technology (IT) costs are to be itemized and explained sufficiently to determine that only the IT costs attributable and allocable to NY Connects activities are charged to NY Connects funding. While it may be appropriate for NY Connects funding to pay for some of client data reporting software, charging the full cost to NY Connects is not allowable. Client data is used to report on activities carried out under every funding program administered to the AAAs by NYSOFA. Therefore, it is reasonable and expected to see a substantial portion of the client data reporting software costs charged primarily to Title III as well as CSE, EISEP, SNAP, CSI, etc. in amounts commensurate with each program's use of the client level data. AAA's are free to charge as much of the client data software costs to local overmatch (i.e., not required match under any federal or State program). Use of overmatch is left entirely up to AAA discretion. In this context, IT costs for client data software includes such things as the number of licensing user fees, for whom and associated costs, licensing agreement amount, maintenance costs, reporting upgrading fees, subscription fees, module costs and/or NY Connects website costs not related to the local resource directory.
7. For NY Connects staff to attend relevant conferences, indicate specific information about the conference including the type and sponsor and/or title of the conference, the names of staff attending, their role in NY Connects and why it is appropriate to allocate the costs to NY Connects.
8. Allowable costs must be incurred by the AAA during the Program Year 6 period of October 1, 2011 to September 30, 2012. Reimbursements for program year extensions are not permitted.
9. Allowable costs must be incurred by the AAA and paid before reimbursement claims may be submitted to NYSOFA. However, each program year, a NY Connects program may request an advance of up to 25 percent of its grant award, subject to formal notification by NYSOFA of grant approval.

REPORT SUBMISSION:

The following reports and documents are required for NY Connects Program Year 6.

- **Quantitative Report** - due quarterly: January 30, April 30, August 30 and October 30, 2012.
- **Qualitative Report** – due semi-annually: April 30 and October 30, 2012. Also, submit any new revisions to MOUs, policy and procedures, as appropriate.
 - **Long Term Care Reform Log** – due April 30 and October 30, 2012.
 - **LTCC meeting minutes and related reports** – due April 30 and October 30, 2012.

- **NY Connects Public Education Activity Log** - due April 30, 2012.
- **The LTCC Membership Roster** – due October 30, 2012.

The Long Term Care Reform Log, NY Connects Public Education Activity Log and the LTCC Membership Roster are components of the Qualitative Report.

NEXT STEPS:

A conference call with the local programs will be scheduled to review this new grant application process. Vouchering procedures and forms, and the Qualitative and Quantitative reporting requirements will be sent under separate cover and a subsequent conference call is planned to explain these new procedures and requirements.

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"/> EISEP | <input type="checkbox"/> NSIP | <input type="checkbox"/> Title V |
| <input type="checkbox"/> SNAP | <input type="checkbox"/> HIICAP | <input type="checkbox"/> LTCOP |
| <input type="checkbox"/> Energy | | |

NY Connects

CONTACT PERSON: Thea Griffin
EMAIL: Thea.Griffin@ofa.state.ny.us

TELEPHONE: (518) 473-2846

NEW YORK STATE OFFICE FOR THE AGING

GRANT APPLICATION COVER PAGE

NY Connects Program Year 6

Program and Budget Period: October 1, 2011 to September 30, 2012

Area Agency: _____

Director: _____

Address: _____

_____ Zip: _____

Phone: () _____ Email: _____

Contact person: _____

Phone: () _____

The Area Agency agrees to comply with all applicable State and Federal laws and regulations as well as all of the conditions included in your Annual Implementation Plan and this application for funding as approved.

Name of person authorized to enter into agreement
with the New York State Office for the Aging

Title: _____

Signature of Authorized Person

Date: _____

NY CONNECTS PROGRAM YEAR 6 - STANDARD ASSURANCES

The Area Agency on Aging (AAA), as grantee, understands that this Grant Agreement represents the completed grant application of the AAA, as approved by the New York State Office for the Aging (NYSOFA), and the AAA agrees to comply with New York State and Federal laws and regulations that are applicable to this Grant Agreement and to comply with the following requirements that govern the AAA's use of grant funds for the activities funded under this grant:

The AAA agrees that the Program Narrative and Budget, included in this Grant Agreement as approved by NYSOFA, are part of this Grant Agreement and shall not be modified without the written consent of NYSOFA. The AAA shall furnish NYSOFA required supportive documentation for any such changes by utilizing the forms and procedures included in 05-PI-09 Modification Procedures for Grant Applications, dated June 15, 2005.

1. The AAA agrees to fulfill the reporting requirements of NYSOFA under this Grant Agreement. This includes submitting the required NYSOFA/NY Connects reports on the NY Connects Qualitative and Quantitative reporting documents.
2. The AAA agrees that the Grant Agreement may not be assigned by the AAA or its right, title or interest therein assigned, transferred, conveyed, or disposed of without the previous consent, in writing, of NYSOFA.
3. The AAA must submit appropriate state vouchers for reimbursement of expenses incurred in the conduct of this Grant Agreement on a monthly or quarterly basis in such form as required by NYSOFA. The final voucher for expenses incurred in the conduct of this Grant Agreement must be submitted to the Office as soon as possible but no later than sixty (60) days after the ending date of the grant period.
4. The AAA agrees that state vouchers submitted for reimbursement of expenses incurred in the conduct of this Grant Agreement will not include any expenses which have been, or will be, reimbursed from other sources (e.g. other state or federal funds).
5. The AAA agrees to use the funds obtained under this Grant Agreement only for items of expense that are applicable to the activities set out in its Program Narrative and Budget. Allowable items of expense shall be reasonable, allocable and necessary to carry out the activities described in the Grant Agreement.
6. The AAA agrees to work collaboratively with the local Department of Social Services (LDSS) and any other NY Connects lead agencies to fulfill the requirements of the NY Connects Program.

NY Connects Program Year 6

7. The AAA agrees to operate the NY Connects program in accordance with the *NY Connects (POE) Program Standards 2006*.
8. The AAA agrees that the NYSOFA approved *NY Connects Information and Assistance Staff Training* is provided to the NY Connects Information and Assistance Specialists (I&A) and any other staff who provide direct information and assistance prior to their program delivery. The AAA agrees to maintain documentation of staff training which includes the name of staff, date of in-service and in-service topic.
9. The AAA agrees that the NY Connects I&A Specialist(s) conducts individualized, person-centered screenings to guide the delivery of long term care options and possible services and supports to meet identified needs. Screening consists of a preliminary evaluation of the individual's general social, medical and financial status and the availability of informal (e.g. caregiver) and formal (i.e. existing services) supports.
10. The AAA agrees that the NY Connects phone is answered in such a manner to indicate that the caller has reached the NY Connects program.
11. The AAA agrees to recruit and include members for the NY Connects local Long Term Care Council that represent all the consumer populations served, providers, and other long term care stakeholders that reflect the ethnic and cultural diversity within the county. The AAA will maintain a current NY Connects Long Term Care Council Membership Roster which includes contact information, agency and target population represented.
12. The AAA agrees to convene local Long Term Care Council meetings at least three times a year.
13. The AAA agrees that the written policies and procedures are established and revised to clearly state the current operating principles of NY Connects.
14. The AAA agrees to maintain and annually update the resource listing of local long term care services, programs and providers in the NY Connects Long Term Care Resource Directory. The listings will comply with the NY Connects Inclusion/Exclusion Criteria.
15. The AAA agrees to maintain a data collection system that supports the delivery of Information and Assistance and is in compliance with NYSOFA's mandated Quantitative reporting requirements.

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16. The AAA agrees to collaborate with the LDSS and any other NY Connects lead agencies to maintain a current written and signed agreement (MOU) delineating the responsibilities of the lead entities, including but not limited to the provision of core functions, staffing, funding, administrative, and fiscal responsibilities. The AAA shall review, update as appropriate and submit the Agreement to NYSOFA.
17. The AAA agrees to maintain an effective NY Connects infrastructure related to purpose and function in the areas of Information and Assistance, Public Education and local Long Term Care Councils.
18. NYSOFA may terminate the grant agreement immediately, upon written notice of termination to the Grantee, if the Grantee fails to comply with the terms and conditions of this grant agreement and/or with any laws, rules, regulations, policies or procedures affecting this grant agreement.

NY CONNECTS PROGRAM YEAR 6 - PROGRAM NARRATIVE

Please provide explanation where indicated, on how your program will achieve the goals and objectives.

GOAL 1: To engage in planning and collaboration in order to improve access to long term care.

Objective 1.1: The NY Connects program plays an active role in long term care reform through the local Long Term Care Councils. The Councils are charged with identifying gaps in services and supports, duplication, and accessibility issues as well as making recommendations for system improvements and ways to achieve.

Explain your long term care reform priorities for this program year, how they were determined and any next steps to achieve the identified priority(ies).

Objective 1.2: Cooperative and effective working relationships are established with local service providers to support an integrated service and support delivery system.

a. Explain how the NY Connects lead agencies (AAA, LDSS, etc.) will collaborate with hospital discharge planners to support successful care transitions for individuals transitioning from the hospital to home.

b. Describe how the LDSS and any other NY Connects lead agencies will continue to be involved in program delivery and enhancement related to Information and Assistance and the Public Education campaign, as well as the reform work of the local Long Term Care Council.

NY Connects Program Year 6

Objective 1.3: Through the local Long Term Care Council, conduct case study exercises to assess ease, or lack thereof, of consumer navigation through the current long term care system.

Explain how NY Connects will collaborate with their local Long Term Care Council in evaluating the steps from the time of referral for Information and Assistance to service delivery for three sample consumers with complex needs (older adult, person with a disability and caregiver).

If impediments or barriers are identified, what process will be used to work toward recommendations and /or actions to address identified issues?

GOAL 2: To sustain and enhance a NY Connects program that serves all long term care consumers through the operation of core functions in a manner that supports their independence and self-determination.

Objective 2.1: NY Connects staff participates in relevant trainings to ensure the provision of objective information on the appropriate services and supports available so that the consumer can make an informed decision based on their needs and preferences.

Describe the types of trainings staff will attend and why it's important to their NY Connects work.

Objective 2.2: NY Connects is recognized as the access point for long term care information and assistance by the public

Provide the specific NY Connects outreach and public education activities that will be performed for all groups including the private pay, the underserved and culturally diverse populations.

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Objective 2.3: Provide Long Term Care Options Counseling (Enhanced Information and Assistance) in a way that empowers consumers and their families to develop informed solutions that are based on their individual needs, values and preferences.

Though optional, it is recommended that the local programs that have received the NYSOFA NY Connects Options Counseling Training and/or are interested in pursuing this program function answer this question.

From a program delivery perspective, explain how the need for Options Counseling is identified and the programmatic enhancements necessary to provide effective Options Counseling (i.e. staff training, supervision, infrastructure adaptations, resource allocation).

GOAL 3: To evaluate visibility, effectiveness, community involvement, and overall impact of NY Connects on the local long term care system.

Objective 3.1: Evaluate the effectiveness of Information and Assistance.

a. Explain how you will conduct a survey; using either the NYSOFA NY Connects Program Satisfaction Survey or NYSOFA approved locally developed survey, to determine satisfaction of individuals accessing NY Connects.

b. Explain the quality review plan (including process and frequency) that will be used to ensure the accuracy of the information in the NY Connects Long Term Care Resource Directory.

NY Connects Program Year 6: FFY 2011-12
BUDGET CATEGORY AND SUMMARY

PLEASE ENTER
ALLOCATION
AMOUNT



AAA: _____

Contract Period: October 1, 2011 - September 30, 2012

Budget Category		Budget Amount
1	Personnel	\$ -
2	Fringe Benefits	\$ -
3	Equipment	\$ -
4	Travel	\$ -
5	Maintenance and Operations	\$ -
6	Subcontractors and/or Consultants	\$ -
7	Other Expenses	\$ -
8	Total Budget (Sum of Lines 1-7)	\$ -

Note 1: Total budget amount on Budget Summary should equal total budget amount on last page.

Note 2: If Total Budget is blacked out, the allocation amount and the total of all budgeted items are not in balance.

**NY Connects Program Year 6: FFY 2011-12
 Supporting Budget Schedule**

AAA: _____

1. Personnel - AAA salaries are listed here. (DSS and other *county* partners' salaries are listed in the subcontract section, as applicable.)

	Complete for Each Position (Name, Title, Location)	Annual Salary or Hourly Rate	Hours worked on NY Connects per week	Chargeable to the program	
			Total Hours worked per week	% of Time	Amount
1	N				
	T				
	L				
2	N				
	T				
	L				
3	N				
	T				
	L				
4	N				
	T				
	L				
5	N				
	T				
	L				
6	N				
	T				
	L				
7	N				
	T				
	L				
8	N				
	T				
	L				

TOTAL Personnel

Note: If employee is paid a salary, then list the annual salary. If employee is not on salary, then list the hourly rate. When reporting the rate of pay on vouchering forms, the format (i.e., salary or hourly rate) must match this budget (although the actual salary or the hourly rate paid may be different than budgeted).

2. Fringe Benefits- Fringe Benefits should be directly proportional to that portion of personnel costs that are NY Connects related. Provide a clear justification if the expenses are not proportionally allocated.

Fringe Benefit Rate:	%	25.00%	TOTAL Fringe
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NY Connects Program Year 6: FFY 2011-12 Supporting Budget Schedule

AAA: _____

3. Equipment: List all equipment items whether purchased or leased. For all leased equipment, a copy of the lease agreement must be submitted before reimbursement will be made. Provide a detailed description for all equipment with a unit cost of \$1,000 or more. For equipment with a unit cost of less than \$1,000, list the items and the total for these items under Miscellaneous Equipment.

ITEM AND DESCRIPTION	QUANTITY	UNIT PURCHASE PRICE	ANNUAL RENTAL PER UNIT	AMOUNT CHARGEABLE TO PROGRAM
MISCELLANEOUS EQUIPMENT - LIST ITEMS				
Enter sub-total cost from misc items →				
TOTAL Equipment				

4. Travel: List travel costs. Outline reason for travel and indicate the number of staff traveling

Mileage: _____ miles @ _____ per mile	
Parking & Tolls	
Public Transportation	
Rental Vehicles (specify destination:)	
Other Travel Costs (specify)	
Reasons for Travel:	
TOTAL Travel	

**NY Connects Program Year 6: FFY 2011-12
 Supporting Budget Schedule**

AAA: _____

5. Maintenance & Operations (in the space provided, detail each expense)

Equipment Maintenance and Repair:			
Postage:			
Printing & Photocopying:			
Rent: For % charge to Prg" below, enter the percentage as a whole number (e.g., enter 5 for 5%, do not enter .05)			\$ -
_____ (Monthly rent)	_____ (% charge to prg)	_____ (No. of months)	
Location:			
Owner:			
Supplies:			
Telephone:			
Utilities:			
TOTAL Maintenance and Operations			\$ -

NY Connects Program Year 6: FFY 2011-12 Supporting Budget Schedule

AAA: _____

6. Subcontractors/Consultants: List each subcontractor or consultant and amount below. A copy of each subcontract or consultant agreement must be submitted to NYSOFA before reimbursement will be made. Complete and submit a Subcontractor Supporting Budget Schedule for each subcontractor that will receive 25% or more of your grant amount. For Consultants, please list unit rate (e.g., \$25 per hour) and Number of Units in the columns provided. (Note: If you hire a translator, language and/or sign interpreter, include the expense here.) DSS or other county partners' salaries are to be listed in this section.

Subcontractor/Consultant and description of service (List them individually)	# of Units (Consultant)	Total
TOTAL Subcontractors/Contractors		

7. Other Expenses: List specific item and cost.

Itemize all Public Education costs. Promotional materials in the form of informational brochures and the like are acceptable expenses. The cost of "give ways" cannot exceed \$500.

Itemize all Information Technology (IT) costs and provide a justification. This includes such things as the number of licensing user fees, for whom and associated cost, licensing agreement amount, maintenance cost, reporting upgrading fees and/or, NY Connects website costs. An itemized bill from the vendor will be accepted as documentation, as long as it breaks out the costs appropriately.

Public Education:

Information Technology:

Other (Specify):

TOTAL Other	

8. Total Budget: (numbers 1-7)

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New York State Office for the Aging
 NY Connects - Local Assistance Program Allocations
Program year 10/1/11 to 9/30/12 Allocation Schedule

Area Agency On Aging	10/01/2011 - 09/30/2012
Albany	\$62,141
Allegany	43,289
Broome	59,348
Cattaraugus	48,177
Cayuga	44,685
Chautauqua	57,253
Chemung	45,384
Chenango	43,987
Clinton	44,685
Columbia	43,987
Cortland	43,289
Delaware	43,987
Dutchess	60,046
Erie	175,948
Essex	43,289
Franklin	50,969
Fulton	43,987
Genesee	43,987
Greene	43,987
Herkimer	43,987
Jefferson	45,384
Lewis	42,591
Livingston	43,987
Madison	43,987
Monroe	162,682
Montgomery	43,987
Nassau	177,345
Niagara	60,046
Oneida	60,744
Onondaga	154,304
Ontario	44,685
Orange	63,537
Orleans	43,289
Oswego	0
Otsego	43,987
Putnam	44,685
Rensselaer	0
Rockland	60,744
Saratoga	57,951
Schenectady	57,253
Schoharie	43,289
Schuyler	42,591
Seneca	0
St. Lawrence	56,555
Steuben	45,384
Suffolk	180,837
Sullivan	44,685
Tioga	43,289
Tompkins	43,987
Ulster	58,650
Warren	85,880
Washington	43,987
Wayne	44,685
Westchester	168,268
Wyoming	43,289
Yates	42,591
New York City	0
Seneca Indian Res	0
St Regis Indian Res	24,437
Total Local Assistance	<u><u>\$3,350,000</u></u>