

**NEW YORK STATE OFFICE FOR THE AGING**

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor

Corinda Crossdale, Director

An Equal Opportunity Employer

**PROGRAM INSTRUCTION**

**Number 15-PI-07**

**Supersedes: n/a**

**Expiration Date: n/a**

**DATE:** May 11, 2015

**TO:** Area Agencies on Aging  
Local Departments of Social Services

**SUBJECT: Expansion and Enhancement of Existing NY Connects programs**

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**PURPOSE:**

The purpose of this Program Instruction (PI) is to provide direction about and convey the application for funding to expand the capacity of existing NY Connects programs and enhance its functionality. The populations being served are being broadened and new partners are being added to fully realize the No Wrong Door/Single Entry Point structural reform required by the federal Balancing Incentive Program (BIP) authorized under section 10202 of the Patient Protection and Affordable Care Act of 2010 (ACA).

As is currently required, entities administering and operating NY Connects must adhere to a set of prescribed State Program Standards. The NY Connects State Program Standards were updated in December 2014 (14-PI-16) to reflect its evolution since its inception and incorporate requirements related to the federal Balancing Incentive Program (BIP). These Standards are subject to change as NY Connects is being expanded and enhanced as a result of the BIP funding opportunity. Further, the State will be issuing State No Wrong Door (NWD) Operating Protocols and Business Rules detailing the processes and interaction between the staff of NY Connects and the Specialized NWDs (See 14-PI-16).

## **ACTION REQUESTED:**

Please review and complete the attached application for the Expansion and Enhancement of the NY Connects program.

As a result of recent communications from the Centers for Medicare and Medicaid Services (CMS) to the States awarded BIP grants, New York is now able to extend the program period for this initiative to span 4/1/14-12/31/16, allowing for additional time to expend the BIP funds and fully implement all deliverables associated with the No Wrong Door/Single Point of Entry structural reform. However, the local administrative agency and its partners must meet certain designated deliverables by 09/30/15 that will qualify NY Connects to be deemed, "operational", while several other deliverables are being provided additional time to achieve. (See *BIP Implementation Structure and Timeline pages 3&4 of PI and Work Plan*).

Although additional time is being allotted to fully implement several functions; NY Connects must be operated in compliance with the NY Connects State Program Standards transmitted by 14-PI-16 (attached for your convenience), as well as the Standard Assurances and Work Plan contained in this application. Those AAAs entering into an agreement with the New York State Office for the Aging (NYSOFA) to administer NY Connects must collaborate with the Local Department of Social Services (LDSS), and other NY Connects partner agencies to develop and implement NY Connects as specified in the Standard Assurances, NY Connects State Program Standards and in order to meet work plan deliverables.

New York State is expanding NY Connects geographically to have consistent locally based coverage across the entire State as well as being enhanced functionally. Should an AAA not apply for this NY Connects Expansion and Enhancement and enter into an agreement with the State, a Request for Application (RFA) will be issued by the State for a community-based organization or neighboring AAA to operate NY Connects in its entirety within that AAA's Planning and Service Area (PSA).

## **RESPONSE DUE DATE:**

**Applications and original signed cover page must be sent to NYSOFA by June 12, 2015. Applications and original signed cover page received earlier will be processed upon receipt.**

**Electronically submit the signed Signature Page in PDF, completed Budget, and Subcontractor Budget (if applicable) to: [Celeste.Farhart@aging.ny.gov](mailto:Celeste.Farhart@aging.ny.gov)**

**If unable to electronically submit the signed Signature Page in PDF, mail one (1) signed original cover page via US Postal Service to:**

Celeste Farhart  
Bureau of Programs, Services, and Systems Integration  
NY State Office for the Aging  
2 Empire State Plaza, 4<sup>th</sup> floor  
Albany, NY 12223

## **BACKGROUND:**

NY Connects: Choices for Long Term Care, referred to as NY Connects, complies with federal statute creating Aging and Disability Resource Centers (ADRCs) as prescribed by the 2006 Reauthorization of the Older Americans Act and is statutorily mandated through the New York State Elder Law §203(8).

NY Connects is an essential component of the State's efforts to rebalance the long term services and supports (LTSS) system so that people can live independently and remain at home and in their communities. The core functions of the existing NY Connects program have included the provision of Information and Assistance (I&A) and Options Counseling about LTSS for older adults and individuals of all ages with disabilities, as well as their caregivers, regardless of payer source; upholding an active local Long Term Care Council (LTCC); and an ongoing Public Education campaign to promote the program.

The implementation of BIP requires three structural changes in the LTSS system: a No Wrong Door/Single Entry Point (NWD/SEP), a Core Standardized Assessment, and Conflict-Free Case Management. In New York State, to meet the structural reform of a NWD/SEP, NY Connects is being expanded geographically and functionally enhanced. Through additional partnerships and resources, it is being built upon to increase capacity, functionality and consistency in assisting individuals of any age or disability and their caregivers who are in need of long term services and supports. (See 14-PI-16 for more information). Enhanced functionality includes the addition of the following core functions: collaboration with the State designated specialized NWDs; implementation of a preliminary functional and financial NWD screen; application and enrollment assistance for public benefit programs including Medicaid as appropriate; coordination with other agencies to guide the individual through financial and functional eligibility determination processes as well as linkage for a comprehensive assessment as appropriate; person centered assistance/options counseling; care transitions; expanded provider listings in the State on-line NY Connects Resource Directory and quality assurance (see details NY Connects State Program Standards).

## **BIP IMPLEMENTATION STRUCTURE AND TIMELINE:**

As previously stated, New York is now able to extend the overall program period for this initiative by an additional nine months to cover a program period of 04/01/14-12/31/16. The additional time will allow for flexibility for counties to meet the full set of deliverables for BIP but certain key activities must be in place and documented prior to or by 09/30/15 to demonstrate that the new expanded structure for the No Wrong Door is operational to serve all required populations and in compliance with the timeline stipulated by CMS. Those activities are as follows and apply to all counties:

Prior to or by September 30, 2015 - Operational Deliverables and Required Documentation:

- Deliverable 1.2: (a) signed agreement between the AAA, LDSS, and local operating agency; (b) signed agreement with any other partners or subcontractors.
- Deliverable 1.3: NWD Implementation Team Member listing.
- Deliverable 2.1: established staffing structure to support BIP structural changes.
- Deliverable 2.3: accessibility compliance plan.
- Deliverable 2.4: identified Health Commerce System (HCS) Coordinators.
- Deliverable 2.5: (a) submission of local NY Connects phone number that calls will be routed to by the State automated toll-free number; (b) submission of call flow upon receipt of call routed by State automated toll-free number.
- Deliverable 2.6: training on the new statewide database and resource directory.
- Deliverable 2.7: identification of new provider types to be added to the resource directory.
- Deliverable 3.1: description of plan to purchase technology to expedite service linkages.
- Deliverable 3.7: (a) copy of updated protocols for streamlining access to public benefits and application assistance; (b) number of units of application assistance to populations served under BIP; (c) number of referrals to resources that provide application assistance.
- Deliverable 4.2: (a): submission of updated policies and procedures.

Remaining Deliverables (Pilot Counties, Groupings for Training and No Wrong Door (NWD) Screening Tool accessible through the Health Commerce System):

There are certain deliverables that are specific to State provided training and the roll out of the NWD Screen (also referred to as the Level 1 Screen) within the Universal Assessment (UAS) Tool application that will be implemented using phased-in approach. NYSOFA and the New York State Department of Health will work together to provide training and technical assistance to local NY Connects programs, which will be accomplished through this phased-in approach. Two NY Connects programs with demonstrated advanced readiness to fulfill BIP requirements and enhanced NY Connects functionality will be selected to pilot full implementation of the NWD screen and meet all deliverables. The remaining counties will be placed into two groups (Group 1 and Group 2). The pilot counties will be the first to receive training and technical assistance on the implementation of the NWD Screen, followed by Group 1 and then Group 2 (See Compliance Dates for NWD Deliverables that are specific to each group). The State will develop readiness review criteria and work with the local administrative agency and NY Connects to determine which counties will fall into the first or the second group. Additional guidance will be forthcoming.

## **BUDGET DIRECTION:**

The NY Connects Expansion and Enhancement Allocation Schedule and the NY Connects Program Budget are included in this packet. The Supporting Budget Schedule pages contained within the Program Budget form automatically calculate the total for each section and populate the totals to the Summary Budget. The local NY Connects program budget, as part of the grant application, must be consistent with the Standard Assurances and Program Work Plan and adhere to the following:

1. Funds are to be used solely for NY Connects purposes. Local programs are to include personnel and allowable infrastructure (e.g. equipment, technology upgrades, hardware) 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. Along with contracts entered into under this program, personnel costs for county agencies other than the AAA are to be listed in the contracts and/or consultants section of the budget (e.g. LDSS) (In Supporting Budget Schedule Section 7). Please provide a brief description of the various titles being funded. Include what their role is related to the NY Connects core functions and/or administrative tasks associated with supporting the program.
3. 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 (In Supporting Budget Schedule Section 4).
4. Contract/consultant costs are allowable in the NY Connects budget. Include type of contract and description in the budget. When utilizing a contractor, please list the name of the contractor and dollar amount in Section 7 of the Supporting Budget Schedule and also complete a corresponding budget (Contractor Budget Schedule) for each contractor identified. When completing the Contractor Budget Schedule, funds should be appropriated to the budget categories provided in the form.
5. Advertising and promotional materials in the form of informational brochures and educational materials are acceptable expenses. Materials must be consistent with State branding of NY Connects. However, the costs of "giveaways" are not an allowable expense under this funding. All materials developed for public distribution through this agreement must include the following attribution and disclaimer: "This document was developed under grant CFDA 93.778 from the U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services. However, these contents do not necessarily represent the policy of the U.S. Department of Health and Human Services, and you should not assume endorsement by the Federal Government."

6. Public Education and Outreach costs are to be itemized (In Supporting Budget Schedule Section 6). Please provide a brief explanation of the activity and how it relates to NY Connects.
7. Reimbursement for technology or related technology costs associated with building or maintaining separate local directories of long term services and supports is not permitted under this funding stream. Costs such as personnel to update the resource listings in the State NY Connects Long Term Services and Supports Resource Directory public website are allowable charges to NY Connects funding.
8. 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 is appropriate for NY Connects funding to pay for some 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 client data reporting software costs charged to Title III as well as CSE, EISEP, WIN, CSI, and other program funding sources in amounts commensurate with each program's use of the client level data. AAAs 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, staff titles 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 (In Supporting Budget Schedule Section 6).
9. IT hardware, subscription and licensing user fees associated with the NY Connects program must be allocated in amounts commensurate with the program's use. Indicate the user names, job titles and the total allocated cost of expenses (In Supporting Budget Schedule Section 6).
10. Allowable costs must be incurred by the AAA during the Program period of April 1, 2014 to December 31, 2016. Final claims must be submitted within **forty-five (45) days** of the end of the program period.
11. Allowable costs must be incurred and paid by the AAA before reimbursement claims may be submitted to NYSOFA. However, each program year, a NY Connects program may request an advance of up to twenty-five (25) percent of its grant award, subject to formal notification by NYSOFA of grant approval.

## **REPORT SUBMISSION:**

NY Connects follows a quarterly reporting schedule. A Program Instruction related to reporting will be issued separately.

**NEXT STEPS:**

A conference call with prospective applicants will be scheduled to review grant application requirements. Vouchering procedures and forms, and the Qualitative and Quantitative reports with instructions will be sent under separate cover and a subsequent conference call is planned to explain the reporting requirements.

**PROGRAMS AFFECTED:**

- Title III-B       Title III-C-1       Title III-C-2
- Title III-D       Title III-E       CSE       WIN       Energy
- EISEP       NSIP       Title V       HIICAP       LTCOP
- NY Connects

**CONTACT PERSON:** Michael Gunn  
**EMAIL:** Mike.Gunn@aging.ny.gov

**TELEPHONE:** 518-474-6139



**NEW YORK STATE OFFICE FOR THE AGING  
GRANT APPLICATION COVER PAGE**

**NY Connects Expansion and Enhancement Program  
For the Period 4/1/14 to 12/31/16**

Area Agency on Aging: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Zip: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_

Contact person: \_\_\_\_\_ Email: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_

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

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

\_\_\_\_\_ Date: \_\_\_\_\_  
Signature of person authorized to enter into agreement  
with the New York State Office for the Aging

## **NY CONNECTS EXPANSION AND ENHANCEMENT- STANDARD ASSURANCES**

**Program Period: April 1, 2014 to December 31, 2016**

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 Work Plan 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 and in accordance with any updates thereafter.

1. The AAA agrees to fulfill the reporting requirements of NYSOFA under this Grant Agreement. This includes submitting the required NYSOFA/NY Connects reports (the NY Connects Qualitative and Quantitative reports) within appropriate time frames.
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 prior consent, in writing, of NYSOFA.
3. The AAA agrees to submit Form AC3253-S CLAIM FOR PAYMENT for reimbursement of expenses incurred in the conduct of this Grant Agreement on a quarterly basis.

The AAA will submit to NYSOFA the final voucher for expenses incurred in the conduct of this Grant Agreement as soon as possible and no later than forty-five (45) 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 applicable Program Work Plan(s) and Budget(s). Allowable items of expense shall be reasonable, allocable and necessary to carry out the activities described in the specific Grant Agreement. However, the cost of "giveaway" items are not an allowable expense under this funding.
6. The AAA agrees to comply with NYS branding, design, logo and tagline requirements relative to NY Connects marketing and outreach to maintain consistency throughout the state. All materials developed for public distribution through this agreement must include the following attribution and disclaimer: "This document was developed under grant CFDA 93.778 from the U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services. However, these contents do not necessarily represent the policy of the U.S. Department of Health and Human Services, and you should not assume endorsement by the Federal Government."

7. The AAA agrees to operate the NY Connects program in accordance with the most recent NY Connects State Program Standards and State NWD Operating Protocols and Business Rules.
8. The AAA agrees to work in partnership with the Local Departments of Social Services (LDSS) and State contracted Independent Living Centers (ILCs) and/or other Community Based Organizations (CBOs) serving individuals with physical disabilities; and work in concert with the Office for People With Disabilities (OPWDD) and Office for Mental Health (OMH) Specialized No Wrong Doors (NWDs), plus any other NY Connects partner agencies to fulfill the requirements of the NY Connects Program.
9. The AAA agrees that the NY Connects staff shall participate in all State mandated trainings, as frequently as necessary to perform core functions, and improve, refine and/or update skills to perform those functions.
10. The AAA agrees that the NY Connects I&A Specialist(s) will conduct individualized, person-centered screening utilizing the State-designated screening tool to guide the delivery of long term services and supports options and possible services and supports to meet identified needs. Screening will consist 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.
11. The AAA agrees that the NY Connects phone is answered in such a manner to indicate that the caller has reached NY Connects.
12. The AAA agrees the NY Connects program will have signage that provides "visibility" for individuals who may choose to walk-in and meet with someone in person.
13. The AAA agrees to provide and document outreach and public education activities for populations of all ages needing LTSS including the private pay, those eligible for publicly funded services, and minority low-income, frail, vulnerable and limited English proficiency (LEP) populations as identified in NYSOFA's Equal Access and Targeting Policy in 12-PI-08.
14. The AAA agrees to recruit membership for the NY Connects Local Long Term Care Council (LTCC) in collaboration with the local operating agency (if different), Specialized NWDs covering AAA Planning and Services Area (PSA), and State contracted ILC or CBO as well as any other partners. The AAA will maintain a current NY Connects LTCC Membership Roster which must include contact information, organization and target population(s) represented.
15. The AAA agrees to work with health care systems, including but not limited to hospitals, health homes, medical homes, and other health care providers as well as other service systems, as appropriate, through public education activities, collaboration, and referrals to NY Connects in efforts to support consumers' ability to remain successfully in the most appropriate and least restrictive environment.
16. The AAA agrees to identify long term services, supports and providers in the county(s) within its Planning and Service Area which meets NYSOFA's Inclusion/Exclusion Policy and adds, maintains and updates listings to the Statewide NY Connects Long Term Services and Supports Resource Directory.
17. The AAA agrees to maintain a data collection process in accordance with state requirements.

18. The AAA agrees to maintain an effective NY Connects infrastructure related to purpose and function in all core functions.
19. 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 NYSOFA may terminate the Grant Agreement immediately, upon written notice of termination to the Grantee.

**NY Connects Expansion and Enhancement Work Plan  
Program Period April 1, 2014 – December 31, 2016**

\*Note: The **Compliance Date** is when the Documentation or metric needs to be completed. The **Reporting Date** is when the documentation needs to be submitted.

<b>GOAL 1: To engage in planning and collaboration in order to support and improve access to an integrated long term services and supports delivery system.</b>			
<b>Deliverable:</b>	<b>Documentation or Metric:</b>	<b>Compliance Date*:</b>	<b>Reporting Date*:</b>
<p>1.1. In accordance with NY Connects State Program Standard 20, a Long Term Care Council (LTCC) is created that consists of membership representing all age groups (children, adult, older adult) as well as individuals with physical, behavioral health, and intellectual disability and/or developmental disability.</p> <p>New members are recruited to represent populations not currently participating in the LTCC.</p>	<p>a. LTCC membership listing.</p> <p>b. Meeting minutes.</p>	<p>a. December 2015</p> <p>b. December 2015</p>	<p>a. January 31, 2016</p> <p>b. January 31, 2016 and quarterly thereafter.</p>
<p>1.2. 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), contract or subcontract is developed.</p> <p>Each written agreement must, at a minimum, specifically delineate each of the following respective roles and responsibilities:</p> <ul style="list-style-type: none"> <li>• the provision of the core NY Connects functions of: <ul style="list-style-type: none"> <li>- NWD Screen,</li> </ul> </li> </ul>	<p>a. Copy of signed and dated written agreement between the Area Agency on Aging (AAA), Local Department of Social Services (LDSS), and local operating agency if different, that reflects additional NY Connects functionality.</p> <p>b. Copy of signed and dated written agreement with any other partners or subcontractors.</p> <p>c. Copy of signed and dated written</p>	<p>a. July 2015</p> <p>b. September 2015</p> <p>c. November 2015</p>	<p>a. August 31, 2015</p> <p>b. October 31, 2015</p> <p>c. January 31, 2016</p>

<ul style="list-style-type: none"> <li>- Information and Assistance, including Application Assistance for public programs</li> <li>- Options Counseling,</li> <li>- Public Education,</li> <li>- Long Term Care Council,</li> <li>- NWD Implementation Team</li> <li>- Evaluation</li> <li>- Data Collection and Reporting,</li> <li>• staffing</li> <li>• referral protocols between the LDSS and NY Connects/Hub,</li> <li>• funding,</li> <li>• administrative, and</li> <li>• fiscal responsibilities.</li> </ul>	<p>agreement with the State Contracted ILC or CBO and its subcontractor if applicable.</p> <p>d. Copy of signed and dated written agreement (s) is provided when amended or replaced.</p>	<p>d. Ongoing as occurs.</p>	<p>d. Ongoing as occurs.</p>
<p>1.3. In accordance with NY Connects State Program Standard 1.8, a Local NWD Implementation Team will be established consisting of representatives of each of the NY Connects partners required by NY Connects State Program Standard 1.1 and of the Specialized NWD partners designated by OPWDD and OMH. The Local NWD Implementation Team shall:</p> <ul style="list-style-type: none"> <li>• Conference or meet at least monthly to establish seamless linkages, communication strategies, best practices and other local implementation strategies which align with the NY Connects State Program Standards and State NWD Operating Protocols.</li> <li>• Identify and work on addressing barriers that may be impeding implementation.</li> <li>• Identify outcome measures.</li> </ul>	<p>a. NWD Implementation Team Member List showing representation of each agency.</p> <p>b. Meeting minutes.</p> <p>c. Report on barriers and strategies to mitigate.</p> <p>d. Report on outcomes and impact of interrelationships.</p>	<p>a. September 2015</p> <p>b. December 2015 and monthly thereafter.</p> <p>c. March 2016</p> <p>d. July 2016</p>	<p>a. October 31, 2015 and quarterly updates as changes occur.</p> <p>b. January 31, 2016 and quarterly thereafter.</p> <p>c. April 30, 2016</p> <p>d. October 31, 2016</p>

<b>GOAL 2: Develop the infrastructure necessary to successfully meet the BIP requirements and the revised NY Connects Standards</b>			
<b>Deliverable:</b>	<b>Documentation or Metric:</b>	<b>Compliance Date:</b>	<b>Reporting Date:</b>
2.1. In accordance with NY Connects State Program Standard 5, NY Connects will have an established staffing structure necessary to support and sustain the NY Connects program including the enhancements required by the BIP structural changes.	a. Copy of updated organizational chart and job descriptions that reflects staff structure.  b. Updates as necessary.	a. July 2015  b. Ongoing as occurs.	a. August 31, 2015  b. Ongoing as occurs.
2.2. In accordance with NY Connects State Program Standard 14, staff providing Information and Assistance and/or Person-Centered Assistance/Options Counseling will participate in training on the No Wrong Door Screen. Training will consist of the following parts: <ul style="list-style-type: none"> <li>• Systems training</li> <li>• Practical training</li> </ul>	a. Certificate of Completion.	<b>a. See attached grid for phased-in timelines.</b>	<b>a. See attached grid for phased-in timelines.</b>
2.3. In accordance with NY Connects State Program Standard 10, an accessibility plan will be provided that outlines how the NY Connects will provide barrier-free access to its services that accommodates people with special needs and access for individuals who speak languages other than English.  NY Connects will ensure accessibility compliance in the following ways: <ul style="list-style-type: none"> <li>• Physical accessibility, as per federal, state, and local laws, regulations, and issuances.</li> <li>• Language accessibility for consumers with limited English proficiency.</li> </ul>	a. Copy of accessibility plan.  b. Updates as necessary.	a. August 2015  b. Ongoing as occurs.	a. August 31, 2015  b. Ongoing as occurs.

<ul style="list-style-type: none"> <li>• Communication accessibility for individuals with disabilities through auxiliary aids and services (TTY/TTD, large print materials, audio recordings, Braille, etc.).</li> </ul>			
<p>2.4. In accordance with NY Connects State Program Standard 14.1, an appropriate AAA Executive staff person will be identified to act as the Health Commerce System (HCS) Coordinator to complete the identify proofing process for NY Connects staff members, so they may obtain HCS User Names and IDs. An additional AAA or NY Connects Supervisory staff member will be identified to assign HCS roles to NY Connects staff that will be responsible for administering the NWD Screen that is accessed through the HCS.</p>	<p>a. Identified HCS Coordinators must be submitted to NYSOFA no later than the reporting date.</p>	<p>a. June 15, 2015</p>	<p>a. June 15, 2015</p>
<p>2.5. In accordance with NY Connects State Program Standard 9.3, NY Connects will be accessible through the State automated toll-free telephone number.</p>	<p>a. Submit local telephone number that calls will be routed to at the local NY Connects no later than the reporting date.</p> <p>b. Description of call flow upon receipt of call routed from the State automated toll-free telephone number.</p> <p>c. Description update is provided whenever changes are made to the call flow.</p>	<p>a. June 15, 2015</p> <p>b. July 2015</p> <p>c. Ongoing as occurs.</p>	<p>a. June 15, 2015</p> <p>b. July 31, 2015</p> <p>c. Ongoing as occurs.</p>
<p>2.6. In accordance with NY Connects State Program Standard 12, staff providing Information and Assistance and/or Person-Centered Assistance/Options Counseling will</p>	<p>a. Certificate of Completion</p>	<p>a. September 2015</p>	<p>a. September 30, 2015</p>

participate in training on the new statewide database and new resource directory.			
2.7. 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. Provider listings in the NY Connects Resource Directory listings must also include all NY Connects Network Partners (NY Connects (Hub) and Specialized NWDs) listings so consistent and comprehensive information is shared across settings.	a. Identify any new provider types to be added to the Resource Directory as a result of the expansion to serve additional populations.	a. September 2015	a. September 30, 2015
<b>GOAL 3: To sustain and enhance a NY Connects program that serves individuals and caregivers in need of long term services and supports through the operation of core functions in a manner that supports their independence and self-determination.</b>			
<b>Deliverable:</b>	<b>Documentation or Metric:</b>	<b>Compliance Date:</b>	<b>Reporting Date:</b>
3.1. In accordance with NY Connects State Program Standard 9, staff providing Information and Assistance and/or Person-Centered Assistance/Options Counseling have access to the necessary technology to expedite service linkages (e.g., laptops, scanners, MIFI, portable printers, phone system that can conduct three way calls and provide ability to do "warm transfers", etc.)	a. Description of plan to purchase technology.	a. August 2015	a. October 31, 2015
3.2. In accordance with NY Connects State Program Standard 15, the NY Connects program will provide Information and Assistance about long term services and supports to all populations as required by the BIP structural changes. Program	a. Compliance with enhanced NY Connects reporting requirements.	<b>a. See attached grid for phased-in timelines.</b>	<b>a. See attached grid for phased-in timelines.</b>

<p>enhancements must be made, as necessary, to accommodate:</p> <ul style="list-style-type: none"> <li>• Off-site visits</li> <li>• Seamless coordinated transfers to the Specialized NWDs</li> <li>• Linkages to more intensive services</li> </ul>	<p>b. Description of actions to implement BIP program enhancements.</p>	<p><b>b. See attached grid for phased-in timelines.</b></p>	<p><b>b. See attached grid for phased-in timelines.</b></p>
<p>3.3. In accordance with NY Connects State Program Standard 2, NY Connects will implement the NWD Screen to collect prescribed information on individual and caregiver needs, likelihood of financial and programmatic eligibility, and type of services and resources that might best meet the needs of the individual and/or caregiver.</p>	<p>a. Compliance with the NWD Screen and the Uniform Assessment System of New York accessed through the Health Commerce System (HCS).</p>	<p><b>a. See attached grid for phased-in timelines.</b></p>	<p><b>a. See attached grid for phased-in timelines.</b></p>
<p>3.4. In accordance with NY Connects State Program Standard 19, NY Connects will comply with the statewide public education campaign by utilizing materials that are developed and approved by the state.</p>	<p>a. Demonstrated compliance with the statewide public education campaign.</p>	<p>a. September 2015</p>	<p>a. October 31, 2015</p>
<p>3.5. In accordance with NY Connects State Program Standard 18, the NY Connects program will facilitate safe transitions for individuals transitioning from one setting to another by establishing partnerships with critical pathway providers (hospitals, physicians, skilled nursing facilities, assisted living facilities).</p>	<p>a. Units of targeted outreach to critical pathway providers.</p> <p>b. Number of referrals from critical pathway providers.</p>	<p>a. March 2016</p> <p>b. July 2016</p>	<p>a. April 30, 2016 and quarterly thereafter.</p> <p>b. October 31, 2016</p>
<p>3.6. In accordance with NY Connects State Program Standard 17, NY Connects will implement Options Counseling/Person-Centered Assistance protocols that reflect the NWD structure and adhere to the Administration for Community Living's National Standards on Options Counseling.</p>	<p>a. Number of units of Options Counseling/Person-Centered Assistance for each of the types of populations served.</p>	<p>a. July 2016</p>	<p>a. October 31, 2016</p>

<p>3.7. In accordance with NY Connects State Program Standard 16, NY Connects will implement protocols for streamlining access to public benefits and application assistance, which include the following:</p> <ul style="list-style-type: none"> <li>• Assistance with submitting a completed application</li> <li>• Following up on eligibility determination status</li> <li>• Promoting the use of resources such as the myBenefits pre-screening website and NY State of Health (NYSOH) website</li> <li>• Linking to entities for necessary support in application process</li> <li>• Utilizing the NWD Screen to facilitate sharing of benefit information and communication with the Specialized NWDs.</li> </ul>	<p>a. Copy of updated protocols that are inclusive of populations served under BIP.</p> <p>b. Number of units of application assistance to populations served under BIP.</p> <p>c. Number of referrals to myBenefits pre-screening, NYSOH, entities that provide application assistance.</p>	<p>a. September 2015</p> <p>b. September 2015</p> <p>c. September 2015</p>	<p>a. October 31, 2015</p> <p>b. October 31, 2015 and quarterly thereafter.</p> <p>c. October 31, 2015 and quarterly thereafter.</p>
<p><b>GOAL 4: To develop a full “No Wrong Door” system network that provides consistent information and assistance across populations under the Balancing Incentive Program.</b></p>			
<p><b>Deliverable:</b></p>	<p><b>Documentation or Metric:</b></p>	<p><b>Compliance Date:</b></p>	<p><b>Reporting Date:</b></p>
<p>4.1. In accordance with NY Connects State Program Standard 21, NY Connects will submit an evaluation plan and report that includes the examination of measurable objectives, outcomes, and existing or future state/federal requirements.</p>	<p>a. Copy of evaluation plan.</p> <p>b. Copy of evaluation report</p>	<p>a. January 2016</p> <p>b. September 2016</p>	<p>a. April 30, 2016</p> <p>b. October 31, 2016</p>
<p>4.2. In accordance with NY Connects State Program Standard 11, NY Connects has established written policies and procedures that comply with and incorporate the core elements of the revised NY Connects Standards (14-PI-16) and the State NWD Operating Protocols.</p>	<p>a. Copy of updated policies and procedures.</p> <p>b. Copy of revisions as occur.</p>	<p>a. September 2015</p> <p>b. Ongoing as occurs.</p>	<p>a. October 31, 2015</p> <p>b. Ongoing as occurs.</p>

<p>4.3. In accordance with NY Connects State Program Standard 5, NY Connects will participate in all required trainings to support the implementation of NY Connects and the BIP structural changes.</p>	<p>a. Documentation of participation in state required and local trainings (e.g., provision of information and assistance, informed consent, HIPPA, HCS, PASSR). Documentation should include training attendance records, online record of completion, or recorded through the training log on the NY Connects reporting website.</p>	<p>a. Ongoing as occurs.</p>	<p>a. Ongoing as occurs.</p>
<p>4.4. In accordance with NY Connects State Program Standard 22, staff time spent on NY Connects Medicaid-related activities will be tracked.</p>	<p>a. Description of current practices and compliance with 2 CFR Part 225 (formerly recognized as OMB Circular A-87) Attachment B, Item 8.h. - time study requirements.</p> <p>b. Time study documentation.</p>	<p>a. January 2016 and whenever revised.</p> <p>b. January 2016</p>	<p>a. April 30, 2016 and quarterly thereafter.</p> <p>b. April 30, 2016 and quarterly.</p>

**Compliance Dates for Phased-In NWD Deliverables**

<b>Del. #</b>	<b>Deliverable/Metric</b>	<b>Pilot County: 10/1/15</b>	<b>Group 1 Counties: 4/1/16</b>	<b>Group 2 Counties: 10/1/16</b>
2.2	Training on the NWD Screen	8/30/15	2/28/16	8/30/16
3.2.a	Providing I&A to all populations as required by BIP including: off-site visits, transfers to specialized doors, linkages to more intensive services. (Compliance with enhanced NY Connects reporting requirements).	9/30/15	3/31/16	9/30/16
3.2.b	Description of actions to implement BIP program enhancements <i>as described in 3.2.a</i>	1/31/16	7/31/16	9/30/16
3.3	Implement the NWD Screen through the HCS	9/30/15	3/31/16	9/30/16

**NY Connects Expansion and Enhancement 2014-2016  
SUMMARY BUDGETS**

AAA: \_\_\_\_\_ **Allocation Amount**

Program Period: April 1, 2014 - December 31, 2016

	<b>Budget Category</b>	<b>Budget Amount</b>
1	Personnel	
2	Fringe Benefits	
3	Equipment	
4	Travel	
5	Maintenance and Operations	
6	Other Expenses	
7	Contracts and/or Consultants	
8	<b>Total Budget (Sum of Lines 1-7)</b>	
9	<b>State Funds Requested</b>	
10	<b>Local Funds</b>	
11	<b>Other Funding</b>	

Notes The Total Budget amount (Line 8) must equal the Total Budget amount (Line 8) on the last page.

Area Agencies may include additional Local and Other Funding - matching funds - in the budget above, however additional funds are not required.

Area Agencies must list all resources used to support the NY Connects Program in the chart below.

If Local or Other Funding is included in the NY Connects budget the entries below must equal Lines 10 and 11 above.

Do not include any NYSOFA funds listed below in the budget above.

**NY Connects Resources- Typical Year**

<b>Funding Source</b>	<b>Amount</b>
<b>NYSOFA Funding:</b>	
1.) New York Connects Base Funding	
2.) Title III-B	
3.) CSE	
4.) Other NYSOFA Sources (Please Specify):	
a.)	
b.)	
Total NYSOFA Funding:	
<b>Line 10. - Local Funding:</b>	
1.) Cash	
2.) Other County Sources (Please Specify):	
a.)	
b.)	
Total Local Funding:	
<b>Line 11. - Other Funding Sources (Please Specify):</b>	
1)	
2)	
3)	
Total Other Funding Sources:	
<b>Grand Total NY Connects Operating Budget:</b>	

**NY Connects Expansion and Enhancement 2014-2016  
Supporting Budget Schedules**

AAA: \_\_\_\_\_

1. Personnel - AAA salaries are listed here. ( DSS and other <i>county</i> partners' salaries are listed in the contract section, as applicable.)							
	Complete for Each Position (N)ame, (T)itle, (L)ocation	Annual Salary or Hourly Rate*	Hours worked on program per week	Total Hours worked per week	Chargeable to Program		Narrative justification: For each position, provide a brief summary of duties related to each program.
					% 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						
9	N						
	T						
	L						
10	N						
	T						
	L						
11	N						
	T						
	L						
<b>TOTAL Program Personnel:</b>							
*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).							
<b>2. Fringe Benefits-</b> Fringe Benefits should be directly proportional to that portion of personnel costs that are program related. Provide a clear justification if the expenses are not proportionally allocated.							
<b>Fringe Benefit Rate %:</b>					<b>TOTAL Fringe:</b>		

## NY Connects Expansion and Enhancement 2014-2016 Supporting Budget Schedules

AAA: \_\_\_\_\_

<b>3. Equipment:</b> List all equipment items whether purchased or leased. 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
<b>Miscellaneous Equipment- List Items</b>				
	Enter total cost for misc.			
	<b>TOTAL Equipment:</b>			
<b>4. Travel:</b> List travel costs. Outline reason for travel and indicate the number of staff traveling.(e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., two people to 3-day training at \$X airfare, \$X lodging, \$X food).				
<b>Mileage:</b> _____ miles @ _____ per mile <b>Parking &amp; Tolls</b> <b>Public Transportation</b> <b>Rental Vehicles (specify destination:)</b> <b>Other Travel Costs (specify):</b>				
<b>Reasons for Travel:</b>				
<b>TOTAL Travel</b>				

# NY Connects Expansion and Enhancement 2014-2016

## Supporting Budget Schedules

AAA: \_\_\_\_\_

<b>5. Maintenance &amp; Operations</b> (in the space provided, detail each expense)			
	<b>Program Expenses</b>		
<b>Equipment Maintenance and Repair:</b>			
<b>Postage:</b>			
<b>Printing &amp; Photocopying:</b>			
<b>Rent:</b>			
	Monthly Rent	% Charge to Prg	No. of months
NY Connects:			
Location:			
Owner:			
<b>Supplies:</b>			
<b>Telephone:</b>			
<b>Utilities:</b>			
<b>TOTAL M&amp;O:</b>			

# NY Connects Expansion and Enhancement 2014-2016 Supporting Budget Schedules

AAA: \_\_\_\_\_

<b>6. Other Expenses: List specific item and cost.</b>		
Itemize all Public Education costs. Promotional materials in the form of informational brochures and the like are acceptable expenses. "Giveaways" are not an allowable expense under this funding.		
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, program website costs. An itemized bill from the vendor will be accepted as documentation, as long as it breaks out the costs appropriately.		
		<b>Program Expenses</b>
<b>Public Education:</b>		
<b>Information Technology:</b>		
<b>Other (Specify):</b>		
<b>TOTAL Other Expenses:</b>		
<b>7. Contracts/Consultants:</b> List each contractor or consultant and amount below. A copy of each contract or consultant agreement must be submitted to NYSOFA before reimbursement will be made. Complete and submit a Contractor Budget for each contractor 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.		
Contractor/Consultant and description of service <b>(List them individually)</b>	# of Units (Consultant)	Program Total
<b>TOTAL Contractors/Consultants:</b>		
<b>8. Total Budget: (numbers 1-7)</b>		

# NY Connects Expansion and Enhancements 2014-2016

## CONTRACTOR SUMMARY BUDGETS

Contractor: \_\_\_\_\_ **Allocation Amount**

Program Period: April 1, 2014 - December 31, 2016

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

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

**NY Connects Expansion and Enhancements 2014-2016  
Contractor Supporting Budget Schedules**

Contractor: \_\_\_\_\_

**1. Personnel** - Contractor salaries are listed here.

	Complete for Each Position (N)ame, (T)itle, (L)ocation	Annual Salary or Hourly Rate*	Hours chargeable to program per	Total Hours worked per week	Chargeable to Program		Narrative justification: For each position, provide a brief summary of duties related to each program.
					% 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						
9	N						
	T						
	L						
10	N						
	T						
	L						
11	N						
	T						
	L						

**TOTAL Program 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 program related. Provide a clear justification if the expenses are not proportionally allocated.

**Fringe Benefit Rate %:**

**TOTAL Fringe:**

# NY Connects Expansion and Enhancements 2014-2016

## Contractor Supporting Budget Schedules

Contractor: \_\_\_\_\_

<b>3. Equipment:</b> List all equipment items whether purchased or leased. 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
<b>Miscellaneous Equipment- List Items</b>				
	Enter total cost for misc items →			
	<b>TOTAL Equipment:</b>			
<b>4. Travel:</b> List travel costs. Outline reason for travel and indicate the number of staff traveling.(e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., two people to 3-day training at \$X airfare, \$X lodging, \$X food).				
Mileage: _____ miles @ _____ per mile				
Parking & Tolls				
Public Transportation				
Rental Vehicles (specify destination:)				
Other Travel Costs (specify):				
<b>Reasons for Travel:</b>				
<b>TOTAL Travel</b>				

## NY Connects Expansion and Enhancements 2014-2016 Contractor Supporting Budget Schedules

Contractor: \_\_\_\_\_

5. Maintenance & Operations (in the space provided, detail each expense)			
	<b>Program Expenses</b>		
<b>Equipment Maintenance and Repair:</b>			
<b>Postage:</b>			
<b>Printing &amp; Photocopying:</b>			
<b>Rent:</b>			
	Monthly Rent	% Charge to Prg	No. of months
NY Connects: _____			
Location: _____			
Owner: _____			
<b>Supplies:</b>			
<b>Telephone:</b>			
<b>Utilities:</b>			
<b>TOTAL M&amp;O:</b>			



New York State Office for the Aging  
 NY Connects Expansion and Enhancement Program  
 (including Balancing Incentive Program )  
 Allocation Schedule

Program Period - 4/1/14-12/31/16 (current NY Connects programs)  
 \* Program Period - 1/1/15-3/31/16 (first time NY Connects programs)

<u>Area Agency On Aging</u>	<u>Total Funding</u>
Albany	\$437,859
Allegany	223,711
Broome	390,652
Cattaraugus	265,823
Cayuga	222,315
Chautauqua	392,747
Chemung	268,616
Chenango	223,013
Clinton	269,315
Columbia	270,013
Cortland	223,711
Delaware	223,013
Dutchess	439,954
Erie	624,053
Essex	223,711
Franklin	216,031
Fulton	223,013
Genesee	223,013
Greene	223,013
Herkimer	270,013
Jefferson	221,616
Lewis	224,409
Livingston	223,013
Madison	223,013
Monroe	637,319
Montgomery	223,013
Nassau	622,656
Niagara	389,954
Oneida	439,256
Onondaga	645,696
Ontario	269,315
Orange	436,463
Orleans	223,711
Oswego *	314,000
Otsego	223,013
Putnam	269,315
Rensselaer *	450,000
Rockland *	439,256
St. Lawrence	257,445
Saratoga	392,049
Schenectady	392,747
Schoharie	223,711
Schuyler	224,409
Seneca *	267,000
Steuben	268,616
Suffolk	619,163
Sullivan	269,315
Tioga	223,711
Tompkins	270,013
Ulster	391,350
Warren/Hamilton	228,120
Washington	223,013
Wayne	269,315
Westchester	631,733
Wyoming	223,711
Yates	224,409
New York City *	6,800,000
Seneca Indian Res *	118,000
St Regis Indian Res	93,563
<b>Total Local Assistance</b>	<b>\$24,940,000</b>