



**NY Connects**  
Your Link to Long Term  
Services and Supports

# NY Connects

**[Agency Name]**

## Policies and Procedures

**Prepared by:** \_\_\_\_\_

**Approved by:** \_\_\_\_\_

**Effective:** \_\_\_\_\_

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## I. ORGANIZATIONAL AND PROCEDURAL FUNCTIONS

### A. ADMINISTRATION

#### **Establishment of a Local NY Connects (Standard 1)**

1. The local administrative entity, local operating entity, and each of the partners and their subcontractors will enter into a formalized relationship defining roles and responsibilities through a formal written agreement such as a Memorandum of Understanding (MOU).
2. The local administrative entity may subcontract any or all functions of NY Connects but retains responsibility to assurance adherence to the NY Connects NWD System State Program Standards in the implementation of the local NY Connects.
3. The local administrative entity and its NY Connects NWD System Partners will perform the NY Connects core functions in a singular identity and voice.
4. All NY Connects NWD System Partners will adhere to the NY Connects NWD System State Program Standards.
5. A local NWD Implementation Team will be established consisting of representatives of each of the NY Connects NWD System Partners with the goal of establishing seamless linkages, communication strategies, and best practices for NWD operations.
6. The local NY Connects uses the state prescribed branding requirements.

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**Policy:** NY Connects is established as the NWD System.

**Effective Date:**

**Revision Date:**

**Procedure:** *[Describe how your agency will establish NY Connects as the NWD System in your locality according to the NY Connects NWD System State Program Standards.]*

## **Core Functions (Standard 2)**

1. All core functions are performed in accordance with the NY Connects NWD System State Program Standards.
  2. The core functions performed by NY Connects include:
    - a. Information and Assistance (I&A)
    - b. No Wrong Door (NWD) Screening Process
    - c. Coordination with other agencies to guide the individual through the financial and functional eligibility processes, including linkage to UAS assessment tools or comparable functional needs assessment as appropriate.
    - d. Application and enrollment assistance for public benefit programs, including Medicaid, as appropriate.
    - e. Options Counseling/Person-Centered Counseling (OC/PCC)
    - f. Care Transitions
    - g. Collaboration and planning through establishment and maintenance of a local Long Term Care Council.
    - h. Maintenance of current provider listings in the Statewide NY Connects Resource Directory ([www.nyconnects.ny.gov](http://www.nyconnects.ny.gov)).
    - i. Public education
    - j. Evaluation, quality assurance, and continuous improvement
    - k. Data collection and reporting of service, outcome and quality measure data
    - l. Confidentiality, HIPAA Compliance, and Data Sharing
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**Policy:** **[Agency Name]** NY Connects provides the core functions of a fully operational NWD System.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will provide the NY Connects core functions.]**

**Administrative Responsibility of the Local Administrative Agency (Standard 3)**

1. Allocation of resources to enable provision of NY connects core functions.
  2. Maintenance of the infrastructure necessary to support and sustain NY Connects through the provision of staffing, space, equipment, and other resources.
  3. Maintenance of appropriate financial records.
  4. Submission of appropriate financial and programmatic reports to NYSOFA.
  5. Assuring adherence to the NY Connects NWD System State Program Standards.
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**Policy:** [Agency Name] NY Connects is responsible for administration of the local NY Connects NWD System by allocating resources to provide core functions, maintaining the necessary infrastructure, maintaining appropriate financial records, submitting the appropriate reports to NYSOFA, and assuring adherence to the NY Connects NWD System State Program Standards.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe how your agency and partner entities administer the local NY Connects NWD System.]

#### **Conflict of Interest (Standard 4)**

1. Prohibition of [Agency Name] NY Connects I & A staff from exclusively self-referring or directing the individual's selection of provider.
  2. Prohibition of subcontractors from exclusively self-referring or influencing the individual's selection of a provider. This prohibition will be reflected in any subcontracting agreement(s) issued by [Agency Name] NY Connects and/or its partners.
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**Policy:** [Agency Name] NY Connects and partner entities must ensure and/or establish appropriate firewalls, business rules, and documented consumer grievance procedures to mitigate potential conflicts that may arise in the provision of core functions.

**Effective Date:**

**Revision Date:**

**Procedure:** *[Describe how your agency and partner entities will establish appropriate rules and procedures to mitigate potential conflicts of interest.]*

## **Human Resource Management (Standard 5)**

1. Maintenance of an organizational structure that delineates NY Connects staffing and reporting relationships, including any subcontractors. If NY Connects is part of a larger organization, NY Connects' relationship with that entity must be delineated in addition to if NY Connects is a separate, independent entity, the organizational structure must be delineated. A copy of an organizational chart will be updated annually and submitted to NYSOFA.
  2. Development and maintenance of a staffing plan that delineates the functions of each staff position, staff qualifications for each position, training requirements (inclusive of delivery of functions utilizing strength based and person-centered approaches), number of employees devoted to each function, and the percentage of time dedicated to the different responsibilities for each position (including temporary, interim, and part-time staff).
  3. Maintenance of qualified staff in sufficient number to implement NY Connects core functions in accordance with the NY Connects NWD System State Program Standards, Standard Assurances, policies, procedures, and business rules. The NY Connects System should strive to have employees who reflect the diversity of the community they serve.
  4. Maintenance of written job descriptions for all staff, outlining programmatic responsibilities, supervisory responsibilities, and essential job functions.
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**Policy:** **[Agency Name]** NY Connects must provide human resource management to achieve continuity and consistency in the conduct of its functions related to NY Connects staffing.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will provide human resource management.]**

### **Direct Service Staff Qualifications (Standard 6)**

1. Minimum competencies for direct service staff will include the skills, abilities, and knowledge as described in the NY Connects NWD System State Program Standards.
  2. Minimum competencies for select service staff who will be providing OC/PCC will include those as described in the NY Connects Program Standards.
  3. Participation in all State mandated trainings, as frequently as necessary, to improve, refine, and/or update staff skills. [Agency Name] NY Connects will provide comprehensive cross agency orientation for all agencies involved in NY Connects. [Agency Name] NY Connects will provide trainings or other opportunities to meet the minimum competencies for direct service staff, as appropriate, and will maintain a listing of staff trainings and in-services.
  4. Maintenance of an unbiased approach in providing objective information and guidance to sources of LTSS. All [Agency Name] NY Connects staff, at their time of hire, will sign an Outside Employment and Conflict of Interest Disclosure Statement.
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**Policy:** [Agency Name] NY Connects must ensure that all direct service staff completing the NWD Screening Process, I&A, and OC/PCC are proficient in the minimum competencies.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe how your agency will ensure that direct service staff are proficient in the minimum competencies.]



## **Culturally and Linguistically Appropriate Services (Standard 7)**

1. Compliance with federal, state, and local laws, regulations, and issuances related to culturally and linguistically appropriate services including:
    - (i) Executive Order 13166 (Improving Access to Services for Persons with Limited English Proficiency).
    - (ii) Article 15 of the New York State Executive Law (Human Rights Law).
    - (iii) New York State Elder Law and 9NYCRR Parts 6651 through 6656 (NYSOFA rules and regulations).
    - (iv) New York State Office for the Aging Equal Access to Services and Targeting Policy (12 PI 08).
    - (v) The Older Americans Act (OAA) of 1965, as amended (42 U.S.C. § 3001, et. seq.).
    - (vi) Americans with Disabilities Act of 1990, as amended (42 U.S.C. § 12101, et seq.).
    - (vii) Civil Rights Act of 1964, Title VI, as amended (42 U.S.C. § 2000d, et seq.).
  
  2. Linkage of individuals with disabilities and limited English proficiency (LEP) will be provided reasonable, timely, and appropriate language assistance to ensure full access to LTSS.
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**Policy:** **[Agency Name]** NY Connects must ensure that all core functions are provided in a culturally and linguistically appropriate manner.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will ensure that all core functions are provided in a culturally and linguistically appropriate manner.]**

**Populations Served (Standard 8)**

1. Availability of **[Agency Name]** NY Connects to serve all populations requiring I&A concerning LTSS, regardless of age, disability, or source of payment. These individuals include:
    - a. Older Adults (60 years and older);
    - b. Adults with disabilities;
    - c. Children with disabilities;
    - d. Individuals with or who may have Alzheimer’s Disease or other dementias;
    - e. Caregivers or families of above referenced populations;
    - f. Professionals, including discharge planners, assisting individuals seeking LTSS;
    - g. Friends, neighbors, others assisting individuals seeking LTSS.
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**Policy:** **[Agency Name]** NY Connects shall be available to serve all populations requiring I&A concerning LTSS, regardless of age, disability, or source of payment.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will be available to serve all populations requiring I&A.]**

## B. OPERATIONS

### **Business Practices (Standard 9)**

1. Availability of [Agency Name] NY Connects functions during generally accepted business hours and days and a mechanism in place to answer the phone line after hours (e.g., answering machine or voicemail).
2. Provision of NY Connects core functions at no cost to the individual.
3. Accessibility of NY Connects to individuals through [www.nyconnects.ny.gov](http://www.nyconnects.ny.gov), the State toll-free telephone number, or at the physical location.
4. As appropriate and necessary, provision of off-site visits in the home or community to provide core function services. Should [Agency Name] NY Connects determine the need for an off-site visit to provide screening, I&A, or other core function services, then such off-site visit will be made within three business days of such determination. Except that, every effort will be made to accommodate requests for off-site visits to acute, sub-acute, and chronic care settings within one business day if such visit is determined necessary upon consultation with the discharge planner.
5. The [Agency Name] NY Connects phone will be answered in such manner to indicate that the caller has reached NY Connects, and all phone calls will be answered live by NY Connects staff during the hours of operation. A mechanism will be in place to answer the phone line after hours. In cases where calls cannot be answered by a live staff person, phone messages received must be returned by the end of the following business day.
6. Development and maintenance of a referral process between the administrative entity, the ILC and other NY Connects NWD partners as applicable, in addition to community-based organizations and providers.

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**Policy:** [Agency Name] NY Connects must adhere to the required business practices described in the NY Connects System State Program Standards.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe how your agency will adhere to the appropriate business practices.]

## **Consumer Grievance Procedures**

**Policy:** **[Agency Name]** NY Connects requires a consumer grievance procedure related to the provision of core functions.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe your agency's consumer grievance procedures.]**

### **Crisis Situations and Immediate Intervention Services**

**Policy:** **[Agency Name]** NY Connects requires a procedure in response to crisis situations and those that require immediate intervention services.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe the procedure for crisis intervention and immediate intervention services and how your agency will adhere to this procedure.]**

## **Accessibility (Standard 10)**

1. Compliance with federal, state, and local laws, regulations, and issuances as listed in the NY Connects NWD System State Program Standards.
2. Provision of language accessibility for individuals with LEP. At a minimum, **[Agency Name]** NY Connects will establish a telephonic interpretation service contract or similar community arrangement with a language interpretation services provider of their choice and ensure that all staff with public contact are aware of, and trained in, the timely and appropriate use of these language services. **[Agency Name]** NY Connects will report to NYSOFA on the telephonic interpretation service it has established.
3. Assurance that communications with individuals with disabilities are as effective as communications with others (ADA, 28 CFR 35.160-35.164) including the provision of the following auxiliary aids and services:
  - Use of TTY/TDD (Text-Telephone device for the hearing impaired) to fully serve those who are deaf, hearing impaired, or have speech difficulties; and
  - Provision of Web accessible electronic (NY Connects Statewide Resource Directory, online questionnaire, etc.) information, large print materials, audio recordings, and if requested, Braille materials, for individuals with vision impairments.
4. Provision of accessibility of the **[Agency Name]** NY Connects location to individuals with disabilities and assurance that new sites will be free from architectural barriers that limit participation of individuals with disabilities.
5. Demonstration of the capacity either through existing resources (e.g., AAA, LDSS) or linkage to an appropriate partner/community agency, specific to the population to be served, to conduct off-site visits that will best accommodate the individual's needs.

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**Policy:** **[Agency Name]** NY Connects will provide barrier free access to its services that accommodate individuals with disabilities and provide access for individuals who speak languages other than English.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will provide barrier free access to its services.]**

## **NY Connects Resource Directory Listing (Standard 12)**

1. The resource listing must interface or incorporate resource listings of all NY Connects NWD System Partners so consistent and comprehensive information can be shared across systems. All NY Connects NWD System Partners will have accessibility to the back office application of the NY Connects Statewide Resource Directory to assist in maintaining accurate resource information.
2. The NY Connects Statewide Resource Directory will include the mandated fields as per the NY Connects NWD System State Program Standards in a standardized profile.
3. Listings in the NY Connects Statewide Resource Directory must comply with the current NY Connects Inclusion/Exclusion policy and be reviewed on at least an annual basis for accuracy.
4. Listings must conform to the Alliance of Information and Referral Systems (AIRS) Taxonomy of Human Services.
5. **[Agency Name]** NY Connects may grant providers access to enter and update their own listings. **[Agency Name]** NY Connects remains responsible for reviewing new entries and revisions within its coverage area to check against the Inclusion/Exclusion policy and have posted, as appropriate, within 45 days of receipt of new or revised information. NYSOFA retains the ability to add, amend, and delete information in the NY Connects Statewide Resource Directory.

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**Policy:** To provide access to the NY Connects Statewide Resource Directory ([www.nyconnects.ny.gov](http://www.nyconnects.ny.gov)) and to support core functions, **[Agency Name]** NY Connects must maintain comprehensive and current resource listings of LTSS programs and providers in the NY Connects Statewide Resource Directory website.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will maintain the NY Connects Statewide Resource Directory.]**

### **Other Collaborative Relationships (Standard 13)**

1. As appropriate and necessary, establishment of written policies, procedures, protocols, and/or agreements to develop and maintain collaborative relationships.
  2. Collaboration with 211/311 as necessary, setting forth respective roles and responsibilities in the provision of information, referral, and assistance through a Memorandum of Understanding, Memorandum of Agreement, or other appropriate agreement.
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**Policy:** [Agency Name] NY Connects must seek to develop and maintain collaborative partnerships and linkages with local LTSS providers, county government agencies, community based organizations, Medicaid Managed Care and Medicaid Managed Long Term Care Organizations, Medicaid Enrollment Brokers and the NY State of Health Exchange, and other appropriate entities in an effort to increase coordination of the service delivery system in order to improve and streamline consumer access to information and community services, maximize the utilization of existing resources and avoid duplication of effort.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe how your agency will develop and maintain collaborative partnerships to increase coordination of service delivery.]



## **II. NY CONNECTS CORE FUNCTIONS**

### **C. SCREENING, INFORMATION AND ASSISTANCE, AND BENEFITS APPLICATION ASSISTANCE**

#### ***Screening and Information and Assistance (Standard 14)***

1. Performance of the NWD Screening process as applicable, and utilization of the most current State prescribed screening tools.
2. After the NWD Screening Process is completed, the individual will receive I&A to be linked to or guided and assisted with any or all of the following as appropriate: Medicaid and/or other public benefit applications; assessment(s); explanation of the types of services and resources that may be options for the individual and/or caregiver to consider in making an informed choice.
3. In the provision of I&A, NY Connects must support the individual's independence and self-determination.
4. Provision of objective, accurate I&A to the individual regarding available publicly and privately funded LTSS, as well as other community supports based on the individual's identified needs to assist them in making an informed choice.
5. Provision of information to the individual which will include, but will not be limited to, an explanation of available services and supports, program eligibility requirements, financial requirements for participation in programs, and provider/service contact information.
6. Provision of information regarding LTSS to individuals as indicated, or requested via website, mail, telephone, e-mail and/or in person. Such information will be mailed or transmitted to the individual within three business days after the request is received; except that in the case of a determination that a home or other off-site community location visit is needed.
7. Provision of jargon-free information, and to the extent possible, at an eighth-grade reading level.
8. Instruction to the individual to call back if the initial I&A provided proves to be incorrect, inappropriate, or insufficient to link him or her with needed services.
9. Treatment of all personal information collected in a confidential manner and held in accordance with the appropriate privacy standards. Obtainment of informed consent to authorize the sharing of any personal identifying information (PII) or personal health information (PHI).
10. Seamless connection of individuals with needs requiring the services or consultation of OMH, OPWDD, or other NY Connects NWD System Partners and communication with the NY Connects NWD System Partners to assist the individual if it is more appropriate to do so based on the individual's needs and preferences.

11. As appropriate, **[Agency Name]** NY Connects will act as a link between appropriate community agencies/resources that have the skills and/or resources to provide a more intensive level of assistance to individuals requiring additional assistance.
  12. Assistance to individuals for whom existing services are inadequate or unavailable in their community, by problem solving to locate alternative resources.
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**Policy:** **[Agency Name]** NY Connects staff must, without regard to income or payor source, screen individuals in order to preliminarily identify the following: individual and/or caregiver needs; resources and available supports (e.g., caregiver, informal supports); possible financial/programmatic eligibility for Medicaid and other public benefits; and type of services and resources that may best meet the needs of the individual and/or caregiver. Subsequently, NY Connects must provide I&A about LTSS options, identify or research necessary services, and provide additional support directly to the individual.

**Effective Date:**

**Revision Date:**

**Procedure:** ***[Describe how your agency will screen individuals in identifying what services and resources might best meet the needs of the individual and/or caregiver.]***

### **Application Assistance (Standard 15)**

1. Assistance to individuals who may be eligible for Medicaid and/or other public benefits with applying for such programs and guiding them through the process as needed.
  2. Establishment of a mechanism to link individuals to an entity or program that provides education, and support in the application and enrollment process for Health Insurance Plans and the Medicaid Managed Care selection process.
  3. Utilization of the NWD Screening process, to preliminarily ascertain the likelihood of eligibility for public benefits and LTSS as well as communication with the NWD System Partners and designated enrollment brokers through the software.
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**Policy:** **[Agency Name]** NY Connects must engage in activities to help streamline eligibility for Medicaid and other public benefits for those who may be eligible and provide application assistance as appropriate.

**Effective Date:**

**Revision Date:**

**Procedure:** ***[Describe how your agency will help streamline eligibility and provide application assistance for Medicaid and other public benefits.]***

## D. OPTIONS COUNSELING

### **Options Counseling/Person-Centered Counseling (Standard 16)**

1. Assurance that NY Connects staff delivering OC/PCC meet the core competencies.
  2. Assurance that NY Connects staff providing OC/PCC attend any NYSOFA mandated training and have received certification prior to delivering this service.
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**Policy:** **[Agency Name]** NY Connects must offer OC/PCC to individuals who require and/or request support and assistance with decision making regarding their current or future LTSS needs, without regard to age, income or payor source. NY Connects must help individuals, their families, and/or caregivers to explore various options (both public and private), including self-directed options and caregiver supports, if available and appropriate.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will provide OC/PCC.]**

## E. CARE TRANSITIONS

### Care Transitions (Standard 17)

1. **[Agency Name]** NY Connects staff will serve as an available resource to assist discharge planners and professional staff working in acute care, rehabilitative, and other critical pathways with hospital or skilled nursing facility to home or least restrictive settings transitions.
2. **[Agency Name]** NY Connects staff will serve as an available resource to individuals, caregivers, and families to assist in transitions from acute care or skilled nursing facility to home or least restrictive settings.
3. **[Agency Name]** NY Connects staff will become knowledgeable about the Preadmission Screening and Resident Review (PASRR) referral process for individuals with known or suspected mental illness (MI) or intellectual and developmental disabilities (I/DD). NY Connects staff will become knowledgeable about other assessment and transition processes and tools, including but not limited to the Patient Review Instrument (PRI) and UAS assessment tools, to facilitate proper linkages as needed.
4. **[Agency Name]** NY Connects staff are encouraged to help facilitate safe transitions via partnership in a formal care transitions programs such as the Care Transitions Intervention and other evidence-based models.

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**Policy:** To help facilitate safe transitions for individuals transitioning from one setting to another, **[Agency Name]** NY Connects must maintain current and accurate information on available care transitions programs, provide I&A, and establish partnerships that support care transitions activity.

**Effective Date:**

**Revision Date:**

**Procedure:** *[Describe how your agency will help facilitate safe transitions for individuals transitioning from one setting to another.]*

## F. PUBLIC EDUCATION

### **Public Education (Standard 18)**

1. Establishment and maintenance of an ongoing mechanism that increases public awareness of the availability of NY Connects and its core functions, its objectives, and its value to the community. This campaign must be promoted in a manner that reaches diverse populations and audiences.
  2. Public education must include information regarding the range of LTSS, including resources and payors available to support those services.
  3. Provision of education to the general community as well as targeted stakeholders who may serve as conduits to the LTSS system about the availability of NY Connects, how to access, and its expanded core functions that serve all LTSS populations.
  4. Provision of educational materials that are culturally and linguistically sensitive, at a maximum eighth grade reading level, and which can be accessed by individuals with disabilities and LEP.
  5. Submission of any newly developed program, public information materials or other printed or published materials developed or purchased with NY Connects funding to NYSOFA for review and approval.
  6. Review of the **[Agency Name]** NY Connects educational campaign annually and periodic revision to reflect ongoing community needs over time, which will be reported to NYSOFA in a State-prescribed format and frequency.
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**Policy:** **[Agency Name]** NY Connects must conduct an on-going education and awareness campaign about LTSS to educate all individuals, their caregivers, family members, and helping professionals about NY Connects and its expanded role as a resource for I&A for all LTSS needs. This education and awareness campaign advertises the NWD system to help establish it as the “go to system” for community LTSS and will be promoted in a manner that reaches diverse populations and audiences.

**Effective Date:**

**Revision Date:**

**Procedure:** **[Describe how your agency will educate the public about NY Connects and its expanded role as a resource for I&A for all LTSS needs.]**

## G. LONG TERM CARE COUNCIL

### Long Term Care Council (Standard 19)

1. Provision of leadership, logistical, and administrative support by [Agency Name] NY Connects to the LTCC.
2. Membership of the AAA Director, LDSS Commissioner, State Contracted ILC or CBO to the LTCC.
3. Representatives from NWD Partner Agencies (OMH, OPWDD, OASAS, DOH) are invited to participate as members.
4. The LTCC will meet a minimum of three times annually and at a frequency adequate to fulfill its responsibilities. The LTCC may meet regionally with other LTCCs and in such cases one regional meeting may substitute for one of the three required meetings to occur annually.
5. The LTCC will have governing policies in place that address recruitment, selection, membership criteria and attendance, meeting frequency, and the process for documentation and follow up of meeting outcomes.
6. LTCC membership will be representative of the diversity of individuals from the populations in need of LTSS. Membership will encompass providers of community based LTSS, residential settings, acute care and other critical pathways, advocacy groups, individuals utilizing LTSS, and caregivers. Such membership will represent all age groups (children, adult, older adult) and also represent individuals with I/DD and behavioral health needs.
7. The LTCC has the following duties and responsibilities, at minimum:
  - a) Identify and analyze emerging community needs and gaps in the LTSS delivery system, service accessibility, capacity and availability, and develop strategies to respond to those needs in a timely and appropriate fashion.
  - b) Identify issues in the existing LTSS system and its capacity to provide access to a coordinated system of service delivery for individuals and/or caregivers and develop strategies to improve coordination.
  - c) Identify and solicit input from LTSS stakeholders regarding changes in the community environment (e.g., new resources or closing of providers), legislation, or regulations.
  - d) Review the LTSS delivery system by identifying entry points to the system and the manner by which populations in need of LTSS navigate or access services throughout the system.
  - e) Serve, in its advisory capacity, as a catalyst to advance changes in the LTSS system when modifications are required to ensure the availability of appropriate and quality community services.
  - f) Help identify existing and new LTSS resources in the county to be included in the NY Connects Statewide Resource Directory.
  - g) Provide recommendations regarding the future development and growth of NY Connects and suggest areas for improvement.

- h) Promote the local NY Connects as the “go to system” for information on community based LTSS.
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**Policy:** A Long Term Care Council (LTCC) must exist in each AAA to conduct LTSS planning and development in order to ensure achievement of the goals and objectives of NY Connects. The LTCC must report their activities and recommendations to **[Agency Name]** NY Connects, which must report LTCC activities to NYSOFA in the State prescribed format and frequency.

**Effective Date:**

**Revision Date:**

**Procedure:** *[Describe the role your agency will assume in relation to the LTCC and any relevant procedures specific to that role.]*



## H. EVALUATION

### **Performance, Evaluation, Quality Assurance, and Continuous Improvement (Standard 20)**

1. Evaluation of the applicable NY Connects System elements (local operations, reach into community, etc.) through completion of the associated QA tasks as appropriate.
2. Implementation of NY Connects Satisfaction Survey Instrument annually and other standardized tools developed by the State as required.

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**Policy:** [Agency Name] NY Connects and local operating agency (if different) must ensure that a process exists for evaluating the NY Connects System and must perform Quality Assurance (QA) tasks to sustain Continuous Improvement.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe the process your agency will use for evaluating your NY Connects System.]

## I. DATA COLLECTION AND REPORTING

### **Data Collection and Reporting (Standard 21)**

1. In accordance with procedures established by NYSOFA, participation of [Agency Name] NY Connects in a cost allocation and random moment time study (RMTS) process to identify allowable expenditures in support of federal reimbursement for particular administrative activities that directly support efforts to identify and enroll potential eligible individuals into Medicaid and that directly support the provision of services covered under the state Medicaid plan.
2. Collection of Quantitative (program utilization data) and Qualitative (program implementation and process data) data and reporting per NYSOFA Program Instructions (PI).
3. Provision of reports on a schedule as specified by the State, including summary reports on programmatic and financial activities for the contract year, as specified in the annual Standard Assurances and the annual Application and Reporting guidance.
4. Maintenance of Personal Identifying Information (PII) collected in accordance with Standard 22.

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**Policy:** A process or system must be in place to collect and report required information on client data, as well as on processes and outcomes that are necessary to support the implementation and continued advancement of NY Connects.

**Effective Date:**

**Revision Date:**

**Procedure:** *[Describe the processes or systems your agency will use to collect and report the required information and data.]*

## J. CONFIDENTIALITY AND DATA SHARING

### **Confidentiality, HIPAA Compliance, and Data Sharing (Standard 23)**

1. Protection of the identities of individuals, their requests, and the content of provided information in accordance with the laws and regulations as listed in the NY Connects NWD System State Program Standards as they now exist or as may be amended from time to time.
2. Use of a HIPAA compliant system with the highest level of security available as specified and required by NYSOFA, and implementation of policies and procedures in accordance with HIPAA and confidentiality compliance as listed in the NY Connects NWD System State Program Standards.
3. Obtainment of clients' consent to share clients' personal health information (PHI) with another entity or agency for the purpose of obtaining services and supports for the client. Such consent must be obtained in accordance with NYSOFA's instructions.

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**Policy:** [Agency Name] NY Connects must conform to Health Insurance Portability and Accountability Act (HIPAA) compliance and to confidentiality requirements; including provisions for the storage, retrieval, transfer, use, and ultimate disposal of records and data. Unless [Agency Name] NY Connects has a cooperative service delivery agreement, data sharing agreement or business associates agreement in which client records are shared, external entities having access to data must only see aggregate data.

**Effective Date:**

**Revision Date:**

**Procedure:** [Describe the process or system your agency will use to conform to HIPAA compliance and to confidentiality requirements.]