

Andrew M. Cuomo, Governor



Kerry A. Delaney, Acting Commissioner

NYS Office For People With Developmental Disabilities

# Putting People First

Balancing Incentive Program (BIP)  
Informational Conference on the  
Transformation Fund RFA

September 2014



NYS Office For People With Developmental Disabilities

**Putting People First**

## Agenda for Today

- Timeline for Key Events
- Balancing Incentive Program Overview
- Commitments of the Transformation Agreement
- General Transformation Fund RFA Parameters
- Specific Expectations for Proposals; Applicant Criteria
- Other Clarifications



## Important Dates

- 8/13/14** Request for Applications Release
- 8/27/14** Letters of Intent Due
- 9/3/14** Questions Due via Email for Q&A
- 9/9/14** WebEx Overview of RFA
- 9/17/14** RFA Updates and Responses to Applicant Questions Posted
- 10/22/14** Applications Due
- 12/1/14** Awards



## Grant Period

- Transformation Fund grants will be awarded on a competitive basis.
- All proposals must be received by October 22, 2014 by 5:00 p.m.
- All funding decisions will be made following the completion of application review and appropriate approvals.
- The 10-month contract period for BIP Transformation Fund demonstration projects is expected to begin on December 1, 2014 and end on September 30, 2015.
- All funds must be expended by September 30, 2015.



## Balancing Incentive Program Overview

- BIP, authorized by Section 10202 of the Patient Protection and Affordable Care Act of 2010 (Pub.L.111-148), provides enhanced Federal Medical Assistance Percentages to qualifying states.
- NYS' BIP application was approved in March 2013, and the State was awarded \$598.7 million.
- The State must implement three structural changes:
  - Establish a No Wrong Door/Single Entry Point eligibility determination and enrollment system
  - Develop Core Standardized Assessment Instruments for determining eligibility for non-institutionally-based long term supports and services (LTSS)
  - Develop a Conflict-Free Case Management System



## Transformation Fund RFA

- An unprecedented opportunity for organizations to make strategic investments to transform non-institutional Long Term Services and Supports (LTSS) for individuals with developmental disabilities.
- Specifically, OPWDD is looking for investments that complement the Balancing Incentive Program (BIP) Goals as outlined New York State's BIP Work Plan and the guiding principles of New York's Health System Transformation for Individuals with Developmental Disabilities Agreement ("Transformation Agreement").



## Commitments of the Transformation Agreement

- There is still significant progress to be made in Long-Term Supports and Services for individuals with developmental disabilities in reaching the multi-year plan to achieve:
  - Robust integrated employment and self-direction models,
  - Expand community based housing options
  - Ensure that individuals are residing in the most integrated setting possible
  - Develop a responsive and accountable quality infrastructure.
- The Transformation Fund RFA offers a unique opportunity to engage New York's broad network of highly qualified providers, advocates and local governments in developing systemic improvements that address barriers encountered when working to transform the system of care for individuals with developmental disabilities.



## Eligible Applicants

- Non-profit organizations
- Local Governments
- Advocacy Groups for individuals with developmental disabilities.
- Applicants must be registered as a qualified Vendor and have a confirmed NYS Vendor ID #.
- Applicant must be in compliance with all applicable State and federal licensing, certification, and other requirements.



## Expectations for Proposals

- Service recipients must be Medicaid beneficiaries with a developmental disability.
- Funds must be spent on provision or enhancement of community-based care that increases offerings, choice or access to non-institutional LTSS which may include self directed options, employment and community housing options.
- Funds must support an allowable Medicaid expense



## Grant Funds May Not Be Used For:

- Capital costs such as brick and mortar projects or to supplement existing General Funds.
- To duplicate existing LTSS or increase institutional capacity.
- To match any other Federal funds.
- To provide services, equipment, or supports that are the legal responsibility of another party under Federal or State law (e.g., vocational rehabilitation or education services) or under any civil rights laws.
- To supplant existing State, local, or private funding of infrastructure or services such as staff salaries for programs and purposes other than those disclosed in the application.



## Elements of Application: Applicant Organization

- Clearly demonstrate mission, organizational experience in provision, coordination, education or advocacy of LTSS for individuals with I/DD.
- Application includes types of services provided, length of time services have been provided, number of clients served annually, demographics of population being served, and location where services are provided.
- Include **three** letters of support and list of Board of Directors.
- Collaborating organizations must have sufficient experience in providing or coordinating services.



## Elements of Application: Program Summary/Overview

- Articulate project's goals, objectives and desired outcomes as they relate to the Balancing Incentive Program.
- Project timeline for implementation is specific and realistic.



## Elements of Application: Statement of Need

- Strong case for the need to address the specific issue(s) identified in the proposal – must be substantiated and clearly documented with data.
- The issue clearly relates to the goals of the BIP rebalancing initiatives and the Transformation Agreement initiatives.
- Description of barriers that affect access to LTSS and goals of the Transformation Agreement.
- Description of targeted population; how individuals/communities would benefit from proposal.



## Elements of Application: Project Components

- Clear description of all outcomes, processes, and strategies of proposal.
- Description of activities that will be conducted and provide an estimate of the number of individuals to be served.
- Describe how proposal will be effectively promoted to the target population and community partners; involve appropriate stakeholders in implementation.
- Ensure necessary protocols/tools are in place to ensure that:
  - All individuals benefiting from a Transformation Fund grant are Medicaid beneficiaries
  - All proposed services are Medicaid allowable costs



## Elements of Application: Transformation Agreement-Specific Criteria

- Demonstrate the applicant's intent to address the goals of the Transformation Agreement in the areas of:
  - Self-Direction
  - Employment
  - Deinstitutionalization
  - Community Based Housing Options, including Family Care
  - Transition to Managed Care
- Applications will be assessed based on the strength of a focused proposal; how well they support increased efficiency and effectiveness efforts related to the Transformation Agreement goals.



# **Examples of Qualified proposals for goal of increasing the number of individuals Self-Directing may address:**

- Activities supporting the new role of the Fiscal Intermediary (FI) in the self-direction redesign;
- Statewide and/or regional partnerships supporting the information technology infrastructure of FI operations
- Education and Outreach Activities for promoting the Choice to Self Direct



## **Examples of Qualified Proposal to increase the number of individuals in competitive Employment:**

- Providing vocational assessments to working age individuals currently receiving day habilitation and workshop services that identify the types of supports needed to assist in obtaining competitive employment.
- Developing person-centered transition plans for workshop and day habilitation participants that detail how supports will be provided to assist individuals in obtaining competitive employment.
- Developing peer mentoring networks to support day habilitation and workshop participants as they transition to competitive employment.



## **Examples of Qualified Proposal to increase the number of individuals in competitive Employment (cont'd):**

- Developing strategies to create self employment opportunities for workshop and day habilitation participants through the operation of a business.
- Providing technical assistance and support to assist workshop providers to convert to competitive employment business models consistent with the Home and Community Based Services (HCBS) waiver definition of community settings.
- Developing strategies for retirement age workshop participants to engage in meaningful senior, recreational or social activities.



## **Example of Qualified Proposals Supporting the transition of individuals from institutions to settings that meet HCBS standards may:**

- Develop new models for supporting individuals and families during transitions
- Develop mechanisms/trainings or protocols to ensure waiver settings for transitioning individuals meet new HCBS settings standards
- Creates initiatives to place and support individuals in non-certified settings?
- Develop mechanisms/trainings/ protocols to ensure compliance of person-centered planning with new PCP standards?
- Coordinate all housing resources for people with disabilities across state agencies, local governments and municipalities.



# **Examples of Qualified Proposals for Community Based Housing Options, including Family Care**

- Develop a scientific strategy to Identify housing needs for people with intellectual and developmental disabilities on a regional and/or statewide basis improving access to existing housing resources.
- Develop a scientific strategy to identify housing resources for people with intellectual and developmental disabilities on a regional and/or statewide basis.
- Develop a 5- Year Plan to increase the number and type of community-based housing stock available (i.e., region by region) to people with intellectual and developmental disabilities.
- Coordinating all housing resources for people with disabilities across state agencies, local governments and municipalities



# **Examples of Qualified Proposals for Community Based Housing Options, including Family Care (Cont'd)**

- Implement a Family Care Demonstration that is multi-cultural and seeks to recruit services of specialist in the medical protection and advocacy, education and other professional fields to become providers of Family Care.
- Develop a strategy to coordinate and implement a "Banking Committee" for the HOYO Program.
- Develop and implement "Making Homes that Work" for People with Autism.
- Develop an innovative Outreach and Marketing Demonstration Model that is ongoing and may be used in diverse regions. (i.e., Recognition Events - Retention and Recruitment).



# **Examples of Qualified Proposals for Community Based Housing Options, including Family Care (Cont'd)**

- Develop a research-based Family Care "think-tank" that will review existing, and propose new methodologies to redesign the Family Care Program.
- Address fiscal and legal constraints in moving Shared Living Models forward.
- Propose an array of innovative community - based choice and intensive services that will provide an alternative to IRAs and ICFs Care without compromising quality and safety.
- Develop Regional and Statewide HUD-Approved Housing Counseling Training Sessions for housing coordinators and et.al that will lead to HUD-Approved Certified Housing Counselors.
- Develop a Strategy to Redesign the Family Care Program



# **Example of Qualified Proposals to meet the structural challenges of Transitioning to Managed Care may:**

- Provide assistance to agencies to support administrative and operational efficiencies.
- Provide assistance to agencies to support the consolidation of duplicative administrative functions within the provider network.
- Provide information technology assistance to agencies that lay the foundation for a move to electronic data systems that will allow agencies and individuals to communicate changing needs and support plans in an immediate or more timely method.
- Provide assistance for use of the Care Coordination Data Dictionary allowing for the standardized collection and dissemination of information to a DISCO with greater consistency.



## Elements of Application: Work Plan

- Clearly define goals, tasks, desired outcomes and performance measures in quantifiable and measurable terms.
- Submit a project work plan that specifies the timeframe for each milestone from the design phase through the funding end date.
- Proposal improves LTSS system performance and efficiency for individuals with I/DD.
- Demonstrates the applicant's role in implementing lasting impact on rebalancing Medicaid in NYS.
- Demonstrate improvements in quality of life, supports and health outcomes.
- Clearly defined role of collaborating organizations and their responsibilities.



## Elements of Application: Outcomes Measurement / Evaluation

- Description of measuring the achievement of proposed goals and objectives.
- Specify the methodology for how the project will be evaluated; methodology should be specific and realistic.
- Include a plan for modifying the project, based on monitoring and evaluation outcomes.
- Define how the project will be managed and funded post award.



## Elements of Application: Deliverables

- Provide an organizational overview or schematic of the key project team members.
- Submit required financial and progress outcome reports within required timeframes.
- Submit a final project evaluation report three months post project



## Elements of Application: Project Budget & Budget Narrative

- Provide a complete, concise and easy to follow budget.
- Provide explanation of how proposed expenditures will support attainment of the BIP and Transformation Fund related goals and objectives.
- Provide a cost-benefit analysis that highlights project efficiency; demonstrate that project is cost-effective.
- Project savings should be described in a narrative form.
- Describe how collaborating partners will contribute financially (if applicable).
- Demonstrate financial commitment to fund related project costs not covered by BIP funding (if applicable).



## Elements of Application: Project Budget & Budget Narrative

- No capital costs are to be included in the budget.
- Administrative costs must be capped at 10%.
- Executive compensation must be within amounts allowed by OPWDD regulations.
- Ensure that any described costs are not subject to duplicative claiming. **(MFP, Template Funding)**
- Include reasonable and allowable costs for services provided.



## Other Clarifications

- The proposals may include home and community-based long term supports and services for the intellectual and developmentally disabled Medicaid population.
- For purposes of BIP eligibility, CMS defines institutionally-based Medicaid LTSS as services provided in nursing facilities, intermediate care facilities (ICFs), institutions for mental disease (IMDs), and psychiatric hospitals that are not IMDs.
- No BIP Transformation Funds can be used for institutionally based long term services and supports.
- For BIP purposes, allowable Medicaid expenses means LTSS covered by Medicaid in either the State Plan or waivers.



## Other Clarifications

- Applicants must be able to demonstrate that proposed supports and services are Medicaid allowable costs, benefit Medicaid recipients, and are able to verify the Medicaid status of program participants.
- There is no MATCH requirement in the BIP Innovation Fund RFA. (The match funds column of Attachment 3 Column 3 of the Budget Template will remain zero.)
- A range of funding amounts will be considered. Program design rests within the creative boundaries of applicants.
- Organizations may submit more than one proposal.
- Applicants may apply to supports populations statewide or several regions of the state.



## Other Clarifications

- The deadline for expending BIP funds is September 30, 2015. Although there are 10 months available in the contract term (Dec 1, 2014 – Sept 30, 2015), applicants' work plans and budgets are not required to span the entire 10-month contract term, but need to fall within the term.
- Page 18 of the RFA will be modified to clarify that the Application Organization, Program Summary/Overview/Timeline, Statement of Need, and Project Components (narrative only) should not exceed 20 single-spaced, typed pages.
- Page 20 of the RFA will be modified to make it clear that 3 Letters of Support are required.
- Marketing, education and outreach materials are considered allowable communication costs.



# Transformation Fund RFA

## Scoring:

- All applications must score an overall minimum of 60 out of 100 points to be considered for funding.
- Applications receiving a score of less than 60 will be removed from consideration.
- Additional points will be awarded to applications that include:
  - A scope of work proposing a statewide impact
  - A project impacting 2 or more regions of the state
  - Collaborations with 2 or more organizations.
  - Underrepresented region(s) of the state



## Next Steps

- OPWDD to post Questions and Answers by September 17, 2014
- Applications are Due by **5:00 p.m. on October 22, 2014**
- Review of Applications
- Announcement of Awards
- Contracts Signed