



New Agency Application Total Score _____

An agency must receive a total score of 70 to be recommended to be an OPWDD provider. However an agency must also receive at least 20 points in the Program and Fiscal sections and at least 16 points in the Governance section in order to be approved to become a provider.

Background (Maximum = 12 points for existing agencies & 7 points for new agencies) _____

Total Points

1. Please provide a copy of the agency’s not for profit incorporation papers. **(If the papers are not submitted or if the papers do not indicate that the agency will be providing the services the agency proposes, or if the papers do not authorize the agency to provide services in New York State, stop here.,**
 If papers are submitted and address services to be provided and agency is incorporated in New York State = 0 points

2. Please provide a brief history of your agency.
 - a. **For agencies currently providing services;**
 - i. **include the number of years the agency has been providing services**
 - No services or providing services for under 6 months = 0 points
 - Providing services from six months to 1 year = 1 point
 - Providing services between 1 and 2 years = 2 points,
 - Providing services for over 2 years = 3 points

 - ii. **the agency’s location** = 0 points

 - iii. **the types of services the agency provides**
 - No similarity to OPWDD services = 1 point
 - Similar to OPWDD services, such as TBI Waiver, supported employment with VESID, etc. = 2 points

 - iv. **the types of populations served**
 - Individuals without disabilities = 1 point
 - Individuals with disabilities = 2 points

 - v. **and the number of people served**
 - 0-50 = 1 point
 - More than 50 = 2 points

vi. **Please complete the attestation on the last page of this form stating that there are currently no significant fiscal or program concerns. If agency currently has significant fiscal or program concerns, please identify the problems and explain how the agency is working to resolve them.**

- No attestation and no explanation or explanation that shows problems are not easily resolvable = **Cannot become a provider**
- No attestation but explanation as to what problems exist and clear and plausible plan of how problems are being resolved = 0 points
- Attestation = 1 points

b. **For agencies that are not currently providing any services:**

i **If the agency is brand new, please explain why there is interest in providing services to individuals with developmental disabilities.**
 Farfetched explanation, e.g., person lost job in unrelated field and thought basement can be made into a residential facility = **Cannot become a provider**
 Executive Director/Board Member has family member with developmental disabilities or has experience working in the field & believes agency can offer better services than currently provided = 1 point

ii **Please include any experience the agency staff/board has had with this population**

Non Work Related Experience

- No non-work related experience (no family member or close friend with developmental disabilities) = 0 points
- Has experience because leadership staff/board has family member with developmental disabilities = 1 point

Work Related Experience

- No experience or less than a year's work experience = 0 point
- Has experience because leadership staff/board members worked in OPWDD funded agency or at OPWDD in non-supervisory role for more than 1 year = 1point
- Has experience because leadership staff/board members worked in OPWDD funded agency or at OPWDD in supervisory role for more than 1 year = 2 points
- Has experience because leadership staff/board members held a leadership role as ED, or Asst ED, or CFO for OPWDD funded agency or held leadership role at OPWDD for more than 1 year = 3 points

(Maximum score for Non Work & Work Related Experience is 4 Points)

4. **What is the agency’s plan to ensure the quality and effectiveness of the service(s) it provides?** No Plan - Agency did not submit a plan = 0 points
 Poor Plan – Plan has few details & doesn’t include enough specifics =1 points
 Good Plan - Plan provides some specifics on how agency will ensure quality services and references at least two of the following: policies and procedures, internal controls, corporate compliance, self assessment, and metrics = 2 points
 Excellent Plan - Plan is clear and thorough and references at least two of the following: policies and procedures, internal controls, corporate compliance, self assessment, and metrics; in addition plan provides detailed information on how agency will ensure effective implementation = 3 points

5. **What is the agency’s organizational plan?**

Include the following:

- **Number of staff agency expects to hire**
- **Job titles and job qualifications for administrative/human resources/leadership staff**
- **Job titles and job qualifications for staff who will be providing services**
- **Qualifications of the administrative/human resources/leadership staff already hired (include resumes).**
- **Qualifications of the staff already hired to provide services, e.g., qualifications for service coordinators, habilitation workers, clinicians (include resumes)**

- No Plan or Poor Plan – Agency didn’t submit a plan or submitted a plan with no detail = 0 points
 Minimal Plan – Plan submitted provides little detail but covers all areas and includes staff who meet minimum qualifications =1 point
 Good plan - Plan submitted is clear & plausible, staff are qualified, credentials or job qualifications meet agency needs = 2 points
 Excellent plan – Plan submitted is clear, well, written and plausible, staff have excellent credentials, are well qualified for positions, and job qualifications are well matched to the staff needed = 4 points

6. **Please explain how the Agency will meet OPWDD’s legal and regulatory requirements. Please be sure to address the following: Incident Reporting (Part 624), Protection of Individuals Receiving Services, including Criminal Background Checks (Part 633), General Quality Control and Administrative Requirements (Part 635), and Corporate Compliance. (Please complete the attached agreement attesting that the agency agrees to comply with OPWDD regulations.)**

- Agency’s explanation shows no real understanding of regulatory requirements = 0 points
 Agency’s explanation shows understanding of regulatory requirements but doesn’t go into enough detail of how agency will meet requirements = 2 points
 Agency’s explanation shows understanding of regulatory requirements, shows understanding of importance of these requirements and clearly explains how agency will meet requirements = 4 points

7. **Please submit an outline for a policy and procedure manual for the services the agency proposes to provide.**

No outline submitted or outline submitted provides little detail = 0 points

Outline shows basic understanding of what is needed to ensure regulatory compliance, program quality & billing integrity = 2 points

Outline shows thorough understanding of what is needed to ensure regulatory compliance, program quality and billing integrity = 4 points

8. **What are the agency's plans for future growth?**

Vague and/or unrealistic = 0 points

Grounded and realistic = 2 points

Governance (25 points) – Agency must receive a score of 16 or above to be considered for approval to become an OPWDD funded Provider.

Total Points

1. **Who are the Board Members? OPWDD recommends that an agency have a diverse board that includes members with fiscal, legal, business, and human services experience. Please include resumes that show the board members' qualifications and experience.**

Board members do not have diverse qualifications and experience or more than 1/3 of the board members are relatives of the Executive staff or other board members, or the Board President is related to the Executive Director

= Cannot Become a Provider

Board is composed of individuals with some expertise and experience and has at least one individual with some fiscal knowledge = 5 points

Board is composed of knowledgeable individuals with diverse expertise and includes at least one individual with previous board experience and one individual with strong fiscal skills = 9 points

2. **Please indicate if any of the board members or supervisory staff have worked at or been board members of an agency that has been cited for waste, fraud, abuse, or wrongdoing or for which there have been credible allegations of waste, fraud, abuse or wrongdoing brought against it by OPWDD, OMH, the Commission on Quality of Care and Advocacy for Persons with Disabilities, Office of the Medicaid Inspector General, Department of Health, the Attorney General's Office, law enforcement, or any other oversight entity. If yes, please indicate how the individual(s) was associated with the agency during the time the credible allegations were made.**

Supervisory staff or board member were affiliated with an agency for which there were credible allegations of wrongdoing & were in positions where they should have been aware of the wrongdoing = **Cannot Become a Provider**

No board member or supervisory staff had ties with an agency that had credible allegations of wrongdoing = 0 points

Board member or supervisory staff had ties with an agency that had difficulties in the past but there were some mitigating circumstances, such as staff person/board member were involved with the agency before or after the wrongdoing occurred = 0 points

3. Please provide minutes from the agency's board meetings for the last three years or for as many years as the agency has been in operation if less than three years.

- Agency didn't submit any minutes = **Cannot Become a Provider**
- Poor Minutes – Agency's minutes do not reflect that board is aware of what is going on = 0 points
- Acceptable minutes – there is documentation, although minimal that board is reviewing and approving agency actions & minutes show that board meets at least quarterly = 3 points
- Good Minutes – Agency's minutes are well written & show board meets at least quarterly, & that board is regularly informed about programs, expenses, budgets, & is providing oversight to Executive Director = 5 points

4. Please indicate how often the agency's board meets.

- Less than quarterly = **Cannot Become a Provider**
- Quarterly for new agency = 2 points
- Quarterly for long standing agency/Every other month for new agency = 3 points
- Every other month for long standing agency/every month for new or long standing agency = 4 points

5. Please provide a copy of the agency's bylaws.

- Agency didn't submit bylaws = **Cannot Become a Provider**
- Bylaws are not followed = 0 points
- Bylaws are not well written but followed = 3 points
- Bylaws are clear and well written and followed = 5 points

6. Please indicate the board training the board has received. If no training has been received, please explain how the agency will ensure that the board receives appropriate board training.

- Board has not been trained and has no training plan = 0 points
- Board has not been trained and has training plan to ensure all board members receive training within the next 6 months = 1 point
- Board has been trained = 2 points

Fiscal (Maximum points = 33 for agencies currently providing services and 30 for new agencies)

Agency must receive at least 20 points in order to be considered for approval to become an OPWDD provider.

_____ **Total Points**

1. Please submit the agency's financial plan or proposed financial plan and include the following:

- a) For existing agencies, please submit the agency's two most recent budgets with explanations for any variances, plus a budget for the services the agency proposes to provide; for new agencies, please submit a budget for the first year plus project budgets for two additional years. In each case, please include the following: costs associated with personnel, fringe benefits, employee taxes, telephones, computers, insurance, space costs, travel, training, supplies, etc. In addition, please include the current compensation or intended compensation for the Executive Director and the three highest compensated administrative staff.**

Agency didn't submit a plan or submitted plan is implausible or shows unreasonable admin. compensation, or existing agency submits a plan that shows agency isn't fiscally viable **= Cannot Become a Provider**

Existing agency submits an adequate plan that shows it is fiscally viable but doesn't explain all variances or new agency submits a plausible but unsophisticated plan (Plan includes reasonable admin. compensation) = 3 points

Existing agency submits a plan that is detailed and plausible and identifies and explains any variances or new agency submits good clear, well thought out plan that includes contingency plans for unexpected occurrences (Plan includes reasonable admin. compensation) = 6 points

b) Source and amount of start up funds for new agencies or cash reserve for established agencies

None or not enough to cover one month of service or agency is relying on loan from Executive Director or Board Member **= Cannot Become a Provider**

Agency has start up or cash reserve to cover one month's worth of services = 2 points

Agency has start up funds or cash reserves to cover at least 2 months worth of services = 4 points

c) Detailed sources of operational funding

Not supplied = 0 points

Supplied but with minimal detail = 1 point

Supplied and seems clear and reasonable = 2 points

d) Plan to insure adequate cash flow

No plan = 0 points

Poor plan, very basic understanding of importance of insuring adequate cash flow = 1 point

Plan shows understanding of ebbs and flows of billing due to program changes, billing lags, and unforeseen events and agency has procedures to ensure cash flow = 2 points

e) **Job titles and job qualifications of fiscal staff not yet hired or qualifications of staff already hired (It is acceptable for new agencies to use a board member or a volunteer; scoring will be based on the qualifications of the volunteer.)**

- No fiscal staff have been hired/identified and there are no plans to hire or find qualified fiscal staff = **Cannot Become a Provider**
- Qualifications meet minimum requirements = 2 points
- Qualifications translate to a top notch fiscal person = 6 points

f) **How agency will report financial status on a periodic basis**

- Agency has no reporting plan = 0 points
- Agency shows that there is an understanding of the importance of financial tracking and recordkeeping = 2 points
- Agency shows that there is an understanding of the importance of financial tracking and recordkeeping and provides an explanation on how it will ensure fiscal reporting and fiscal viability = 4 points

2. **Does the agency have any outstanding debts or disallowances through the OMIG or the IRS or any other oversight authority? If yes, please provide the amount owed and a fiscal plan that shows how money will be repaid.**

- Agency owes \$s and has no plausible fiscal plan to repay \$s = **Cannot Become a Provider**
- Agency owes \$s & has a plausible fiscal play to repay \$s = 0 points
- Agency has no outstanding debts or disallowances = 0 points

3. **Describe the agency's accounting system, including the accounting software the agency will use and the policies that will be in place for salaries, fringe benefits, travel expenses, bank reconciliations, separation of functions, etc.**

- Agency does not have accounting system and/or accounting software and/or financial policies & procedures or accounting system and policies and procedures are vague or implausible = **Cannot Become a Provider**
- Agency has accounting system, accounting software, and financial policies and procedures but accounting system and policies and procedures are unsophisticated and lack detail = 3 points
- Agency has accounting system, accounting software and accounting system and policies and procedures are thorough, detailed and agency specific = 6 points

4. For agencies currently providing services; has the agency filed the Federal Form 990? If so, please submit copies from the last three years, or for as many years as the agency has been in operation, if less than three years. (score questions 4 & 5 together)

5. For agencies currently providing services; has the agency distributed certified financial statements? If so, please submit copies from the last three years or for as many years as the agency has been in operation, if less than three years; if this is the agency's first year in operation, submit a Profit and Loss statement with a CPA's attestation of its accuracy. (3&4 together)

- Fiscal information submitted shows poor fiscal viability or agency was required to submit CFRs and 990s but didn't = **Cannot Become a Provider**
- Fiscal information submitted shows passable fiscal viability (1:1 ratio) = 1 point
- Fiscal information submitted shows good fiscal viability = 3 points
- Brand new agency = 0 points