



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 = 13 points for existing agencies & 8 points for new agencies)

_____ **Total Points**

1. **Please provide a copy of the agency’s not for profit incorporation papers.**
 Papers are not submitted or papers do not indicate that the agency will be providing the services the agency proposes, or papers do not authorize the agency to provide services in New York State = **Cannot become a provider**
 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 the agency.
 - a. **For an agency that is currently providing services, include:**
 - i. **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**
 0-25 = 1 point
 25-50 = 2 points
 More than 50 = 3 points



vi **Please complete the attestation on the last page of this form if there are currently no fiscal or program concerns. If agency currently has 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 there is explanation as to what problems exist and clear and plausible plan of how problems are being resolved = 0 points
- Attestation = 1 point

b. **For an agency that is brand new & 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.**
 - Inappropriate/implausible explanation = **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 individuals with developmental disabilities**
 - Non Work Related Experience
 - No non-work related experience (no family member or close friend with developmental disabilities) = 0 points
 - Has experience because management staff/board has family member with developmental disabilities = 1 point
 - Has experience because management staff/board has family member with developmental disabilities and management staff/board member has been strong advocate on behalf of individuals with developmental disabilities = 2 points
 - Work Related Experience
 - No experience or less than one year's work experience with individuals with developmental disabilities = 0 point
 - Has experience because management staff/board members worked in OPWDD funded agency or at OPWDD in non-supervisory role for more than 1 year = 1 point
 - Has experience because management staff/board members worked in OPWDD funded agency or at OPWDD in supervisory role for more than 1 year = 2 points
 - Has experience because management staff/board members held a management role as ED, or Asst ED, or CFO for OPWDD funded agency or held management role (COLT or DDSO Director/Asst. Director) at OPWDD for more than 1 year = 3 points

(Maximum score for Non-Work & Work Related Experience is 5 Points)



3. What are the agency’s mission, long term goals and objectives?

- Mission, long term goals and objectives do not align with OPWDD’s mission, long term goals, and objectives = 0 points
- Mission is in line with OPWDD’s mission (helps individuals attain independence, inclusion, housing) but long term goals do not seem reasonable, obtainable, or realistic =1 point
- Mission and long term goals are in line with OPWDD’s mission & long term goals/ long term goals and objectives seem reasonable, obtainable & realistic = 2 points

4. Please complete the attestation on the last page of this application if no board or staff member is on any of the Medicaid excluded lists. (DDSO must staff check the Medicaid excluded list to confirm)

- No attestation or attestation is false = **Cannot Become a Provider**
- Attestation is submitted = 0 points

Program (30 points) (Agency must receive a score of 20 or above to be considered for approval to become an OPWDD funded Provider).

Total Points

1. a) What service(s) is proposed?

- Service is not an OPWDD service = **Cannot become a provider**
- Service is an OPWDD service = 0 point

b) How does the proposed service fit in with OPWDD’s mission, vision and values?

- Service doesn’t help individual attain independence, inclusion, housing = 0 points
- Service assists individual to attain independence, inclusion, housing, etc = 1 point

c) Are there any special features which differentiate the service(s) from comparable services available to individuals in this region, county/counties or in other areas served by the Developmental Disabilities District Office (DDSO)?

- Service isn’t different from what is already offered = 0 points
- Service is creative, innovative, and/or unique = 3 points

2. What knowledge, experience and expertise does the agency possess that makes it suitable to provide the service proposed? (points can be added but total can’t exceed 4 points)

- Agency hasn’t demonstrated experience, knowledge or skills to provide the service = 0 points
- Agency staff/board have at least 1 family member with developmental disabilities & staff/board has/have been very involved in advocating for family member = 1 points
- Agency staff/board have at least 1 family member with developmental disabilities & staff/board have been a strong advocate for family member & involved in local Councils/Boards = 2 points
- Agency staff/board have at least one member who has provided the proposed service for at least three years = 2 points
- Agency staff/board have at least one member who has had a mid-level supervisory



position overseeing staff providing the service proposed for at least 3 years = 3 points
 Agency staff/board have at least one member who have held a management role (ED, Asst. ED, CFO) for at least 3 years in a successful non-profit that provided the service proposed or held a management role (COLT or DDSO Director/Asst. Director) at OPWDD = 4 points

3. **a) Has the agency identified a population or individuals interested in receiving the proposed service(s)?**
b) If yes to question 3a above, how did the agency determine that the individuals were interested in receiving the services proposed from the agency?

Agency hasn't identified a population or individuals interested in receiving service = 0 points
 Agency has identified a population or individuals interested in receiving the service = 3 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 staffing plan?

Include the following:

- **Number of staff by title; Include staff/volunteers already working for the agency and any staff the agency plans to hire.**
- **Job titles and written job descriptions, including required qualifications for administrative/human resources/management staff. Include resumes for those already hired/working for agency.**
- **Job titles and written job descriptions, including required qualifications for staff who will be providing services (service coordinators, habilitation workers, clinicians, etc.). Include resumes for those already hired/working for the agency.**
- **Attestation on last page of this application that agency has reviewed and verified credentials for all hired staff, including fiscal staff if agency has done so.**

(See page 10 through 12 for guidelines for preferred minimum Executive Director qualifications and guidelines for other key positions.)

No Plan or Poor Plan – Agency didn't submit a plan or submitted a plan with no detail/Agency didn't submit job descriptions or job descriptions don't meet needs of the positions/Agency staff/volunteers' qualifications' don't match agency's job descriptions (staff not qualified)/ no attestation that credentials were checked/ ED's qualifications don't meet minimum preferred qualifications = 0 points

Minimal Plan – Plan submitted provides little detail/job descriptions are thin but cover basic qualifications needed for position for agency's size/ qualifications of staff (board members) already working meet minimum preferred qualifications & match job descriptions/Attestation signed = 2 points

Good plan & Good Job Qualifications - Plan submitted is clear & plausible, job descriptions reflect skills/abilities/experience needed for positions for agency's size/current staff (or board members) meet or exceed minimum preferred qualifications & match or exceed those described in job descriptions/Attestation signed = 4 points

Excellent plan & Excellent Job Qualifications – Plan submitted is clear, well, written and plausible, job descriptions are well written and capture the skills/abilities/experience needed by staff for positions for agency's size/ current staff (or board members) skills/abilities/experience are well matched to those described in job descriptions; staff are well qualified at all positions & most exceed minimum preferred qualifications/attestation signed = 6 points



6. **Please explain in detail how the Agency will meet OPWDD’s statutory 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 attestation on the last page of this application stating that the agency agrees to comply with OPWDD regulations.)**
- Agency’s explanation shows no real understanding of statutory & 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.** (Before an agency begins providing services, it must submit a complete manual for OPWDD review.)
- 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, computer and human services experience. Please include resumes that show the board members’ qualifications and experience. (Please keep in mind that the Executive Director should not be a board member.)**
- 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 = 0 points
 - 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/management 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 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 citations and/or allegations were made.

Management/supervisory staff or board member was/were affiliated with an agency that was cited for wrongdoing or 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/management staff had ties with an agency cited for wrongdoing or that received credible allegations of wrongdoing = 0 points
 Board member or supervisory/management 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 agency has been in operation for 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/less than 4 times a year = **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, 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.



- d) **Plan to ensure adequate cash flow**
- No plan = 0 points
 - Poor plan, very basic understanding of importance of ensuring 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 written job descriptions, including required credentials for fiscal staff not yet hired and for staff (board member/volunteer) already working. Include resumes for all those already working. (It is acceptable for a new agency to use a board member/volunteer; scoring will be based on the qualifications of the volunteer.) (It is also acceptable for an agency to use a CPA firm for some fiscal functions; however, if using a CPA firm, please list the functions the CPA is/will be responsible for and how frequently the CPA firm performs/will perform them.) (See page 10 -12 for guidelines for preferred minimum qualifications.)**
- No fiscal staff have been hired/identified and there are no plans to hire or find qualified fiscal staff/job descriptions do not reflect skills/abilities/experience needed = **Cannot Become a Provider**
 - Fiscal staff identified do not meet preferred minimum qualifications = 0 points
 - Job descriptions are sparse but capture skills/abilities/experience for position(s) needed for agency size & staff (or board member/volunteer) qualifications match those listed in job descriptions/ staff meet preferred minimum qualifications = 2 points
 - Job descriptions are well thought out & capture skills/abilities/experience for position(s) for agency size/ skills/abilities/experience of staff (volunteers) working match job descriptions and all staff (volunteers) already working meet or exceed preferred minimum qualifications = 4 points
 - Job descriptions are clear, well thought out and well written & capture the skills/abilities/experience needed for positions for agency size/skills/abilities/experience of current staff (volunteers) match job descriptions/ all staff are qualified and most staff exceed preferred minimum qualifications = 6 points
- f) **How agency will report its 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 of 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 the 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
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Agency has accounting system, accounting software, and financial policies and procedures but accounting system and policies and/or procedures are unsophisticated and lack detail	= 3 points
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Agency has accounting system, accounting software and accounting system and policies and procedures are thorough, detailed and agency specific	= 5 points
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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 the agency has been in operation for 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 the agency has been in operation for less than three years; if this is the agency’s first year in operation, please submit a Profit and Loss statement with a CPA’s attestation of its accuracy. (4&5 together)

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

Staff Providing Services

All staff hired to provide Medicaid service coordination or direct care or to serve as a QMRP must meet OPWDD staff requirements as per the MSC vendor manual, regulation, and administrative memoranda.

Brand New Agency or Very Small Agency

Most brand new agencies (and very small agencies that are seeking to expand to provide OPWDD services) may only have one or two staff. Often, this staff with the assistance of the board, is/are responsible for all tasks involved in running the agency. For these very small agencies, the evaluators will review the qualifications of the staff plus the collective experience and expertise of the board. For example, if an MSC supervisor with a Master’s degree in Social Work starts an agency and the board has individuals with management, fiscal, legal, Medicaid compliance, and human resource experience, the agency should receive a good score for question 5 in the Program section of the application. For these brand new agencies, evaluators will also review the job descriptions and qualifications for staff to be hired in the future.

Established Agency that Wants to Expand to Provide OPWDD Funded Services.

An established agency that wants to expand to provide OPWDD funded services must show that it has qualified administrative and fiscal staff. The staff experience and expertise needed may vary depending on the size of the agency but should reflect the needs and complexity of the agency.

Administrative Staff Preferred Qualifications – Management & Program Staff

Executive Director Preferred Qualifications

1. Agency administrators must possess the requisite skills and qualifications to satisfactorily complete their responsibilities. The governing body must have in place specific written qualifications for the administrator position based on the needs, complexity and size of the agency. It is preferred that newly hired executive directors meet the following minimum requirements at the time of hire:
 - a. Eight years of experience in a human services field. Three years of that experience must be in a supervisory or management capacity; or
 - b. A bachelor’s degree in human services, public administration, business administration, public health, hospital administration or a related field and four years of experience in a human services field. Three years of that experience must be in a supervisory or management capacity; or
 - c. A master’s degree in human services, public administration, business administration, public health, hospital administration or a related field and three years experience in a human services field in a supervisory or management capacity.

2. Agencies that generate less than \$500,000 in revenue of any type in a consecutive 12 month period may use the collective experience and education of the members of the governing body, the executive director, and any fiscal staff to satisfy the preferred minimum requirements described in (1) above.



In addition, it is preferred that applicants for Executive Director possess the following:

- Strong supervisory skills and management experience
- Leadership experience including experience with negotiation, problem solving and decision-making
- Strong understanding of the needs of developmentally disabled individuals including, but not limited to, health, education and public policy issues
- Experience establishing and maintaining effective working relationships with staff, community groups, government and other related entities
- Excellent written and oral communication skills
- Solid fund raising skills
- Understanding of Medicaid billing and documentation rules (for Medicaid funded agencies)
- Understanding of Corporate Compliance programs
- A thorough knowledge of the services the agency will be providing

Fiscal Staff – Preferred Qualifications

1. The individual responsible for the agency's financial condition must possess the requisite skills and qualifications to satisfactorily complete their responsibilities. An agency must have in place specific written qualifications for the chief financial officer based on the needs, complexity and size of the agency. It is preferred that newly hired individuals meet the following minimum requirements:
 - a. Six years experience in accounting, bookkeeping and/or business operations; or
 - b. A bachelor's degree in accounting, finance, public administration, business administration or a related field plus two years experience in accounting, bookkeeping and/or business operations; or
 - c. A master's degree in accounting, finance, public administration, business administration or a related field plus 1 year experience in accounting, bookkeeping and/or business operations; or
 - d. Licensure as a Certified Public Accountant plus 1 year experience in accounting, bookkeeping and/or business operations.
2. Agencies that generate less than \$500,000 in revenue of any type in a consecutive 12 month period may use the collective experience and education of the members of the governing body, the executive director, and any fiscal staff to meet the preferred minimum requirements described in (1) above.

In addition, it is preferred that applicants for Chief Financial Officer and Comptroller possess the following:

- Strong experience in accounting, bookkeeping and business operations
- Proficiency with QuickBooks or related accounting software
- Experience with budget development and management
- Ability to present financial reports, analyze financial data and make recommendations
- Experience completing a consolidated fiscal report (CFR)



Human Resources Director Preferred Qualifications

It is preferred that applicants for Human Resources Director possess the following:

- Working knowledge of Federal and State labor law including, but not limited to: Fair Labor Standards Act, Worker’s Compensation, employment eligibility verification, Americans with Disabilities Act, Equal Employment Opportunity, etc.
- Experience with or a strong understanding of employee compensation standards, development of job qualifications, benefits, performance evaluation processes, training, employee recognition programs, etc.
- Excellent written and oral communication skills

Quality Assurance and Corporate Compliance Director Preferred Qualifications

It is preferred that applicants for Quality Assurance and Corporate Compliance Director possess the following:

- Experience in or a strong understanding of quality management in a healthcare, human services, hospital, or developmental disabilities setting.
- Working knowledge of the formal review and evaluation of human services programs for compliance with established legal requirements, standards, and/or contracts.
- Experience in or a strong understanding of the development and management of a quality management strategy.
- Excellent written and oral communication skills

Program Director Preferred Qualifications

It is preferred that applicants for program director positions possess the following:

- At least one year experience in a supervisory position.
- Required credentials for the program/service being managed.
- Experience and expertise with the rules/regulations associated with providing the service