Case Management Transition Frequently Asked Questions

Question 1
How will the current providers and new providers know which clients are to be served by each new provider of case management services?

Answer

- No later than March 14th, DFTA will provide current case management agency providers with client lists and the services they receive. This list is currently being verified by current providers.
- No later than March 25th, DFTA will provide new case management agency providers with client lists and the services they receive.
- Each HMDL, DFTA Social Adult Day Services Program, and DFTA Homecare provider will also receive a spreadsheet, no later than March 25th that lists the case management agency that will be serving their clients.

Question 2
How/when will clients be notified?

Answer

- DFTA provided sample notification letters to current and new providers on February 28th.
- DFTA began sending notification letters in English and Spanish to clients with a helpline # on Monday, March 10th. All letters are expected to be mailed by March 20th.
- Current case management agencies will send notifications letters by March 24th.
- New providers will send notification letters to clients the first week in April.

Question 3
Will DFTA provide assistance to help current case management staff find employment?

Answer

- DFTA job development staff are compiling job vacancy listings for case managers in all boroughs and will share this list no later than March 14th.
- DFTA will provide on-site assistance with resume and job searches for the staff at outgoing case management agencies that request this service.
- DFTA will work with outgoing case management agencies to find positions for their staff in the new contracted case management agencies.
- DFTA's Senior Employment Unit will host on going job fairs for staff who need employment.

Question 4
How will current and new providers work together to do assessments and reassessments?

Answer

- Current providers will only conduct re-assessments for clients who are due for a reassessment through May 2008.
- Current providers will continue to provide assessments on all <u>new</u> clients through March 31, 2008.
- New providers will conduct reassessments on all former HMDL self-assessed clients and all new clients beginning April 1, 2008.

Question 5
How will current and new providers work together to ensure a smooth transition for clients?

Answer

- Current providers will prepare transfer summaries, which will be given to the new provider by April 1, 2008 along with copies of case notes, assessments, reassessments, FAF, service agreements, and referrals since 2/11/08.
- <u>From Present to 4/1/08 (Existing Clients)</u>
  - ✓ Case management agencies will continue to access the Provider Data System (PDS) for all existing clients.
  - ✓ The PDS system allows case managers to:
  - ✓ Retrieve client records;
  - ✓ Post activities to their personal worker logs;
  - ✓ Generate client referral documents to in-home service providers;
  - ✓ Generate client cost-share billing statements;
  - ✓ Track monthly assessments and print out all forms needed for client assessments and reassessments;
  - ✓ Aggregate units of service reports for DFTA invoicing;
  - ✓ Compile monthly client homecare service reports as used by in-home service providers;
  - ✓ Generate and run all statistical and management reports.
- <u>From Present to 4/1/08 (New Clients)</u>
  - ✓ Current case management providers will continue to intake new clients.
  - ✓ New clients will continue to receive the panoply of services, including referrals to social services (including the Home Delivered Meals Program and Homecare).
  - ✓ Until April 1st, current case management agencies will record new client information (or current client re-assessments) in a written format, as opposed to entering it in PDS. The case management agencies are very familiar with this type of format, as several preferred this mechanism for years.

- ✓ By written memorandum dated February 6, 2008, DFTA described the full process of data entry and transition to current case management agencies.

- During this time and after the April 1st transition, DFTA has an identified liaison to assist case management agencies (both old and new) with any technical issues and give timely responses to any questions about protocol. Sayed Zaman, the PDS help-desk supervisor, can be reached at 212-442-1038 or Szaman@aging.nyc.gov. By letter dated March 7, 2008, DFTA notified all case management agencies about this liaison.
- <u>After 4/1/08</u>
  - ✓ From April 1st to May 30th, outgoing case management providers will continue to enter client re-assessments in written format, as opposed to entering in PDS.
  - ✓ As of April 1st, new case management providers will record all client information in PDS.
  - ✓ DFTA will personally follow-up with providers after April 1st to ensure that all client information that was generated since 2/11/08 is entered into PDS.
  - ✓ DFTA will hire temporary employees to focus on transitioning the paper recordkeeping (of new and reassessed clients) to PDS.
  - ✓ In addition, DFTA will continue to pay transition expenses until June 30, 2008. We are optimistic that the professional and dedicated work of these outgoing providers will ensure a quick transition of client files into PDS.

Question 6
When will current contracts be terminated?

Answer
- Existing contracts terminate on 6/30/08.
- Existing contracts concluding 6/30/08 will continue reporting on their contracts for the transition of their existing clients. Providers for these existing contracts will be paid on a unit rate basis during April and May, and will be reimbursed based on actual expenses for June.
- New contracts starting 4/1/2008 can begin reporting on new clients for services provided to their clients as of 4/1/2008, and will be reimbursed on a unit rate basis.
- For the new contracts, if during the first three months (April 1 to June 30, 2008) there are fixed costs not claimed through the unit rate reimbursement and the total amount does not exceed the budgeted amount, DFTA will do a one-time amendment in the beginning of FY09 to add funds to pay for these fixed costs.

Question 7
What start-up costs would be considered by DFTA?

Answer

- DFTA will be arranging for the transfer of computers from current providers and purchasing additional computers where needed.
- DFTA will arrange for equipment and furniture transfers from current providers.
- DFTA will pay for telephones (but not the telephone service) and photocopiers where needed.
- DFTA will not pay for furniture, office and household supplies or any OTPS costs that should have been – but were not – included in the proposed operating budget, upon which the contract award was granted.
- DFTA does not require bids on items or set of like items up to $5,000. Anything costing over $5,000 and approved by DFTA will be subject to the bidding process.
- DFTA is currently reviewing all submitted start up cost requests.

Question 8
How will PDS data entry be handled?

Answer

- DFTA is in the process of hiring temporary data entry employees who will be trained in PDS and placed at each new program, by April 1 2008, to handle the back log in data entry.
- If the agency is willing to pay overtime to existing staff, the provider can include the cost of overtime at the current budgeted rate, if incurred after the full time paid week for the purpose of data entry. No individual will be paid for over 40 hours per week in total.

Question 9
Will DFTA retain an amount equal to 5% of the contractors' annual earnings for the first three months of the contract from April 1st to June 30th ?

Answer

- No. DFTA is not holding the 5% retainage for these three months.

Question 10
What kind of background checks are required?

Answer

- Background checks are to be conducted on all new employees for suitability (including the absence of any felonies or convictions).

- Fingerprinting should be done for all employees making home visits or with access to client financial records. Copies of all background checks should be kept in the personnel file.
- The contractor may bear the cost of the fingerprinting process or they may ask the employee to bear the cost.
- Employee's references should also be obtained and checked.
- The contractor must exercise business judgment as to whether to hire a person under applicable law after references are checked and background checks are conducted.
- DFTA reserves the right to request background check on existing employees at a future date.

DFTA realizes that this process may incur further questions of an individual nature. We would like to reiterate that all providers (both outgoing and new) should feel free to contact the agency for any support they need. If you have any questions, please call our community liaison Kristen Simpson-Zak at (212) 442-1291 or email at ksimpson@aging.nyc.gov. The agency will also reach out to providers individually throughout the transition.