



Department for
the Aging

Lilliam Barrios-Paoli
Commissioner

Steven Foo
General Counsel

Betty Lee
Agency Chief
Contracting Officer

2 Lafayette St.
New York, NY 10007

212 442 1112 tel
212 442 0994 fax

ADDENDUM NO. 2

Home Care Program PIN NO. 12515HCNA000/EPIN NO. 12514N0001

November 7, 2013

This addendum is in reference to the Home Care Program solicitation issued by the Department for the Aging on October 15, 2013. The solicitation has been amended as follows:

Supporting Financial Information Documentation

DFTA is replacing two sections of the solicitation to clarify the supporting documentation needed to fulfill the financial information submission requirements of the proposal.

Section III, Part II, Organizational Capacity, Item p (Page 11) is replaced by the following:

p) The proposer must be financially sound and stable as evidenced by the latest A-133/organization wide audit. (Each copy of the audit report should be bound separately from the narrative.) Please submit two copies of the latest IRS 990 Form and organization wide/A-133 audit, preferably the FY 2012 organization wide/A-133 audit. If the FY 2012 organization wide/A-133 audit is not available, please submit the FY11 organization wide/A-133 audit along with an explanation as to why the FY 2012 organization wide/A-133 audit is not available. If your organization does not have a recent organization wide or A-133 audit, your organization can submit the following financial documents, according to DFTA's preferential order.

- 1) 990 + FY 2012 A-133/org wide audit. (As noted above, this is DFTA's preference. If FY 2012 is not available, submit the FY11 audit along with an explanation as to why the FY 2012 audit is not available.)
- 2) 990 + CPA program audit a latest CPA compilation and review of financial statements + explanation of why an organization wide/A-133 audit is not available.
- 3) 990 + CPA program audit + latest unaudited financial statements + explanation of why no organization wide/A-133 audit is available.
- 4) 990 + CPA compilation and latest review of financial statements + explanation of why no organization wide/A-133 audit is available.



- 5) 990 + latest unaudited financial statements + explanation of why no organization wide/A-133 audit is available.

Section III, Part III, Supporting Documentation, Item #4 is replaced by the following:

Two copies of the latest IRS 990 Form and organization wide/A-133 audit, preferably 2012 organization wide/A-133 audit. If a 2012 organization wide/A-133 audit is not available, please submit the 2011 organization wide/A-133 audit along with an explanation as to why the 2012 organization wide/A-133 audit is not available. If your organization does not have a recent organization wide or A-133 audit, your organization can submit the following financial documents, according to DFTA's preferential order.

- 1) 990 + FY 2012 A-133/organization wide audit. (As noted above, this is DFTA's preference. If FY 2012 is not available, submit the FY11 audit along with an explanation as to why the FY 2012 audit is not available.) **(2 copies)**
- 2) 990 + CPA program audit + latest CPA compilation and review of financial statements + explanation of why no organization wide/A-133 audit is available. **(2 copies)**
- 3) 990 + CPA program audit + latest unaudited financial statements + explanation of why no organization wide/A-133 audit is available. **(2 copies)**
- 4) 990 + CPA compilation and latest review of financial statements + explanation of why no organization wide/A-133 audit is available. **(2 copies)**
- 5) 990 + latest unaudited financial statements + explanation of why no organization wide/A-133 audit is available. **(2 copies)**

In-Home Assessments conducted by a Nurse

In regards to *Section II, subsection "DFTA Home Care Program Standards" on Page 6, Bullets #2 and #3; and Appendix 4 DFTA Home Care Standards: Standard 3, Compliance 3.1 on Page 28 and Standard 11, Compliance 11.2 on page 31*, DFTA provides the following clarification and instruction to proposers:

While it is DFTA's preference, DFTA does not require a nurse supervisor to perform an in-home assessment of clients who are determined to be eligible for housekeeping (only) by the case management agency. A supervisor for housekeeping (only) clients should meet at least one of the following qualifications:

- An RN or Licensed Practical Nurse with 2 years of related experience. Nurse who is licensed and currently certified to practice as a Nurse in New York State; or
- A Bachelor's degree with a major in social work, psychology, counseling or related field and two years of experience in health or social service field; or
- Five years of experience as a home care worker.



When proposing, DFTA asks proposers to indicate the qualifications of the supervisor for housekeeping (only) clients.

DFTA requires an in-home assessment by a nurse supervisor using DFTA's assessment tool for clients who have been determined by the case management agency to need Homemaker/Personal Care Services in accordance with all stipulations in DFTA Home Care Standard #3 (see Appendix 4, Page 28). The nurse supervisor conducting the assessment can be a Registered Nurse or a Licensed Practical Nurse.

Home Care Program Budget Instructions, Attachment C

The following instructions replace the correlate language in the solicitation's Home Care Program Budget Instructions (Attachment C):

Page 1: Personnel (PS)

Column C: Select from the drop down list the description for each position. *For example, select direct service for Homemaker and Housekeeping pools, select supervision for Coordinator and Medical Worker, select administration for Director, Bookkeeper, etc.*

Column G: If "Annual" was selected in *Column E*, enter the annual salary. If "Hourly" was selected in *Column E*, do not enter data.

Page 2: OTPS

Column C: Enter the estimated annual value for each OTPS expense.

Pagination Guidelines

DFTA requests that proposal narratives not exceed twenty (20) double-spaced pages. For clarification purposes, DFTA provides the following:

The size of the font used in the proposal should be no less than 10 pts., and page margins should be no less than 0.75 inches on each side. When writing the narrative, proposers are permitted to refer to attachments or other sections of the narrative; for scoring purposes, DFTA encourages proposers to use attachments sparingly and use them in a way that supports what is written in the narrative, i.e., they should not supplant the narrative itself.

The 20-page (recommended) proposal narrative does NOT include items such as those included in the Supporting Documentation check list on pp. 12-13 of this solicitation. Note, however, that Item #3 on that list is the Proposal Narrative.



Acknowledgment of Addendum Form

Proposers are requested to complete and submit the attached form as part of the proposal package. The form serves as the proposer's acknowledgment of the receipt of this addendum in response to this solicitation.

Clarification to Questions Raised at the Pre-Proposers' Conference Held on October 29, 2013

Responses to the questions raised at the Pre-Proposer's Conference are attached and grouped into several different categories.

Many home care providers in New York City employ unionized home care workers. Moreover, many home care providers in New York City employ home care workers whose wages and benefits are set by the NY State Home Care Worker Wage Parity Law under Medicaid. And because of changes in the Affordable Care Act, the health insurance (or in lieu of benefits) required to be provided under the Home Care Worker Wage Parity and oftentimes provided for by the union of home care workers in unionized agencies will likely increase in cost. Because of the mounting uncertainty surrounding reimbursement in other contracts entered into by the home care agency, requirements on the provision of wages, health insurance costs, among other factors, potential proposers request that DFTA grant an extension on the Home Care Program solicitation.

DFTA's Home Care Program is not Medicaid or Medicare funded. However, DFTA has been monitoring the changing requirements and demands being placed on the existing home care sector set in motion by Medicaid Redesign (in particular, Home Care Worker Wage Parity and the shift of clients from the HRA Home Attendant Program to Managed Long Term Care Plans) and at the federal level by the Affordable Care Act and the newly published Overtime Rules. DFTA is not privy to nor does it have influence over collective bargaining between labor and management.

While DFTA recognizes the uncertainty surrounding the issues mentioned in the question, it has concluded that those uncertainties do not warrant an extension at this time. **Proposals are due to DFTA on November 19, 2013 at 1:00 PM EST.**

Can the assessment be conducted on the same day as the care plan/ service schedule?

For clients who are determined to need housekeeping or homemaker/personal care, within 3 business days, the home care agency supervisor must conduct an in home assessment using DFTA's assessment tool. The care plan is developed in the presence of the client and the assigned homecare worker. Some home care agencies conduct the in-home assessment with the assigned home care worker present, in anticipation that the CMA authorized plan is acceptable. Alternatively, DFTA also finds it acceptable for the agency supervisor to make two separate visits to a new client within the 3 business days (in-home assessment followed by care plan/home care



worker orientation). Either way, home care services should begin within 3 full business days of referral from the case management agency. For example, if the referral is received at 2 PM on Monday, services should begin by Friday, assuming that this is a service day for that particular client.

The one exception to the above process is when the home care agency disagrees with the case management agency assessment. Historically, disagreement about a CMA service plan is rare.

Can DFTA provide the number and percentage of Homemaker/Personal Care clients and Housekeeping clients by borough?

At any point in time, the number of Homemaker/Personal Care and Housekeeping clients varies. For general planning purposes and reference, DFTA provides: 1) the breakdown of the approximate numbers of clients authorized for housekeeping and homemaker/personal care services at one point in time; 2) the percentage of clients authorized for housekeeping and personal care services at one point in time; and 3) the number of units utilized in FY 2013 for housekeeping versus homemaker/personal care.

Approximate number of clients authorized for home care at one point in time (August 2013)

	Bronx	Brooklyn	Manhattan	Queens	Staten Island
Clients	450	1,000	600	900	100

Percentage of clients authorized for home care at one point in time (August 2013)

	Bronx	Brooklyn	Manhattan	Queens	Staten Island
Housekeeping	33%	34%	41%	28%	33%
Personal care	67%	66%	59%	72%	67%

Percentage of units utilized (FY 13)

	Bronx	Brooklyn	Manhattan	Queens	Staten Island
Housekeeping	17%	15%	22%	9%	15%
Personal care	83%	85%	78%	91%	85%

What are the average housekeeping and PCA hours per week per client?

The maximum numbers of hours any one client can receive in a week are 4 hours of housekeeping and 12 hours of Homemaker/Personal Care unless an exception is granted by DFTA in special cases. The average weekly utilization is approximately 4 hours for housekeeping and 8 hours for home maker/personal care.



Does DFTA prefer references to be in the form of Reference Letters or should the proposer just provide the contact name and information?

DFTA prefers that the references be in the form of a letter written and signed by the reference. All references, be it a letter or not, should contain all information requested in Item (d) Section III, Part II, Experience Section of the solicitation.

Does DFTA provide Elder Abuse Training?

DFTA provides training for management staff of contracted home care providers who supervise home care workers directly. DFTA is currently exploring the feasibility of providing Elder Abuse Training to the home care workers as well.

Can DFTA provide demographic data on the current population of older adults being served by the existing Home Care providers?

For general planning purposes, DFTA provides the following data on the population served in its current Home Care Program:

Sex	Percent
Female	80.2
Male	19.8

Race	Percent
American Indian or Alaskan Native	.5
Asian	2.2
Black or African American	33.6
Missing	1.0
More than one race	1.7
Native Hawaiian/Other Pacific Islander	.1
Other Race	1.8
White Hispanic	13.1
White not Hispanic	46.1



Can DFTA provide the number of “mutual cases” it serves in the current home care program?

For general planning purposes related to this solicitation, DFTA provides the following data on the percentage of clients that are Mutual Cases:

Homemaker /Personal Care Mutual Clients	
Bronx	4.9%
Brooklyn	5.0%
Manhattan	4.3%
Queens	10.1%
S.I	0.0%

Housekeeping Mutual Clients	
Bronx	1.7%
Brooklyn	8.0%
Manhattan	7.5%
Queens	11.1%
S.I	6.7%

There is a discrepancy between Page 8 of the solicitation and Page 32 of Appendix 4 regarding felony/criminal charge convictions. Can DFTA clarify?

Under Mayor Bloomberg’s issued Executive Order 151 dated August 2, 2011, proposers awarded a contract under this solicitation are prohibited from asking questions regarding an applicant’s prior criminal convictions on any preliminary employment applications or asking any questions about an applicant’s prior criminal convictions before or during the first interview. DFTA will revise its standards in line with the Mayor’s Executive Order prior to contract award.

APPENDIX 6
ACKNOWLEDGMENT OF ADDENDA

TITLE OF THE SOLICITATION HOME CARE PROGRAM	EPIN 12514N0001 PIN 12515HCNA000
--	-------------------------------------

For Proposals which may have been issued by the agency prior to Instructions: The proposer is to complete Part I or Part II of this form, whichever is applicable, and sign and date this form. This form serves as the proposer's acknowledgment of the receipt of Addenda to this solicitation which may have been issued by the agency prior to the Proposal Due Date and Time.

 Part I

Listed below are the dates of issue for each Addendum received in connection with this solicitation.

Addendum # 1, dated _____

Addendum # 2, dated _____

Addendum # 3, dated _____

Addendum # 4, dated _____

Addendum # 5, dated _____

Addendum # 6, dated _____

Addendum # 7, dated _____

Addendum # 8, dated _____

Addendum # 9, dated _____

Addendum #10, dated _____

 Part II

No Addendum was received in connection with this solicitation.

Proposer Name: _____

Proposer's Authorized Representative:

Name: _____

Title: _____

Signature: _____

Date: _____