

RFA Number 1012090253

New York State
Department of Health
Division of Chronic Disease and Injury Prevention
Center for Community Health
Asthma Program

Request for Applications

*A Systems Approach for Reducing the Burden of Asthma
in New York State*

KEY DATES

RFA Release Date:	June 13, 2011
Letter of Interest Due Date:	June 24, 2011
Questions Due:	July 1, 2011
RFA Updates Posted:	August 1, 2011
Applications Due:	August 29, 2011 (5:00pm)
DOH Contact Name and Address:	Marianne Heigel, RN Coalition Coordinator, Asthma Program New York State Department of Health Bureau of Community Chronic Disease Prevention 150 Broadway, Suite 350 Menands, New York 12204 E-mail: RACRFA@health.state.ny.us

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I. Introduction

The New York State Department of Health (NYSDOH) Bureau of Community Chronic Disease Prevention, Asthma Program seeks applications to establish and/or expand Regional Asthma Coalitions (RACs) in high-risk geographic areas of New York State (NYS). The RACs bring healthcare and community systems together, including hospitals, clinics, primary care health providers, asthma specialists, health plans, schools, community organizations, public health, businesses and other public and private groups, to respond to the asthma epidemic that must be addressed and solved locally. The RACs will develop, implement, spread and sustain population-based, multi- agency, policy and system level changes with and for their communities.

The overall goal of this initiative is to control asthma through a regional, population-based, sustainable systems approach. This approach will translate key components of the National Asthma Education and Prevention Program (NAEPP) Asthma Guideline (<http://www.nhlbi.nih.gov/guidelines/asthma/index.htm>) into practice in a variety of settings (primary care, schools, daycare, clinics, homes) by implementing and sustaining policy and system changes around key elements of the Chronic Care Model (<http://www.improvingchroniccare.org/index.html>). This approach aims to:

- decrease the number of hospitalizations due to asthma;
- decrease the number of emergency department visits due to asthma;
- decrease the number of school/work days lost due to asthma;
- decrease the number of clinic/provider office urgent care visits due to asthma; and
- increase the quality of life among people living with asthma.

A. Background

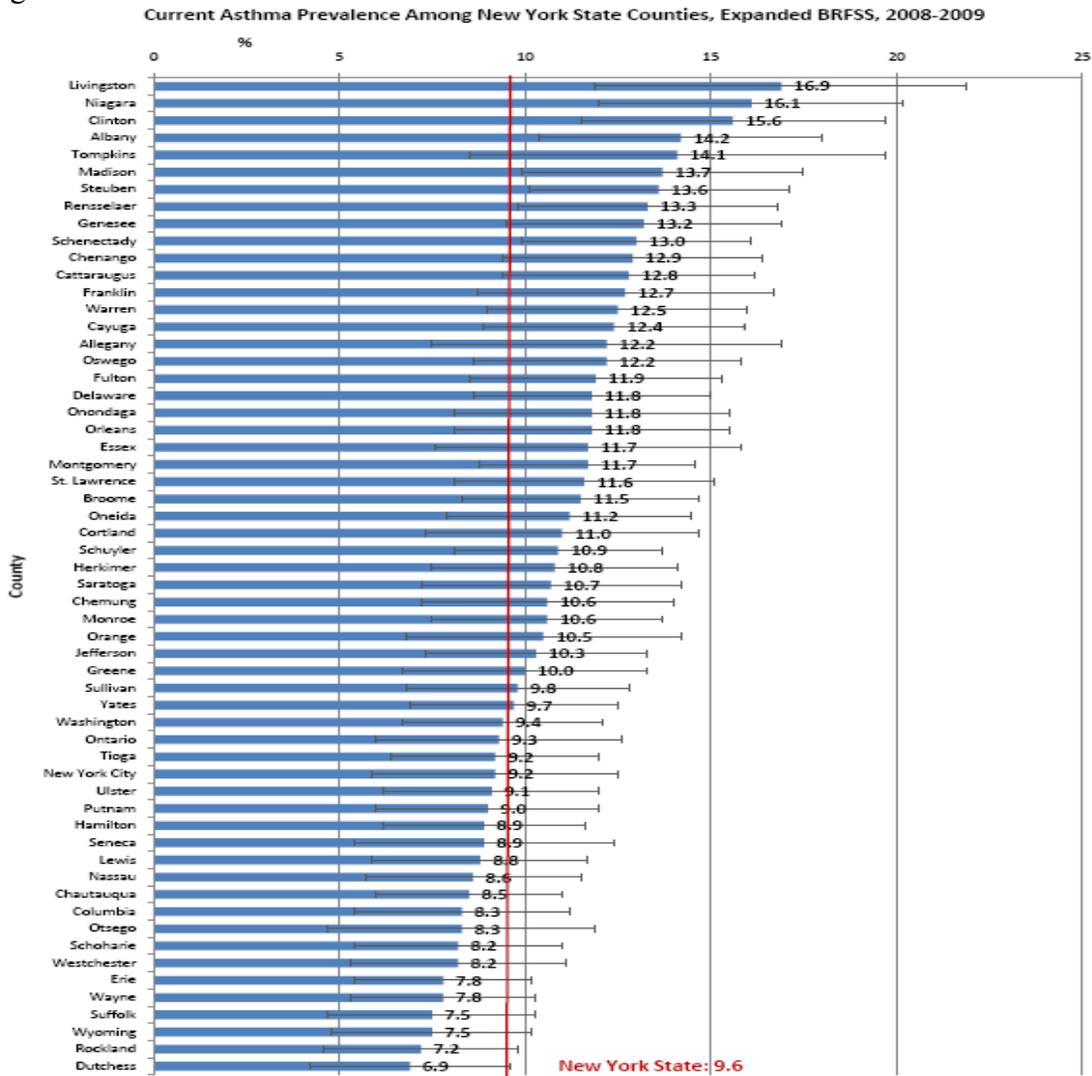
Asthma is a chronic disease of the lungs and is one of the most common chronic diseases in children. Although there is no cure for asthma, much more is known about it today than was known 20 years ago. A public health approach to prevent or control asthma involves educating the public and health professionals on assessment, diagnosis, treatment and management, improving access to quality asthma care, and understanding and eliminating environmental factors that trigger asthma. NYSDOH is actively working with health care providers, community coalitions, schools, families and many other partners to reduce or control asthma so people with asthma can live full and active lives.

From 1998 to 2007, asthma intervention efforts in NYS contributed to an approximately 20 percent reduction in the asthma hospital discharge rate among children age 0-17 years and a 13 percent reduction for the total population. However, asthma remains a major health problem with significant public health and financial consequences.

In 2008, an estimated 1.3 million adults and 475,000 children ages 0-17 years had current asthma in NYS. The current asthma prevalence among adults has shown a general increase from 6.3

percent in 1999 to 8.7 percent in 2008. Prevalence rates have been higher than the national average since 2002. In 2007, current asthma prevalence among children ages 0-17 years was 11.6 percent. While current asthma prevalence for NYS children is not available at the county level, adult asthma prevalence rates at the local level were generated from the 2008-2009 Expanded Behavior Risk Factor Surveillance System (EBRFSS). The prevalence of current asthma in New York adults (aged 18 years and older) was 9.6 percent. However, prevalence ranged from roughly 7 percent in Dutchess and Rockland counties to around 16 percent in Livingston, Niagara and Clinton counties (Figure 1).

Figure 1



Among NYC adult residents with disabilities, 18.2 percent had asthma. Among adults with disabilities in New York State, exclusive of NYC, 19.3 percent had asthma.

For 2005-2007, the annual asthma emergency department (ED) visit rate was 83.7 per 10,000 residents. Children (0-17 years) had the highest ED visit rates at 141.7 visits per 10,000 residents. The age-adjusted ED visit rates were higher among females (89.8/10,000), non-Hispanic Blacks (187.0/10,000), Hispanics (140.0/10,000), and New York City (NYC) residents (130.0/10,000). Asthma ED visit rates were higher than the Healthy People 2010 objective for all age groups.

For 2005-2007, the annual asthma hospital discharge rate was 20.4 per 10,000 residents. Children ages 0-17 years had the highest asthma hospital discharge rates at 29.6 per 10,000. The age-adjusted asthma hospital discharge rates were higher among females (23.8 per 10,000), non-Hispanic Blacks (42.3 per 10,000), and NYC residents (31.7 per 10,000). Overall, the annual asthma hospital discharge rate in NYS decreased 13 percent from 22.7 per 10,000 residents in 1998 to 19.7 per 10,000 residents in 2007. However, asthma hospital discharge rates are higher than the national rates for all age groups and are roughly two times higher than the Healthy People 2010 objectives.

While the asthma hospital discharge rates for children decreased in NYS, the 2007 rate of 27.9 per 10,000 residents was more than one and a half times higher than the Healthy People 2010 goal of 17.3 per 10,000 residents. New York City children (0-17 years) have higher asthma hospital discharge rates compared to the residents in the rest of NYS (Figure 2).

Figure 2. Asthma Hospital Discharge Rates per 10,000 Population for Children (0-17 years), 1998 and 2007, New York State, New York City and Rest of State

	<u>1998</u>	<u>2007</u>	<u>% change</u>	<u>Healthy People 2010</u>
New York State	34.4	27.9	-19%	} 17.3
New York City	59.6	45.7	-23%	
Rest of State	16.8	14.5	-14%	

During 2005-2007, an average of 255 deaths occurred per year due to asthma, for an age adjusted asthma mortality rate of 12.5 per 1,000,000 residents. During this time period, non-Hispanic Black and Hispanic residents had the highest age-adjusted asthma mortality rates. In addition, mortality rates were 1.5 to 5 times higher than Healthy People 2010 objectives.

According to the National Asthma Survey (NAS)-NYS 2003, children in NYS missed over 1.9 million days of school due to asthma. Adults with asthma reported approximately 7.6 million days when they were unable to work or carry out usual activities due to asthma. Among current asthmatics, only 30.4 percent were ever given asthma management plans.

The NYSDOH's Office of Health Insurance Programs has been collecting information to monitor the quality of health care provided by the managed care plans. The Quality Assurance Reporting

Requirement (QARR) indicator for asthma care is the percent of patients with persistent asthma who have received the appropriate medication to control their condition. The proportion of children aged 5–17 years with persistent asthma who received appropriate medications increased slightly between 2005 and 2007. In 2007, among persistent asthmatic children, 95 percent of enrollees of either commercial or Child Health Plus plans received appropriate medications for asthma; 92 percent of persistent asthmatic children enrolled in Medicaid managed care (MMC) plans received appropriate medications. Among persistent asthmatic adults aged 18-56 years, the proportion of adults who received appropriate medications for asthma increased slightly from 2005 to 2007 for both Commercial insurance and MMC plans. While this data is positive, it is limited by the fact that the measure only looks at one medication filled during the measurement year for the population with moderate to severe asthma.

The total cost of asthma hospitalizations for 2007 was approximately \$535 million, a 17 percent increase since 1995. The average cost per hospitalization was \$14,107 in 2007, a 31 percent increase from 1998. In 2007, among the Medicaid managed care population, over \$170 million was spent on more than 160,000 individuals for asthma-related services. The average cost was \$1,069 per enrollee with asthma.

While the burden of asthma remains high in general for NYS, asthma ED visit and hospital discharge rates vary greatly by geographic regions across the state. This information at the state level, county level and by zip code level is available through the NYSDOH asthma web page at: www.health.ny.gov/statistics/ny_asthma/.

B. Description of Program

Funding awarded through this Request for Applications (RFA) will support Regional Asthma Coalitions (RACs) in high-risk geographic areas, as defined in Section C, to reduce the burden of asthma in New York State, demonstrated by a decrease in asthma-related emergency department visits and hospitalizations. The RACs will implement an evidence-based approach to control asthma and improve the quality of care and quality of life for persons/families with asthma in each region. The New York State Regional Asthma Coalitions Logic Model (**Attachment 2**) illustrates the context, approach, processes/activities and expected outcomes of the RACs.

Community coalitions have proven to be effective mechanisms for building local capacity to address health problems. In general, coalitions are able to span boundaries between populations and organizations, minimize and/or eliminate duplication of effort and services, reach untapped community assets, build trust and respect among organizations despite being in a competitive environment, pool innovative talent and resources and implement interventions that effect changes in systems that individual organizations may not be as able to do. Community coalitions are positioned to promote leadership and integration, test models of change, measure impact of interventions and spread innovation. For more information on coalition-building skills, refer to *The Community Toolbox: Models for Promoting Community Health and Development* (<http://ctb.ku.edu/en/tablecontents/index.aspx>).

The RACs funded through this RFA will implement interventions that translate the four key components of asthma care outlined by the *National Asthma Education Prevention Program (NAEPP), Expert Panel Report (EPR-3), 2007: Guidelines for the Diagnosis and Management of Asthma* into practice in their regions. The *NAEPP, EPR- 3, 2007* provides “recommendations for the diagnosis and management of adults and children with asthma to help clinicians and patients make appropriate decisions about asthma care” (<http://www.nhlbi.nih.gov/guidelines/asthma/index.htm>). The four key components of asthma care outlined in the guidelines are:

1. Assessment and monitoring of asthma severity and control;
2. Patient education for a partnership in care;
3. Control of environmental factors that affect asthma; and
4. Pharmacologic treatment.

In December of 2008, the Guidelines Implementation Panel (GIP) Report was published to provide recommendations and strategies for overcoming barriers to implementing the guideline recommendations of the EPR-3 to improve acceptance and use of the asthma guidelines (http://www.nhlbi.nih.gov/guidelines/asthma/gip_rpt.htm). This report emphasizes six priority key messages that, when acted upon, would most likely result in improvement in asthma care processes and outcomes. The six priority messages are:

1. Assess asthma severity to determine type and level of initial asthma therapy;
2. Assess asthma control to guide asthma therapy;
3. Review allergen and irritant exposure to provide a multipronged strategy for reduction;
4. Use inhaled corticosteroid for long-term management of persistent asthma control;
5. Complete Asthma Action Plans for all people who have asthma to guide self management; and
6. Plan follow up visits at periodic intervals to assess control and treatment.

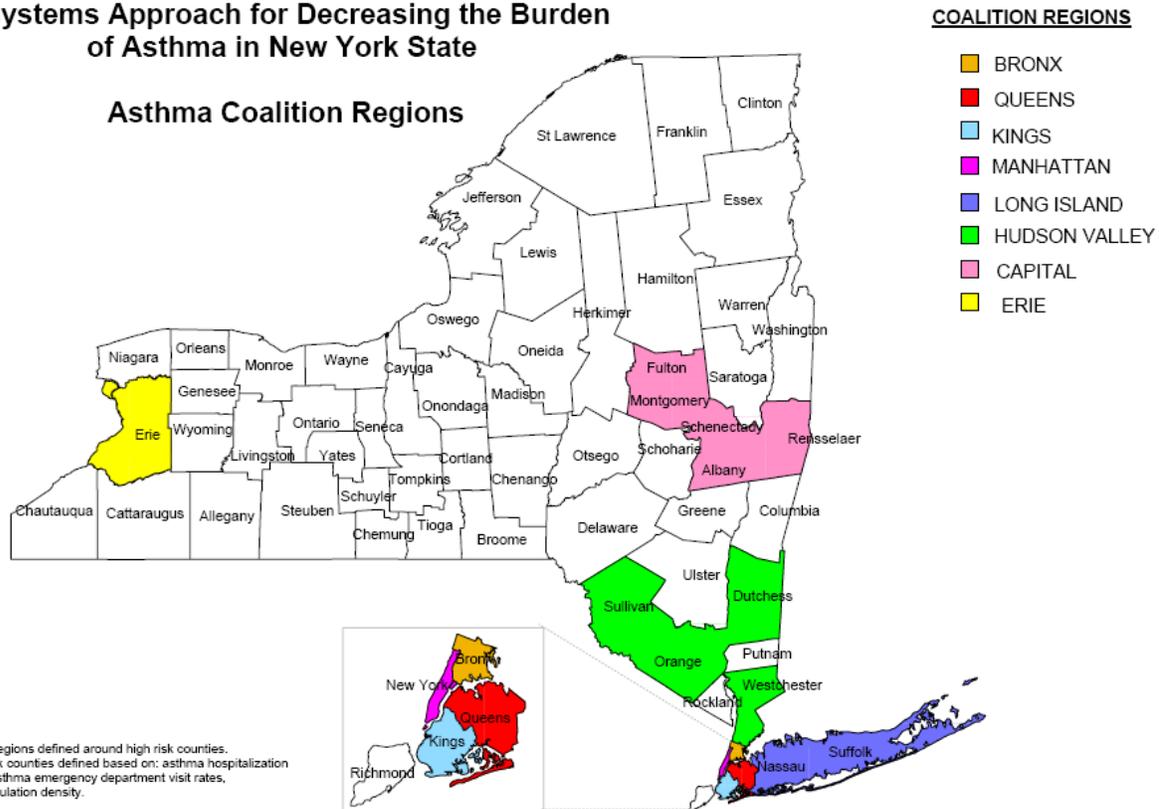
The translation of the guidelines into practice will be accomplished through promoting and sustaining interventions around the key elements of a systems change model, the *Chronic Care Model* (<http://www.improvingchroniccare.org/index.html>). The *Chronic Care Model* summarizes the basic elements for improving chronic care in health systems at the community, organization, practice and patient level. Based on evidence, the *Chronic Care Model* describes what contributes to achieving improved outcomes for a population of patients with chronic disease. The *Chronic Care Model* suggests that to change/improve outcomes (regardless of the chronic condition), fundamental community and health system changes need to occur across the following elements: self management, delivery system design, decision support, clinical information systems, community resources and policies and health care organization. The RACs will support the implementation of systems changes to result in improvement in each of these areas defined by the *Chronic Care Model*. The *Chronic Care Model Checklist for Asthma Coalitions (Attachment 3)* outlines examples for how an RAC may apply the systems change model.

Coalitions will employ proven improvement methods, such as those described by the Institute for Health Care Improvement (IHI), for making and sustaining system change interventions in their targeted venues (<http://www.ihl.org/IHI/Topics/Improvement/ImprovementMethods/>). Coalitions will work with and across various health care and community settings to set aims; establish measures; and select, test, implement and spread evidence based interventions aimed at improving asthma outcomes.

C. Geographic Area

The NYSDOH has defined eight Asthma Coalition Regions for this RFA: Bronx, Queens, Kings, Manhattan, Long Island, Hudson Valley, Capital, and Erie. The specific geographic areas included in each of the eight Asthma Coalition Regions are illustrated on the map below. These regions have been defined around counties of high risk using the following information: asthma-related hospital discharge rates, asthma-related emergency department visits and population density. This RFA will fund up to one RAC in each of the eight Asthma Coalition Regions. Applicants may apply to serve more than one coalition region. In this case, a separate application must be submitted for each coalition region. Any single application received that includes more than one coalition region will be disqualified. Applicants should describe in detail how they will reach each of the counties included in their region.

A Systems Approach for Decreasing the Burden of Asthma in New York State



SOURCE:
NYS ED & HOSPITAL DISCHARGE DATA (SPARCS)

D. Target Population

The general target population for this RFA is people with asthma and families of people with asthma, especially those disproportionately affected by asthma, such as children and low income minority populations in geographic areas with high asthma-related hospitalization rates and emergency department visit rates.

Applicants need to identify and describe the specific target populations for their coalition within their geographic region, including the percentage of the target population the coalition expects to reach. Applicants should utilize local and state data to identify and describe their specific target populations. This data can be accessed at: http://www.health.ny.gov/statistics/ny_asthma/. Risk is defined by asthma-related hospitalization rates and emergency department visits. Gender, race/ethnicity, age, geography and /or poverty may also be used to describe the target population.

E. Project Period

It is expected that the initial contract period will be for one year, April 1, 2012 through March 31, 2013, with the option of four, one-year renewals.

F. Distribution of Funds

Up to eight contracts will be awarded. The estimated annual funding amount per contract is \$180,000. Contracts will be awarded to the highest scoring and passing application in each region. Only passing applications, with a score of 70 or greater, will be considered for an award.

In the event that there is not a passing score or any applications submitted in any of the regions, the Department will issue a follow-up Request for Applications in that region or regions.

The final number of awards and final award amounts will be contingent upon the total amount of funds available.

II. Who May Apply

A. Minimum eligibility requirements

Eligible applicants must be public and private not-for-profit organizations in NYS, including but not limited to: hospitals, primary care practices and networks, clinics, physician groups, health plans, local public health agencies, universities and colleges, schools and school districts, voluntary associations, foundations, scientific or professional associations and community based organizations with experience and expertise in the administration of coalitions or collaborative to address public health problems.

Applicants are required to have a written policy prohibiting any affiliation with a tobacco company or tobacco product manufacturer including receipt of gifts, grants, contracts, financial support and in-kind support, and other relationships. Applicants must ensure that no subcontractors receiving funding through this award have any affiliation with a tobacco company or tobacco product manufacturer. In addition, applicants are required to have a written policy establishing a 100% tobacco-free worksite facility, including outdoor areas under control of the applicant, or commit to implementing such a policy within one-year of receiving the notice of award. Applicants **MUST** complete, sign and submit the **Tobacco-Free Policies Attestation** document (**Attachment 4**) with their application.

Eligible applicants must have in place or develop and implement within one year of the contract start date a comprehensive healthy foods policy for their organization, including use of healthy meeting guidelines. If an applicant does not provide food on-site for staff or visitors (e.g., has no cafeteria, vending machines, store, etc, under its or its organization's control), the applicant must have in place or develop and implement within one year of the contract start date healthy meeting guidelines, which establish that healthy foods will be provided at all organization-sponsored meetings and events. Applicants **MUST** complete, sign and submit the Comprehensive Healthy Foods Policy Status and Intent document (**Attachment 5**) with their application stating that they have or will develop and implement such policies.

B. Preferred eligibility requirements

Applicants need to demonstrate 1) the financial and administrative capacity to manage a state contract; and 2) the technical expertise to successfully implement the full range of activities outlined in this RFA.

Applicants should demonstrate the ability to lead and manage a coalition or collaboration and engage partners to execute a strategic plan. Competitive applicants will successfully demonstrate a history of leadership, effective collaboration and cooperation among a diverse group of stakeholders. Successful applicants will demonstrate experience and success in coalition building and population-based intervention implementation with measurable results.

Partners, at a minimum, should include people with asthma, families of children with asthma, primary care physicians and specialists, hospitals, health care insurers and payers, health maintenance organizations, certified asthma educators, local public health and environmental health agencies and organizations, school districts and school-based health clinics, daycare centers, and other community-based organizations. In addition, the participation of recognized business, faith-based and community leaders, other health care providers, pharmacists, pharmaceutical companies, and other public and private organizations is encouraged.

Applicants should demonstrate experience with:

- Engaging stakeholders and leading a coalition/collaborative on a regional level;
- Using data to assess local asthma burden;
- Developing a strategic plan to address local health problems;
- Targeting populations with the greatest health disparities;
- Implementing evidenced-based interventions;
- Monitoring, evaluating and reporting the results of the collaborative effort;
- Making policy and system changes in community and health care settings the purpose of improving health outcomes;
- Applying the *Chronic Care Model*;
- Utilizing process and outcome data to make system improvements; and
- Leading a collaborative group to conduct regional, population based sustainable, multi-systems interventions for a specific target population.

The applicant needs to be both the fiscal agency and the lead agency responsible for implementing the work of this initiative. Applicants may subcontract components of the scope of work, but it is expected that the applicant retain a majority of the work (in dollar value) within the applicant organization. For those applicants that propose subcontracting, it is preferable to identify subcontracting agencies during the application process. Applicants that plan to subcontract are expected to state in the application the specific components of the scope of work to be performed through subcontracts.

Awarded coalitions will be required to utilize "People First" language in all communications including but not limited to documents, publications, media relations and correspondence. Guidance is provided in "People First: Communicating With and About People with Disabilities" (<http://www.healthof.gov/publications/0951.pdf>). In addition, all meetings, conferences, and events held by awarded coalitions will be required to be held in fully accessible locations and materials and other communications provided in alternative formats as necessary. Guidance is provided in "How to Plan Events Everyone Can Attend" (<http://www.healthof.gov/publications/0956.pdf>) to ensure accessibility by participants with disabilities.

III. Project Narrative/Work Plan Outcomes

A. Project Deliverables

Successful applicants will apply evidenced-based models and interventions through the RAC network to decrease the burden of asthma in their region. The New York State Asthma Coalition Logic Model provides a road map for this initiative, linking project activities to the intended outcomes of the RACs.

Successful applicants will be expected to collaborate with local, regional and statewide partners to:

- Establish, maintain, expand, and lead a regional asthma coalition;
- Develop a 5-year Coalition Strategic Plan (by the end of year 1);
- Articulate and apply a population-based, multi-systems, community-wide approach;
- Target areas and sub-populations in the coalition region that are disproportionately affected by asthma;
- Work with partners and stakeholders to collaborate and leverage the partnership's collective resources to promote improved asthma outcomes for target populations;
- Promote and sustain system changes that incorporate the NAEPP's four key components of asthma care, emphasizing the six priority messages of the NAEPP GIP report into practice;
- Work in and across a variety of settings (e.g., primary care, schools, daycare, clinics, hospitals, community organizations, emergency departments, health plans, environmental health agencies, public health organizations, businesses and other public and private groups);
- Apply the Chronic Care Model to guide and prioritize the selection of evidence-based system change interventions that aim to improve patient outcomes at the community, health system, organization, practice and patient levels;
- Train partners and providers in the health care and community settings to provide education and support to families/persons with asthma;
- Participate in the wider statewide asthma coalition program for the purpose of accessing a network of statewide experts, learning from other regional coalitions' experience and aligning local efforts with state and federal priorities;
- Improve information and communication systems to monitor and track process and outcome measures;

- Educate the community and elected officials about the importance of asthma control;
- Monitor and report progress and outcomes on a quarterly basis, using standard data measures, that reflect the effectiveness and impact of program activities; and
- Report annually on successes and best practices of the coalition in a format to be specified by NYSDOH.

Community members and decision makers should be well-educated about the asthma burden in their region, effective actions to address the asthma burden, and the unmet needs for addressing this problem in communities across New York State. Organizations funded as a result of this RFA will implement activities designed to increase community awareness of asthma, improve recognition of the importance of asthma control, and highlight the burden of the asthma epidemic in their communities. Examples of these activities include: regular communication with elected representatives; annual legislative office visits; and engagement of community members who have suffered as a result of the asthma epidemic to speak on behalf of asthma control.

B. Year One Work Plan, Data Measurement Plan and Budget

Year One Work Plan - a Work Plan Template (**Attachment 6**) is provided.

The Year One Work Plan should include:

- A detailed plan for implementation of a minimum of two policy and/or system change collaborative projects that address the needs of the high risk population in that region. The collaborative projects will address a defined target population and will, over time, address all Chronic Care Model component areas, show evidence of system changes and improved health outcomes and ultimately become sustainable in the community, independent of coalition support.

Year One Data Measurement Plan

- The Year One Data measurement Plan is part of the work plan. The successful applicant will monitor and evaluate the impact and outcomes of the collaborative projects described in the Year One Work Plan. Each awarded coalition will be required to report on core measures (highlighted in yellow) defined in the New York State Asthma Coalition Data Measurement Table (**Attachment 7**). This table also includes optional measures (highlighted in green) that coalitions may consider when planning interventions. Optional measures will not be required. It is recommended that those applicants that choose optional measures, select measures from this list.
- The Year One Data Measurement Plan must be completed for each Year One Work Plan project. The Year One Data Measurement Plan includes: measure name; measure definition; measure numerator and denominator; data source and data collection plan.

Year One Budget

- Each project outlined in the Year One Work Plan should be reflected in the Year One Budget. The budget is expected to support work plan deliverables and reflect the overall mission of this RFA.

Budget Instructions and Form (**Attachment 8- Appendix B**) are provided.

C. Staffing Requirements

Coalition staffing is expected to include a minimum of one full-time coalition coordinator. Responsibilities of this position may include: recruitment and retention of coalition members; developing, implementing and evaluating the coalition's strategic asthma plan; leading, organizing, convening, and facilitating coalition steering and working committee meetings; developing and monitoring the coalition budget to support coalition activities, including seeking and applying for new funding opportunities; monitoring program quality, performance and effectiveness; collaborating/networking with other asthma coalitions and presenting regional coalition outcomes at statewide and national meetings; and fulfilling NYSDOH Asthma Program reporting requirements. A sample Asthma Coalition Coordinator job description is provided (**Attachment 9**).

The overall staffing of the coalition should be sufficient to manage the deliverables outlined in this RFA. Staff should have the appropriate educational and professional background and be at a level within their organizational to effectively carry out the stated responsibilities.

D. Reporting Requirements and Sharing of Best Practices

The following reports will be required of awarded applicants:

- Quarterly Reports
Each awarded applicant will be required to complete and submit a standard quarterly report, in a format to be provided by the NYSDOH Asthma Program.
- Annual Coalition Presentation
Awarded applicants will share best practice accomplishments in an annual presentation (organized by NYSDOH).

IV. Administrative Requirements

A. Issuing Agency

This RFA is issued by the NYS Department of Health, Division of Chronic Disease and Injury Prevention, Bureau of Community Chronic Disease Prevention, Asthma Program. The department is responsible for the requirements specified herein and for the evaluation of all applications.

This RFA and any updates and/or modifications are posted on the Department's website: www.health.ny.gov/funding/.

B. Question and Answer Phase:

All questions must be submitted in writing to:

Marianne Heigel, RN
Asthma Coalition Coordinator
Asthma Program
Bureau of Community Chronic Disease Prevention at:
RACRFA@health.state.ny.us

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the cover of this RFA.

Prospective applicants should note that all clarification and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of an application.

This RFA has been posted on the Department of Health's public website at: www.health.ny.gov/funding/. Questions and answers, as well as any updates and/or modifications, will also be posted on the Department of Health's website. All such updates will be posted by the date identified on the cover sheet of this RFA.

C. Applicant Conference

There will not be an applicant conference for this RFA.

D. How to File an Application

Applications must be **received** at the following address by the date and time posted on the cover sheet of this RFA. Late applications will not be accepted.*

Marianne Heigel RN, Asthma Coalition Coordinator
Asthma Program
Bureau of Community Chronic Disease Prevention
Riverview Center, Suite 350
150 Broadway
Menands, New York 12204

Applicants shall submit **1 original, signed application and 3 copies**. Do not bind or staple applications or attachments; rubber bands and paper clips may be used. Application packages should be clearly labeled with the name and number of the RFA as listed on the cover of this RFA document. **Applications will not be accepted via fax or e-mail.**

* It is the applicant's responsibility to see that applications are delivered to the address above prior to the date and time specified. Late applications due to a documentable delay by the carrier may be considered at the Department of Health's discretion.

E. THE DEPARTMENT OF HEALTH RESERVES THE RIGHT TO:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the Department's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of applications.
6. Use application information obtained through site visits, management interviews and the state's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.

8. Prior to application opening, direct applicants to submit proposal modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Waive any requirements that are not material.
11. Award more than one contract resulting from this RFA.
12. Conduct contract negotiations with the next responsible applicant, should the Department be unsuccessful in negotiating with the selected applicant.
13. Utilize any and all ideas submitted with the applications received.
14. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the bid opening.
15. Waive or modify minor irregularities in applications received after prior notification to the applicant.
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's application and/or to determine an offerer's compliance with the requirements of the RFA.
17. Negotiate with successful applicants within the scope of the RFA in the best interests of the State.
18. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.
19. Award grants based on geographic or regional considerations to serve the best interests of the state.

F. Term of Contract

Any contract resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller.

It is expected that contracts resulting from this RFA will have the following time period: April 1, 2012 through March 31, 2013 followed by four consecutive 12-month renewals.

G. Payment & Reporting Requirements of Grant Awardees

1. The Department may, at its discretion, make an advance payment to not for profit grant contractors in an amount not to exceed 25 percent.
2. The grant contractor will be required to submit quarterly vouchers and required reports of expenditures to the State's designated payment office:

Division of Chronic Disease and Injury Prevention
Fiscal Department
NYS Department of Health
ESP, Corning Tower, Room 515
Albany, New York 12237

Grant contractors shall provide complete and accurate billing vouchers to the Department's designated payment office in order to receive payment. Billing vouchers submitted to the Department must contain all information and supporting documentation required by the Contract, the Department and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-486-1255. CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such vouchers by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Contractor will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Work Plan.

3. The grant contractor will be required to submit the following periodic reports:
 - Quarterly Reports
 - Other reports as determined by the contract.

All payment and reporting requirements will be detailed in Appendix C of the final grant contract.

H. Vendor Responsibility Questionnaire

New York State Procurement Law requires that state agencies award contracts only to responsible vendors. Vendors are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at www.osc.state.ny.us/vendrep or go directly to the VendRep system online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us. Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the Department of Health or the Office of the State Comptroller for a copy of the paper form. Applicants should also complete and submit the Vendor Responsibility Attestation (**Attachment 10**).

I. General Specifications

1. By signing the "Application Form" each applicant attests to its express authority to sign on behalf of the applicant.
2. Contractors will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
3. Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the contract. Any exceptions allowed by the Department during the Question and Answer Phase (**Section IV.B.**) must be clearly noted in a cover letter attached to the application.
4. An applicant may be disqualified from receiving awards if such applicant or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
5. Provisions Upon Default
 - a. The services to be performed by the Applicant shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the contract resulting from this RFA.

- b. In the event that the Applicant, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Department acting for and on behalf of the State, shall thereupon have the right to terminate the contract by giving notice in writing of the fact and date of such termination to the Applicant.
- c. If, in the judgment of the Department, the Applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

J. Appendices

The following will be incorporated as appendices into any contract(s) resulting from this Request for Application.

- APPENDIX A - Standard Clauses for All New York State Contracts
- APPENDIX A-1 Agency Specific Clauses
- APPENDIX A-2 Program Specific Clauses *<if applicable>*
- APPENDIX B - Budget
- APPENDIX C - Payment and Reporting Schedule
- APPENDIX D - Workplan
- APPENDIX G - Notifications
- APPENDIX H - Federal Health Insurance Portability and Accountability Act (HIPAA) Business Associate Agreement *<if applicable>*
- APPENDIX E - Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for:

Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

- **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR
- **C-105.2** -- Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the **U-26.3**; OR
- **SI-12** -- Certificate of Workers' Compensation Self-Insurance, OR **GSI-105.2** -- Certificate of Participation in Workers' Compensation Group Self-Insurance

Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:

- **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR
- **DB-120.1** -- Certificate of Disability Benefits Insurance OR
- **DB-155** -- Certificate of Disability Benefits Self-Insurance

NOTE: Do not include the Workers' Compensation and Disability Benefits forms with your application.

These documents will be requested as a part of the contracting process should you receive an award.

V. Completing the Application

A. Application Content

1. **Cover Page** (Attachment 11) (not counted towards overall page limit) **Not Scored**

2. **Program Summary** (1 single-spaced page) **Not Scored**

Provide a one-page overview that summarizes the proposed coalition program.

3. **Statement of Need** (5 page maximum) **15 points**

- Using the map in Part I, Section C, identify the asthma coalition region for which the application is being submitted.
- Utilize local and state data to describe the burden of asthma in the identified coalition region, and specifically within the required high risk county or counties where the coalition efforts will be targeted (http://www.nyhealth.gov/statistics/ny_asthma/). Discuss key demographic characteristics of the population and key characteristics of the geographic area. Include asthma-related hospitalization rates, emergency department visits and other indicators such as mortality rates and urgent care visit rates. Applicants are encouraged to utilize the Targeted Service Area Worksheet (**Attachment 12**) as a guide for this section. The completed Targeted Service Area Worksheet should be included in the application as an attachment and will not be counted towards page limits.
- Describe the specific target population of people with asthma and their families to be served by the coalition. Describe this target population in terms of population density in the area of residence, gender, race/ethnicity, age, geography and /or poverty. Discuss the asthma control, treatment and management issues that affect this specific target population.
- Describe how the coalition will respond to the needs of this population and how this population-based strategy will reach low-income, underserved communities and/or those with a high percentage of racial/ethnic minorities; and considers and/or addresses the needs of individuals with disabilities when planning, implementing and promoting the proposed strategies.
- Identify the current resources, services and efforts available to the target population for the management and treatment of asthma; and explain the gaps and barriers in these resources, services and efforts for the specific target population.
- Describe how the proposed strategies, projects, and partners are appropriate for the identified geographic region and specific target population.

4. Coalition Program Plan

(8 pages maximum)

20 points

- Utilize the New York State Asthma Coalition Logic Model (**Attachment 2**), the *Chronic Care Model* Checklist for Asthma Coalitions (**Attachment 3**), and the New York State Asthma Coalition Data Measurement Table (**Attachment 7**) as resources to assist in the development and description of the proposed coalition program plan.
- The description of the program plan should include:
 - **Overall program aim:** Describe in detail what the coalition will aim to accomplish in Year One. The applicant's program aim should be a clear and concise statement of what outcome (s) is intended to be achieved for the specific defined target population. It also should include a description of what interventions will be employed, the settings or venues for the interventions, who will do the interventions, and a specific timeframe for implementation.
 - **Resources and Activities:** Discuss how the coalition will be structured and managed, the type of partners that will be convened and how the coalition will ensure that appropriate coordination exists between and among different programs, disciplines, organizations and any agency that may be named as a subcontractor. Describe the information, personnel and funding resources that will be leveraged and the performance monitoring system that will be used to monitor progress toward achieving the aim of the program. Explain how the coalition will include representatives of the target population in the planning and design of the interventions to achieve the aim of the program.
 - **Interventions and methods:** Describe in detail what policy or system change interventions (based on evidence) will be employed to achieve the coalition program aim. Explain what methods the coalitions will use to translate the 4 key components of the NAEPP, EPR-3, emphasizing the six priority messages of the GIP Report, into practice in the targeted settings and venues. Describe how the health literacy needs of the target population will be addressed through the proposed intervention. Describe the potential reach the interventions will have and how policy and system change efforts will be sustained over time.
 - **Outcomes:** Describe the expected changes the coalition interventions are intended to make. Outcomes can be short term, intermediate and long term. Identify the measures that will be used to assess progress towards these outcomes.
 - **Description of the process for developing a five-year strategic plan:** The completion and submission of a five-year strategic plan is required by the end of Year One. In this section, include a description of the process the coalition will follow in developing the coalition's five-year strategic plan over the course of Year One. The strategic plan, when completed by the end of Year One, will include a narrative overview, timeline and a logic model that describes the planned activities and their

relationship to the intended results of the overall mission of the coalition and its impact on the target population. The Strategic Plan will describe how the coalition will work across all six domains of the Chronic Care Model component areas in a progressive manner over the five-year contract period. Each year, implementation activities should build on the success of the previous year's results and policy and system improvements.

5. Year One Work Plan (not included in page count) 15 points

- **Complete the Work Plan Template (Attachment 6).** The work plan is a detailed plan for implementation of **a minimum of two policy and/or system change projects** within the coalition's overall program plan, that address the needs of the high risk population in that region. The collaborative projects will address a defined target population and will, over time, address all Chronic Care Model component areas, show evidence of system changes and improved health outcomes and ultimately become sustainable in the community, independent of coalition support. The work plan should outline the implementation of the program plan described above. Submit the completed work plan template as an attachment to the application. The work plan will be scored but will not count towards overall page limits.

Instructions for completing the Work Plan Template (**Attachment 6 - Appendix D**):

- **Contractor Name:** Fill in the name of your organization/coalition.
- **Contract #:** Leave this field blank; to be assigned upon award.
- **Contract Period:** The first year of the project is 10/1/2011 – 9/31/2012.
- **Project Name:** Provide a title for each, individual project to be implemented by the coalition in Year One.
- **Person Completing Work plan:** Provide name
- **Project SMAART Aim:** Fill in the aim statement, or objective of the project. The project aim should relate to the aim of the coalition. This should be a written statement of the accomplishments expected of the project. The aim should be **Specific, Measurable, Actionable, Achievable, Relevant, and Timely (SMAART)**. Specific aims are clear, understandable and unambiguous. Measurable aims are assigned numeric goals; progress towards achieving the aim can be assessed utilizing quantifiable measures. Actionable aims identify who will be impacted, what the action will be, and where the project will take place. Achievable aims are realistic. Relevant aims are important and compelling to the coalition's organization and stakeholders. Timely aims are assigned a time-frame in which to be completed.
- **Process and Outcome Measures of Progress towards achieving Aim:** List specific process and outcome measures that will be utilized to assess progress towards accomplishing the stated aim. Refer to the New York State Asthma Coalition Logic

Model (**Attachment 2**) and the NYS Asthma Coalition Data Measurement Table (**Attachment 7**) for relevant measures of progress towards achieving the goals of this RFA.

- **Project -Specific Target Population:** Detail the number of people with asthma included in the specific target population. Describe the setting or venue for the project. Describe the target population including, gender, race/ethnicity, age, income level as applicable.
- **Data sources used to identify the target population for the project:** List the resources that were utilized to identify, define and provide rationale for the specific target population described above.
- **Project-Specific Sustainability Plan:** Provide a brief (125 words or less) explanation of how the anticipated impact of this project will be sustained over time, outside of continued coalition support.
- **Activities:** List the individual activities to be implemented for this project for each of the *Chronic Care Model* elements. Utilize the *Chronic Care Model* Checklist for Asthma Coalitions (**Attachment 3**) as a guide.
- **Person (s), Organization(s) and Responsibilities:** Identify the persons and organizations, categorized by grant-funded staff or other partners, who will participate in and be responsible for implementing the activities of project.
- **Measures of Progress:** For each process and outcome measure listed above, provide the definition for each measure and the numerator and denominator. Refer to the NYS Asthma Coalition Data Measurement Table (**Attachment 7**) for core and optional measures and definitions.
- **Data Source and Data Collection Plan:** For each measure listed above, identify data sources, how data will be collected, monitored and reported.

6. Agency Capacity and Experience (3 pages maximum) 10 points

- Provide a description of the applicant organization. Briefly describe the organization’s experience providing the range of services being applied for in this application. If subcontracts are proposed, describe them. Describe how the organization will ensure programmatic accountability. In an appendix, include an organizational chart that shows the location of the proposed staff within the applicant organization.
- Describe the organization’s experience in providing the types of activities described in this RFA. Describe relevant experience and capacity of the organization to establish themselves as regional leader in building coalitions, employing quality improvement methods and implementing population–based, system change interventions to address a public health problem.

- Demonstrate the organizational capacity of the applicant to meet the deliverables of this RFA. This description should include: at least, a five year history of leading and managing a regional coalition of diverse stakeholders; employing quality improvement methods to improve health outcomes; designing, implementing and spreading evidence based interventions; monitoring, evaluating outcomes in asthma control and management; and describing the impact of coalition efforts on the target population in a specific geographic region.

7. Staffing Structure and Partnerships (3 pages maximum) 10 points

- Describe the proposed organizational structure of the coalition that will be utilized to meet the deliverables of the grant. In an appendix, attach the proposed coalition organizational chart. The organizational chart is not counted in the page limit.
- List key partners and their roles with the coalition. For each partner, include a letter of commitment that identifies the specific roles, strengths, and contributions of the partner. Include letters of commitment in an appendix. Letters of commitment are not counted in the page limit.
- Describe the proposed staffing pattern and rationale. If known, describe the capacity of the individual who will be hired to fill the position of full-time coalition coordinator. Otherwise, explain the recruitment and hiring process to fill this position. Explain where the position will be located in the organization’s hierarchy and the professional level and authority that will accompany the position.
- Include job descriptions for all positions to be funded under this grant. Provide clear criteria for hiring staff including professional qualifications and salary for staff not yet identified. In an appendix, attach the job descriptions. Job descriptions are not counted in the overall page limit.
- Describe the applicant’s current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications for key fiscal staff, including a description of the staff’s experience (if any) with monitoring government grant funds.

8. Program Monitoring and Evaluation (3 pages) 10 points

- Describe the coalition’s capacity to conduct program monitoring and evaluation. Address how the implemented policy and system change interventions will be measured and monitored and the resulting impact on the target population will be assessed. Describe the role and involvement of stakeholders in the evaluation processes.
- Provide a narrative summary of the data measurement plan outlined for each project in the Year One Work Plan. Describe your plan for collecting, analyzing and reporting outcome-specific data (i.e. the core and optional measures identified in parts 4 and 5 of

this section and selected from the NYS Asthma Coalition Data Measurement Table, **Attachment 7**).

9. Budget and Justification (not included in page count) 20 points

- Complete a budget for the coalition using the attached instructions and format (**Attachment 8 - Appendix B**). Applicants are expected to submit a 12-month budget, assuming a start date of April 1, 2012. All costs should be related to the provision of services described in this RFA, be consistent with the scope of services, be aligned with the reach of the proposed project and be reasonable and cost effective.
- Justification for each cost should be submitted in the narrative form.
- NYS-funded indirect costs may not exceed 10 percent of the direct costs and should be fully itemized and justified (i.e., space, utilities, etc.).
- For all existing staff, the Budget Justification must delineate how the percentage of time devoted to this initiative has been determined. This funding may only be used to expand existing activities or create new activities pursuant to this RFA. These funds may not be used to supplant funds for currently existing staff activities.
- Ineligible budget items will be removed from the budget before the budget is scored. The budget amount requested will be reduced to reflect the removal of the ineligible items.
 - Expenditures will not be allowed for the purchase of major pieces of depreciable equipment (although limited computer/printing equipment may be considered).
 - Expenditures will not be allowed for capital construction or renovation.
- Applicants should review established NYS travel and lodging rates when calculating travel costs. Reimbursement for travel and lodging will not exceed the stated standard agency rate and in no case will exceed the approved NYS rates (**see www.ocs.state.ny/agencies/travel/remibrate.htm**)

B. Application Format

ALL APPLICATIONS SHOULD CONFORM TO THE FORMAT PRESCRIBED BELOW. POINTS WILL BE DEDUCTED FROM APPLICATIONS WHICH DEVIATE FROM THE PRESCRIBED FORMAT.

Applications should not exceed **23 single-spaced typed pages** (not including the cover page, budget and attachments), using Times New Roman, 12-point font. One point will be deducted if the application is over the page limit in any section. One point will be deducted if 12-point font is not used. The value assigned to each section is an indication of the relative weight that will be given when scoring your application.

Section	Page Limit	Weight
1. Cover Page	Not counted	Not Scored
2. Program Summary	1 single-spaced page	Not Scored
3. Statement of Need	5 pages or less	Maximum Score: 15 points
4. Program Plan	8 pages or less	Maximum Score: 20 points
5. Work Plan	Not counted	Maximum Score: 15 points
6. Agency Capacity	3 pages of less	Maximum Score: 10 points
7. Staffing Structure	3 pages or less	Maximum Score: 10 points
8. Evaluation	3 pages or less	Maximum Score: 10 points
9. Budget and Justification	Not counted	Maximum Score: 20 points
Total Possible Score: 100 points (Minimum Passing Score = 70 points)		

C. Review & Award Process

Applications meeting the guidelines set forth above will be reviewed and evaluated competitively by the NYSDOH Division of Chronic Disease and Injury Prevention.

In the event of a tie score, the applicant with the highest score on the Program Plan will receive the award.

Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

Total anticipated funding available for this initiative is \$1,440,000 per year for five years. The top scoring application in each region will be considered for an award. Only passing applications (minimum score of 70 points) will be considered for an award. Contracts will be awarded to the highest scoring applicant in each region based on the following distribution: one award in each of the eight regions defined on the coalition map in **Section I. C., page 9** of this RFA. The regions include Bronx, Queens, Kings, Manhattan, Long Island, Hudson Valley, Capital, and Erie Coalition Regions. In the event that there is no passing application submitted for a region(s), the Department will issue a follow-up Request for Application for that region or regions.

It is anticipated that this RFA will award up to eight regional asthma coalitions an annual award of up to \$180,000 each. The final number of awards and final award amounts will be contingent upon the total amount of funds available.

The anticipated contract start date is April 1, 2012. The anticipated total project period is April 1, 2012 through March 31, 2017, with an expected initial 12-month contract period of April 1, 2012 through March 31, 2013 followed by four 12-month contract renewals.

If changes in funding amounts are necessary for this initiative, funding will be modified and awarded in the same manner as outlined in the award process described above.

Following the award of grants from this RFA, applicants may request a debriefing from the NYS DOH/Division of Chronic Disease and Injury Prevention/Bureau of Community Chronic Disease Prevention/Asthma Program no later than three months from the date of the award(s) announcement. This debriefing will be limited to the positive and negative aspects of the subject application. In the event that unsuccessful applicants wish to protest awards, please follow the procedures established by the New York State Comptroller found at: www.osc.state.ny.us. In the event unsuccessful bidders wish to protest the award resulting from this RFP, bidders should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found on the OSC website at: http://www.osc.state.ny.us/agencies/gbull/g_232.htm.

VI. Attachments

- Attachment 1 – Standard Grant Contract with Appendices
- Attachment 2 – New York State Regional Asthma Coalition Logic Model
- Attachment 3 – Chronic Care Model Checklist for Asthma Coalitions
- Attachment 4 – No Tobacco Status Form
- Attachment 5 – Comprehensive Healthy Foods Policy Status and Intent Form
- Attachment 6 – (Appendix D) Work Plan Template
- Attachment 7 – New York State Asthma Coalition Data Measurement Table
- Attachment 8A – Budget Instructions
- Attachment 8B – (Appendix B) Budget Narrative - Justification Form
- Attachment 8C – (Appendix B) Budget Worksheet
- Attachment 9 – Regional Asthma Coalition Coordinator Sample Job Description
- Attachment 10 – Vendor Responsibility Attestation
- Attachment 11 – Cover Page Template
- Attachment 12 – Targeted Service Area Worksheet
- Attachment 13 – Sample Letter of Interest

GRANT CONTRACT (STANDARD)

STATE AGENCY (Name and Address):	.	NYS COMPTROLLER'S NUMBER: _____
	.	
	.	ORIGINATING AGENCY CODE:
_____	.	_____
CONTRACTOR (Name and Address):	.	TYPE OF PROGRAM(S)
	.	
	.	
_____	.	_____
FEDERAL TAX IDENTIFICATION NUMBER:	.	INITIAL CONTRACT PERIOD
	.	
	.	FROM:
MUNICIPALITY NO. (if applicable):	.	
	.	TO:
	.	
CHARITIES REGISTRATION NUMBER:	.	FUNDING AMOUNT FOR INITIAL PERIOD:
____ - ____ - ____ or () EXEMPT:	.	
(If EXEMPT, indicate basis for exemption):	.	_____
	.	MULTI-YEAR TERM (if applicable):
	.	FROM:
_____	.	TO:
CONTRACTOR HAS() HAS NOT() TIMELY FILED WITH THE ATTORNEY GENERAL'S CHARITIES BUREAU ALL REQUIRED PERIODIC OR ANNUAL WRITTEN REPORTS.		

CONTRACTOR IS() IS NOT() A SECTARIAN ENTITY		
CONTRACTOR IS() IS NOT() A NOT-FOR-PROFIT ORGANIZATION		

APPENDICES ATTACHED AND PART OF THIS AGREEMENT

_____	APPENDIX A	Standard clauses as required by the Attorney General for all State contracts.
_____	APPENDIX A-1	Agency-Specific Clauses (Rev 10/08)
_____	APPENDIX B	Budget
_____	APPENDIX C	Payment and Reporting Schedule
_____	APPENDIX D	Program Workplan
_____	APPENDIX G	Notices
_____	APPENDIX X	Modification Agreement Form (to accompany modified appendices for changes in term or consideration on an existing period or for renewal periods)

OTHER APPENDICES

_____	APPENDIX A-2	Program-Specific Clauses
_____	APPENDIX E-1	Proof of Workers' Compensation Coverage
_____	APPENDIX E-2	Proof of Disability Insurance Coverage
_____	APPENDIX H	Federal Health Insurance Portability and Accountability Act Business Associate Agreement
_____	APPENDIX _____	_____
_____	APPENDIX _____	_____

STATE OF NEW YORK

AGREEMENT

This AGREEMENT is hereby made by and between the State of New York agency (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESSETH:

WHEREAS, the STATE has the authority to regulate and provide funding for the establishment and operation of program services and desires to contract with skilled parties possessing the necessary resources to provide such services; and

WHEREAS, the CONTRACTOR is ready, willing and able to provide such program services and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services required pursuant to the terms of this AGREEMENT;

NOW THEREFORE, in consideration of the promises, responsibilities and covenants herein, the STATE and the CONTRACTOR agree as follows:

- I. Conditions of Agreement
 - A. This AGREEMENT may consist of successive periods (PERIOD), as specified within the AGREEMENT or within a subsequent Modification Agreement(s) (Appendix X). Each additional or superseding PERIOD shall be on the forms specified by the particular State agency, and shall be incorporated into this AGREEMENT.
 - B. Funding for the first PERIOD shall not exceed the funding amount specified on the face page hereof. Funding for each subsequent PERIOD, if any, shall not exceed the amount specified in the appropriate appendix for that PERIOD.
 - C. This AGREEMENT incorporates the face pages attached and all of the marked appendices identified on the face page hereof.
 - D. For each succeeding PERIOD of this AGREEMENT, the parties shall prepare new appendices, to the extent that any require modification, and a Modification Agreement (The attached Appendix X is the blank form to be used). Any terms of this AGREEMENT not modified shall remain in effect for each PERIOD of the AGREEMENT.

To modify the AGREEMENT within an existing PERIOD, the parties shall revise or complete the appropriate appendix form(s). Any change in the amount of consideration to be paid, change in scope or change in the term, is subject to the approval of the Office of the State Comptroller. Any other modifications shall be processed in accordance with agency guidelines as stated in Appendix A1.
 - E. The CONTRACTOR shall perform all services to the satisfaction of the STATE. The CONTRACTOR shall provide services and meet the program objectives summarized in the Program Workplan (Appendix D) in accordance with: provisions of the AGREEMENT; relevant laws, rules and regulations, administrative and fiscal

guidelines; and where applicable, operating certificates for facilities or licenses for an activity or program.

- F. If the CONTRACTOR enters into subcontracts for the performance of work pursuant to this AGREEMENT, the CONTRACTOR shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the STATE under this AGREEMENT. No contractual relationship shall be deemed to exist between the subcontractor and the STATE.
- G. Appendix A (Standard Clauses as required by the Attorney General for all State contracts) takes precedence over all other parts of the AGREEMENT.

II. Payment and Reporting

- A. The CONTRACTOR, to be eligible for payment, shall submit to the STATE's designated payment office (identified in Appendix C) any appropriate documentation as required by the Payment and Reporting Schedule (Appendix C) and by agency fiscal guidelines, in a manner acceptable to the STATE.
- B. The STATE shall make payments and any reconciliations in accordance with the Payment and Reporting Schedule (Appendix C). The STATE shall pay the CONTRACTOR, in consideration of contract services for a given PERIOD, a sum not to exceed the amount noted on the face page hereof or in the respective Appendix designating the payment amount for that given PERIOD. This sum shall not duplicate reimbursement from other sources for CONTRACTOR costs and services provided pursuant to this AGREEMENT.
- C. The CONTRACTOR shall meet the audit requirements specified by the STATE.
- D. The CONTRACTOR shall provide complete and accurate billing vouchers to the Agency's designated payment office in order to receive payment. Billing vouchers submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-474-6019. CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9, must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at <http://www.osc.state.ny.us/epay>.

Completed W-9 forms should be submitted to the following address:

NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor
Albany, NY 12236

III. Terminations

- A. This AGREEMENT may be terminated at any time upon mutual written consent of the STATE and the CONTRACTOR.
- B. The STATE may terminate the AGREEMENT immediately, upon written notice of termination to the CONTRACTOR, if the CONTRACTOR fails to comply with the terms and conditions of this AGREEMENT and/or with any laws, rules and regulations, policies or procedures affecting this AGREEMENT.
- C. The STATE may also terminate this AGREEMENT for any reason in accordance with provisions set forth in Appendix A-1.
- D. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with the terms of the notice.
- E. Upon receipt of notice of termination, the CONTRACTOR agrees to cancel, prior to the effective date of any prospective termination, as many outstanding obligations as possible, and agrees not to incur any new obligations after receipt of the notice without approval by the STATE.
- F. The STATE shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to terms of the AGREEMENT. In no event shall the STATE be liable for expenses and obligations arising from the program(s) in this AGREEMENT after the termination date.

IV. Indemnification

- A. The CONTRACTOR shall be solely responsible and answerable in damages for any and all accidents and/or injuries to persons (including death) or property arising out of or related to the services to be rendered by the CONTRACTOR or its subcontractors pursuant to this AGREEMENT. The CONTRACTOR shall indemnify and hold harmless the STATE and its officers and employees from claims, suits, actions, damages and costs of every nature arising out of the provision of services pursuant to this AGREEMENT.
- B. The CONTRACTOR is an independent contractor and may neither hold itself out nor claim to be an officer, employee or subdivision of the STATE nor make any claims, demand or application to or for any right based upon any different status.

V. Property

Any equipment, furniture, supplies or other property purchased pursuant to this AGREEMENT is deemed to be the property of the STATE except as may otherwise be governed by Federal or State laws, rules and regulations, or as stated in Appendix A-2.

VI. Safeguards for Services and Confidentiality

- A. Services performed pursuant to this AGREEMENT are secular in nature and shall be performed in a manner that does not discriminate on the basis of religious belief, or promote or discourage adherence to religion in general or particular religious beliefs.
- B. Funds provided pursuant to this AGREEMENT shall not be used for any partisan political activity, or for activities that may influence legislation or the election or defeat of any candidate for public office.
- C. Information relating to individuals who may receive services pursuant to this AGREEMENT shall be maintained and used only for the purposes intended under the contract and in conformity with applicable provisions of laws and regulations, or specified in Appendix A-1.

AGENCY SPECIFIC CLAUSES FOR ALL
DEPARTMENT OF HEALTH CONTRACTS

1. If the CONTRACTOR is a charitable organization required to be registered with the New York State Attorney General pursuant to Article 7-A of the New York State Executive Law, the CONTRACTOR shall furnish to the STATE such proof of registration (a copy of Receipt form) at the time of the execution of this AGREEMENT. The annual report form 497 is not required. If the CONTRACTOR is a business corporation or not-for-profit corporation, the CONTRACTOR shall also furnish a copy of its Certificate of Incorporation, as filed with the New York Department of State, to the Department of Health at the time of the execution of this AGREEMENT.
2. The CONTRACTOR certifies that all revenue earned during the budget period as a result of services and related activities performed pursuant to this contract shall be used either to expand those program services funded by this AGREEMENT or to offset expenditures submitted to the STATE for reimbursement.
3. Administrative Rules and Audits:
 - a. If this contract is funded in whole or in part from federal funds, the CONTRACTOR shall comply with the following federal grant requirements regarding administration and allowable costs.
 - i. For a local or Indian tribal government, use the principles in the common rule, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments".
 - ii. For a nonprofit organization other than
 - ◆ an institution of higher education,
 - ◆ a hospital, or
 - ◆ an organization named in OMB Circular A-122, "Cost Principles for Non-profit Organizations", as not subject to that circular,use the principles in OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-profit Organizations," and OMB Circular A-122.
 - iii. For an Educational Institution, use the principles in OMB Circular A-110 and OMB Circular A-21, "Cost Principles for Educational Institutions".
 - iv. For a hospital, use the principles in OMB Circular A-110, Department of Health and Human Services, 45 CFR 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals" and, if not covered for audit purposes by OMB Circular A-133, "Audits of States Local Governments and Non-profit Organizations", then subject to program specific audit requirements following Government Auditing Standards for financial audits.
 - b. If this contract is funded entirely from STATE funds, and if there are no specific administration and allowable costs requirements applicable, CONTRACTOR shall adhere to the applicable principles in "a" above.

- c. The CONTRACTOR shall comply with the following grant requirements regarding audits.
 - i. If the contract is funded from federal funds, and the CONTRACTOR spends more than \$500,000 in federal funds in their fiscal year, an audit report must be submitted in accordance with OMB Circular A-133.
 - ii. If this contract is funded from other than federal funds or if the contract is funded from a combination of STATE and federal funds but federal funds are less than \$500,000, and if the CONTRACTOR receives \$300,000 or more in total annual payments from the STATE, the CONTRACTOR shall submit to the STATE after the end of the CONTRACTOR's fiscal year an audit report. The audit report shall be submitted to the STATE within thirty days after its completion but no later than nine months after the end of the audit period. The audit report shall summarize the business and financial transactions of the CONTRACTOR. The report shall be prepared and certified by an independent accounting firm or other accounting entity, which is demonstrably independent of the administration of the program being audited. Audits performed of the CONTRACTOR's records shall be conducted in accordance with Government Auditing Standards issued by the Comptroller General of the United States covering financial audits. This audit requirement may be met through entity-wide audits, coincident with the CONTRACTOR's fiscal year, as described in OMB Circular A-133. Reports, disclosures, comments and opinions required under these publications should be so noted in the audit report.
 - d. For audit reports due on or after April 1, 2003, that are not received by the dates due, the following steps shall be taken:
 - i. If the audit report is one or more days late, voucher payments shall be held until a compliant audit report is received.
 - ii. If the audit report is 91 or more days late, the STATE shall recover payments for all STATE funded contracts for periods for which compliant audit reports are not received.
 - iii. If the audit report is 180 days or more late, the STATE shall terminate all active contracts, prohibit renewal of those contracts and prohibit the execution of future contracts until all outstanding compliant audit reports have been submitted.
4. The CONTRACTOR shall accept responsibility for compensating the STATE for any exceptions which are revealed on an audit and sustained after completion of the normal audit procedure.
5. FEDERAL CERTIFICATIONS: This section shall be applicable to this AGREEMENT only if any of the funds made available to the CONTRACTOR under this AGREEMENT are federal funds.
- a. LOBBYING CERTIFICATION
 - 1) If the CONTRACTOR is a tax-exempt organization under Section 501 (c)(4) of the Internal Revenue Code, the CONTRACTOR certifies that it will not engage in lobbying activities of any kind regardless of how funded.

- 2) The CONTRACTOR acknowledges that as a recipient of federal appropriated funds, it is subject to the limitations on the use of such funds to influence certain Federal contracting and financial transactions, as specified in Public Law 101-121, section 319, and codified in section 1352 of Title 31 of the United States Code. In accordance with P.L. 101-121, section 319, 31 U.S.C. 1352 and implementing regulations, the CONTRACTOR affirmatively acknowledges and represents that it is prohibited and shall refrain from using Federal funds received under this AGREEMENT for the purposes of lobbying; provided, however, that such prohibition does not apply in the case of a payment of reasonable compensation made to an officer or employee of the CONTRACTOR to the extent that the payment is for agency and legislative liaison activities not directly related to the awarding of any Federal contract, the making of any Federal grant or loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement. Nor does such prohibition prohibit any reasonable payment to a person in connection with, or any payment of reasonable compensation to an officer or employee of the CONTRACTOR if the payment is for professional or technical services rendered directly in the preparation, submission or negotiation of any bid, proposal, or application for a Federal contract, grant, loan, or cooperative agreement, or an extension, continuation, renewal, amendment, or modification thereof, or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract, grant, loan or cooperative agreement.
- 3) This section shall be applicable to this AGREEMENT only if federal funds allotted exceed \$100,000.
- a) The CONTRACTOR certifies, to the best of his or her knowledge and belief, that:
- ◆ No federal appropriated funds have been paid or will be paid, by or on behalf of the CONTRACTOR, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal amendment or modification of any federal contract, grant, loan, or cooperative agreement.
 - ◆ If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the CONTRACTOR shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
- b) The CONTRACTOR shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including

subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- c) The CONTRACTOR shall disclose specified information on any agreement with lobbyists whom the CONTRACTOR will pay with other Federal appropriated funds by completion and submission to the STATE of the Federal Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions. This form may be obtained by contacting either the Office of Management and Budget Fax Information Line at (202) 395-9068 or the Bureau of Accounts Management at (518) 474-1208. Completed forms should be submitted to the New York State Department of Health, Bureau of Accounts Management, Empire State Plaza, Corning Tower Building, Room 1315, Albany, 12237-0016.
 - d) The CONTRACTOR shall file quarterly updates on the use of lobbyists if material changes occur, using the same standard disclosure form identified in (c) above to report such updated information.
- 4) The reporting requirements enumerated in subsection (3) of this paragraph shall not apply to the CONTRACTOR with respect to:
- a) Payments of reasonable compensation made to its regularly employed officers or employees;
 - b) A request for or receipt of a contract (other than a contract referred to in clause (c) below), grant, cooperative agreement, subcontract (other than a subcontract referred to in clause (c) below), or subgrant that does not exceed \$100,000; and
 - c) A request for or receipt of a loan, or a commitment providing for the United States to insure or guarantee a loan, that does not exceed \$150,000, including a contract or subcontract to carry out any purpose for which such a loan is made.

b. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE:

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through State or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol

treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a monetary penalty of up to \$1000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing this AGREEMENT, the CONTRACTOR certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. The CONTRACTOR agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

c. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

Regulations of the Department of Health and Human Services, located at Part 76 of Title 45 of the Code of Federal Regulations (CFR), implement Executive Orders 12549 and 12689 concerning debarment and suspension of participants in federal programs and activities. Executive Order 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government-wide system for non-procurement debarment and suspension. Executive Order 12689 extends the debarment and suspension policy to procurement activities of the federal government. A person who is debarred or suspended by a federal agency is excluded from federal financial and non-financial assistance and benefits under federal programs and activities, both directly (primary covered transaction) and indirectly (lower tier covered transactions). Debarment or suspension by one federal agency has government-wide effect.

Pursuant to the above-cited regulations, the New York State Department of Health (as a participant in a primary covered transaction) may not knowingly do business with a person who is debarred, suspended, proposed for debarment, or subject to other government-wide exclusion (including any exclusion from Medicare and State health care program participation on or after August 25, 1995), and the Department of Health must require its prospective contractors, as prospective lower tier participants, to provide the certification in Appendix B to Part 76 of Title 45 CFR, as set forth below:

1) APPENDIX B TO 45 CFR PART 76-CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

- a) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- b) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered and erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the

prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

- d) The terms *covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded*, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
 - e) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
 - f) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions.
 - g) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded From Federal Procurement and Non-procurement Programs.
 - h) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
 - i) Except for transactions authorized under paragraph "e" of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- 2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- a) The prospective lower tier participant certifies, by submission of this

proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department agency.

- b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
6. The STATE, its employees, representatives and designees, shall have the right at any time during normal business hours to inspect the sites where services are performed and observe the services being performed by the CONTRACTOR. The CONTRACTOR shall render all assistance and cooperation to the STATE in making such inspections. The surveyors shall have the responsibility for determining contract compliance as well as the quality of service being rendered.
 7. The CONTRACTOR will not discriminate in the terms, conditions and privileges of employment, against any employee, or against any applicant for employment because of race, creed, color, sex, national origin, age, disability, sexual orientation or marital status. The CONTRACTOR has an affirmative duty to take prompt, effective, investigative and remedial action where it has actual or constructive notice of discrimination in the terms, conditions or privileges of employment against (including harassment of) any of its employees by any of its other employees, including managerial personnel, based on any of the factors listed above.
 8. The CONTRACTOR shall not discriminate on the basis of race, creed, color, sex, national origin, age, disability, sexual orientation or marital status against any person seeking services for which the CONTRACTOR may receive reimbursement or payment under this AGREEMENT.
 9. The CONTRACTOR shall comply with all applicable federal, State and local civil rights and human rights laws with reference to equal employment opportunities and the provision of services.
 10. The STATE may cancel this AGREEMENT at any time by giving the CONTRACTOR not less than thirty (30) days written notice that on or after a date therein specified, this AGREEMENT shall be deemed terminated and cancelled.
 11. Where the STATE does not provide notice to the NOT-FOR-PROFIT CONTRACTOR of its intent to not renew this contract by the date by which such notice is required by Section 179-t(1) of the State Finance Law, then this contract shall be deemed continued until the date that the agency provides the notice required by Section 179-t, and the expenses incurred during such extension shall be reimbursable under the terms of this contract.
 12. Other Modifications
 - a. Modifications of this AGREEMENT as specified below may be made within an existing PERIOD by mutual written agreement of both parties:
 - ◆ Appendix B - Budget line interchanges; Any proposed modification to the contract which results in a change of greater than 10 percent to any budget category, must be submitted to OSC for approval;
 - ◆ Appendix C - Section II, Progress and Final Reports;
 - ◆ Appendix D - Program Workplan will require OSC approval.
 - b. To make any other modification of this AGREEMENT within an existing PERIOD, the parties shall revise or complete the appropriate appendix form(s), and a

Modification Agreement (Appendix X is the blank form to be used), which shall be effective only upon approval by the Office of the State Comptroller.

13. Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for

Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

- **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR
- **C-105.2** -- Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the **U-26.3**; OR
- **SI-12** -- Certificate of Workers' Compensation Self-Insurance, OR **GSI-105.2** -- Certificate of Participation in Workers' Compensation Group Self-Insurance

Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:

- **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR
- **DB-120.1** -- Certificate of Disability Benefits Insurance OR
- **DB-155** -- Certificate of Disability Benefits Self-Insurance

14. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). Contractor shall be liable for the costs associated with such breach if caused by Contractor's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Contractor's agents, officers, employees or subcontractors.
15. All products supplied pursuant to this agreement shall meet local, state and federal regulations, guidelines and action levels for lead as they exist at the time of the State's acceptance of this contract.
16. Additional clauses as may be required under this AGREEMENT are annexed hereto as appendices and are made a part hereof if so indicated on the face page of this AGREEMENT.

APPENDIX C

PAYMENT AND REPORTING SCHEDULE

I. Payment and Reporting Terms and Conditions

A. The STATE may, at its discretion, make an advance payment to the CONTRACTOR, during the initial or any subsequent PERIOD, in an amount to be determined by the STATE but not to exceed _____ percent of the maximum amount indicated in the budget as set forth in the most recently approved Appendix B. If this payment is to be made, it will be due thirty calendar days, excluding legal holidays, after the later of either:

- ❶ the first day of the contract term specified in the Initial Contract Period identified on the face page of the AGREEMENT or if renewed, in the PERIOD identified in the Appendix X, OR
- ❶ if this contract is wholly or partially supported by Federal funds, availability of the federal funds;

provided, however, that a STATE has not determined otherwise in a written notification to the CONTRACTOR suspending a Written Directive associated with this AGREEMENT, and that a proper voucher for such advance has been received in the STATE's designated payment office. If no advance payment is to be made, the initial payment under this AGREEMENT shall be due thirty calendar days, excluding legal holidays, after the later of either:

- ❶ the end of the first <monthly or quarterly> period of this AGREEMENT; or
- ❶ if this contract is wholly or partially supported by federal funds, availability of the federal funds:

provided, however, that the proper voucher for this payment has been received in the STATE's designated payment office.

B. No payment under this AGREEMENT, other than advances as authorized herein, will be made by the STATE to the CONTRACTOR unless proof of performance of required services or accomplishments is provided. If the CONTRACTOR fails to perform the services required under this AGREEMENT the STATE shall, in addition to any remedies available by law or equity, recoup payments made but not earned, by set-off against any other public funds owed to CONTRACTOR.

C. Any optional advance payment(s) shall be applied by the STATE to future payments due to the CONTRACTOR for services provided during initial or subsequent PERIODS. Should funds for subsequent PERIODS not be appropriated or budgeted by the STATE for the purpose herein specified, the STATE shall, in accordance with Section 41 of the State Finance Law, have no liability under this AGREEMENT to the CONTRACTOR, and this AGREEMENT shall be considered terminated and cancelled.

- D. The CONTRACTOR will be entitled to receive payments for work, projects, and services rendered as detailed and described in the program workplan, Appendix D. All payments shall be in conformance with the rules and regulations of the Office of the State Comptroller. The CONTRACTOR shall provide complete and accurate billing vouchers to the Agency's designated payment office in order to receive payment. Billing vouchers submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-474-6019. The CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9, must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at <http://www.osc.state.ny.us/epay>.

Completed W-9 forms should be submitted to the following address:

NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor
Albany, NY 12236

- E. The CONTRACTOR will provide the STATE with the reports of progress or other specific work products pursuant to this AGREEMENT as described in this Appendix below. In addition, a final report must be submitted by the CONTRACTOR no later than ____ days after the end of this AGREEMENT. All required reports or other work products developed under this AGREEMENT must be completed as provided by the agreed upon work schedule in a manner satisfactory and acceptable to the STATE in order for the CONTRACTOR to be eligible for payment.
- F. The CONTRACTOR shall submit to the STATE <monthly or quarterly> voucher claims and reports of expenditures on such forms and in such detail as the STATE shall require. The CONTRACTOR shall submit vouchers to the State's designated payment office located in the _____.

All vouchers submitted by the CONTRACTOR pursuant to this AGREEMENT shall be submitted to the STATE no later than _____ days after the end date of the period for which reimbursement is being claimed. In no event shall the amount received by the CONTRACTOR exceed the budget amount approved by the STATE, and, if actual expenditures by the CONTRACTOR are less than such sum,

the amount payable by the STATE to the CONTRACTOR shall not exceed the amount of actual expenditures. All contract advances in excess of actual expenditures will be recouped by the STATE prior to the end of the applicable budget period.

- G. If the CONTRACTOR is eligible for an annual cost of living adjustment (COLA), enacted in New York State Law, that is associated with this grant AGREEMENT, payment of such COLA, or a portion thereof, may be applied toward payment of amounts payable under Appendix B of this AGREEMENT or may be made separate from payments under this AGREEMENT, at the discretion of the STATE.

Before payment of a COLA can be made, the STATE shall notify the CONTRACTOR, in writing, of eligibility for any COLA. If payment is to be made separate from payments under this AGREEMENT, the CONTRACTOR shall be required to submit a written certification attesting that all COLA funding will be used to promote the recruitment and retention of staff or respond to other critical non-personal service costs during the State fiscal year for which the cost of living adjustment was allocated, or provide any other such certification as may be required in the enacted legislation authorizing the COLA.

II. Progress and Final Reports

Insert Reporting Requirements in this section. Provide detailed requirements for all required reports including type of report, information required, formatting, and due dates. Please note that at a minimum, expenditure reports (to support vouchers) and a final report are required. Other commonly used reports include:

Narrative/Qualitative: This report properly determines how work has progressed toward attaining the goals enumerated in the Program Workplan (Appendix D).

Statistical/Qualitative Report: This report analyzes the quantitative aspects of the program plan - for example: meals served, clients transported, training sessions conducted, etc.

APPENDIX D

PROGRAM WORKPLAN (sample format)

A well written, concise workplan is required to ensure that the Department and the contractor are both clear about what the expectations under the contract are. When a contractor is selected through an RFP or receives continuing funding based on an application, the proposal submitted by the contractor may serve as the contract's work plan if the format is designed appropriately. The following are suggested elements of an RFP or application designed to ensure that the minimum necessary information is obtained. Program managers may require additional information if it is deemed necessary.

I. CORPORATE INFORMATION

Include the full corporate or business name of the organization as well as the address, federal employer identification number and the name and telephone number(s) of the person(s) responsible for the plan's development. An indication as to whether the contract is a not-for-profit or governmental organization should also be included. All not-for-profit organizations must include their New York State charity registration number; if the organization is exempt AN EXPLANATION OF THE EXEMPTION MUST BE ATTACHED.

II. SUMMARY STATEMENT

This section should include a narrative summary describing the project which will be funded by the contract. This overview should be concise and to the point. Further details can be included in the section which addresses specific deliverables.

III. PROGRAM GOALS

This section should include a listing, in an abbreviated format (i.e., bullets), of the goals to be accomplished under the contract. Project goals should be as quantifiable as possible, thereby providing a useful measure with which to judge the contractor's performance.

IV. SPECIFIC DELIVERABLES

A listing of specific services or work projects should be included. Deliverables should be broken down into discrete items which will be performed or delivered as a unit (i.e., a report, number of clients served, etc.) Whenever possible a specific date should be associated with each deliverable, thus making each expected completion date clear to both parties.

Language contained in Appendix C of the contract states that the contractor is not eligible for payment "unless proof of performance of required services or accomplishments is provided." The workplan as a whole should be structured around this concept to ensure that the Department does not pay for services that have not been rendered.

Appendix G

NOTICES

All notices permitted or required hereunder shall be in writing and shall be transmitted either:

- (a) via certified or registered United States mail, return receipt requested;
- (b) by facsimile transmission;
- (c) by personal delivery;
- (d) by expedited delivery service; or
- (e) by e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time to time designate:

State of New York Department of Health

Name:

Title:

Address:

Telephone Number:

Facsimile Number:

E-Mail Address:

[Insert Contractor Name]

Name:

Title:

Address:

Telephone Number:

Facsimile Number:

E-Mail Address:

Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this AGREEMENT by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representative for the purposes of receiving notices under this AGREEMENT. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems, and/or for dispute resolution.

Agency Code 12000
APPENDIX X

Contract Number: _____

Contractor: _____

Amendment Number X-_____

This is an AGREEMENT between THE STATE OF NEW YORK, acting by and through NYS Department of Health, having its principal office at Albany, New York, (hereinafter referred to as the STATE), and _____ (hereinafter referred to as the CONTRACTOR), for amendment of this contract.

This amendment makes the following changes to the contract (check all that apply):

- _____ Modifies the contract period at no additional cost
- _____ Modifies the contract period at additional cost
- _____ Modifies the budget or payment terms
- _____ Modifies the work plan or deliverables
- _____ Replaces appendix(es) _____ with the attached appendix(es) _____
- _____ Adds the attached appendix(es) _____
- _____ Other: (describe) _____

This amendment *is* / *is not* a contract renewal as allowed for in the existing contract.

All other provisions of said AGREEMENT shall remain in full force and effect.

Prior to this amendment, the contract value and period were:

\$ _____ From ____/____/____ to ____/____/____.
(Value before amendment) (Initial start date)

This amendment provides the following modification (complete only items being modified):

\$ _____ From ____/____/____ to ____/____/____.

This will result in new contract terms of:

\$ _____ From ____/____/____ to ____/____/____.
(All years thus far combined) (Initial start date) (Amendment end date)

Signature Page for:

Contract Number: _____

Contractor: _____

Amendment Number: X-_____

IN WITNESS WHEREOF, the parties hereto have executed this AGREEMENT as of the dates appearing under their signatures.

CONTRACTOR SIGNATURE:

By: _____ Date: _____
(signature)

Printed Name: _____

Title: _____

STATE OF NEW YORK)
) SS:
County of _____)

On the ___ day of _____ in the year _____ before me, the undersigned, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is(are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their/ capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

(Signature and office of the individual taking acknowledgement)

STATE AGENCY SIGNATURE

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

By: _____ Date: _____
(signature)

Printed Name: _____

Title: _____

ATTORNEY GENERAL'S SIGNATURE

By: _____ Date: _____

STATE COMPTROLLER'S SIGNATURE

By: _____ Date: _____

New York State Regional Asthma Coalitions Logic Model

Developed by:
 Patricia Waniewski
 Trang Nguyen
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 Asthma Guidance Team
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Evidence Based Approach

Asthma Guideline Recommendations

Best Processes for Community Change and Improvement*

Interventions and Methods

Process and Short Term Measures

Clinical Guidelines for the Diagnosis, Evaluation and Management of Adults and Children with Asthma- EPR-3, 2007
<http://www.nlm.nih.gov/guidelines/asthma/index.htm>

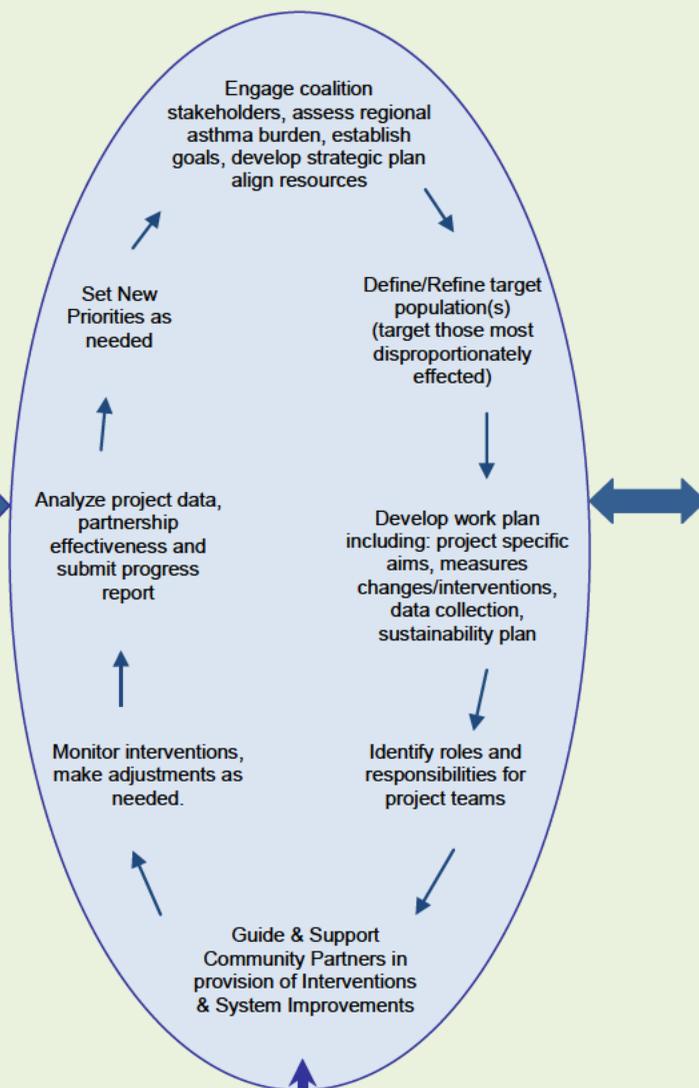
Four Components of Asthma Care:

1. Assessment and Monitoring of Asthma Severity and Control
2. Education for a Partnership in Care
3. Control of Environmental Factors and Co-morbid Conditions that Affect Asthma
4. Medications (Long Term & Quick Relief)

Guideline Implementation Panel (GIP). Report for EPR -3 2009
http://www.nlm.nih.gov/guidelines/asthma/gip_rpt.htm

Six Priority Messages:

1. Asthma Severity- initial severity assessment to determine initial therapy
2. Asthma Control- assess level of control based on impairment and risk to guide future therapy
3. Allergen and Irritant Exposure- review exposure to allergens and irritants to provide a multipronged strategy for reduction
4. Inhaled Corticosteroids- for long term management of persistent asthma control
5. Asthma Action Plan- for all people who have asthma to guide self management
6. Follow up Visits- planned follow up visits at periodic intervals to assess control and treatment



System of Improved Chronic Illness Care*

Asthma Change Package

1. Self-Management.
2. Decision Support.
3. Clinical Information.
4. Delivery System Design.
5. Organization of Health Care.
6. Community.

*Chronic Care Model (CCM), <http://www.improvingchroniccare.org/>
 *Guide to Community Preventive Services. Asthma Control www.thecommunityguide.org/asthma/index.html

Improvement Methods**

1. Setting aims
2. Establishing measures
3. Selecting Changes
4. Testing Changes
5. Implementing Changes
6. Spreading Changes

**Institute for Health Care Improvement (IHI)
<http://www.ihl.org/IHI/Topics/Improvement/ImprovementMethods/>

Collaborative Learning Model***

1. Topic selection
2. Enrollment of organizations/teams
3. Learning Sessions
4. Action Periods
5. Measurement/Evaluation
6. Summative Congress/publication

***Adapted from IHI's Breakthrough Series <http://www.ihl.org>

Coalition Project Performance Measures:

- #, % of coalition projects using state and local data to define burden and target interventions
- #, % of coalition projects that engage an appropriate mix and number of stakeholders
- #, % of coalition projects that have a written sustainability plan
- # of CCM components, system changes implemented per project
- # of CCM system changes sustained per project
- # of process, short and long term measures monitored per project
- #, % of target population reached per project
- # of Best Practices shared at local, state and national levels
- Team Assessment Score per project

Clinical Guidelines for Diagnosis, Evaluation and Management of Adults and Children with Asthma

1. **Assessment & Monitoring**
 - #, % of pts who have a documented level of asthma severity
 - #, % of pts who have a documented level of asthma control at the last asthma visit
 - #, % of pts (6 years and older) who received spirometry in the past 12 months.
 - #, % of pts with record of seasonal/novel influenza immunization in the past 12 months
 - #, % of pts with race/ethnicity documented
 - #, % of pts with language preference documented
 - #, % of pts with at least one follow up asthma visit in the past six months
2. **Education for a Partnership in Care**
 - #, % of pts with AAP (home, school, daycare, PCP) that has been developed/updated within the past 6 months
 - #, % of pts w/self management goal/readiness plan
3. **Control of Environmental Factors**
 - #, % of pts who were evaluated by history for environmental triggers (allergens and irritants) at the last asthma visit
 - #, % of pts that received education on environmental triggers and measures to reduce/eliminate exposure to relevant triggers at the last asthma visit
 - #, % of pts (12 years and older) with smoking status assessment
 - #, % of pts (12 years and older) that received smoking cessation education and counseling
 - #, % of pts with assessment regarding exposure to environmental tobacco smoke (ETS) at the last asthma visit
 - #, % of pts of patients that received education regarding exposure to ETS at the last asthma visit
 - #, % of eligible pts receiving in-home assessment for exposure to environmental triggers
4. **Medications**
 - #, % of pts with persistent asthma or those who have "not well controlled" or "poorly controlled" asthma that are prescribed an ICS at the last asthma visit

*Pts = Patients reached in target population
 %: Denominator = Number of patients in the target population, unless noted otherwise (see data measurement plan)*

Outside Factors

Long Term Measures

- ↓ #, % of pts who had an urgent care or unscheduled visit due to asthma in the past three months
- ↓ #, % pts who had an ED visit due to asthma in the past three months
- ↓ #, % pts who had a hospitalization due to asthma in the past three months
- ↓ average # of days of school/work missed due to asthma in the past 12 months
- ↑ quality of life (e.g. ACT)

Reduce the burden of asthma in New York

<p>Resources NYSDOH Funding Other funding sources NYSDOH Asthma webpage Regional Leadership CDC Webpage</p>	<p>Training and Technical Assistance NYSDOH TA New York State Asthma Outcomes Learning Network Asthma Surveillance and Program Evaluation TA</p>	<p>Partnerships Asthma Partnership of New York NICHQ Regional Partners/partnerships NYSDOH regional staff</p>	<p>Communication Monthly conference calls Email/listserv WebEx Presentations/Publications</p>	<p>Monitoring & Reporting Process & Short Term Measures: Core and Optional Long Term Measures: Optional Monthly and Quarterly reports Statewide Collaborative reporting</p>
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Chronic Care Model* Checklist for Asthma Coalitions

Self-Management	Decision Support	Clinical Information System	Delivery System Design	Health System: Organization	Community: Resources/Policies
Definitions					
Empower and prepare patients to manage their health and health care.	Promote clinical care that is consistent with scientific evidence and patient preferences.	Organize patient and population data to facilitate efficient and effective care.	Assure the delivery of effective, efficient clinical care and self-management.	Creates a culture, organization and mechanisms that promote safe, high quality care.	Mobilize community resources to meet needs of patients.
Strategy					
<ul style="list-style-type: none"> Emphasize the patient's central role in managing their health. Use effective self-management support strategies that include assessment, goal-setting, action planning, problem-solving and follow-up. Organize internal and community resources to provide ongoing self-management support to patients*. 	<ul style="list-style-type: none"> Embed evidence-based guidelines into daily clinical practice. Share evidence-based guidelines and information with patients to encourage their participation. Use proven provider education methods. Integrate specialist expertise and primary care*. 	<ul style="list-style-type: none"> Provide timely reminders for providers and patients. Identify relevant subpopulations for proactive care. Facilitate individual patient care planning. Share information with patients and providers to coordinate care (2003 update). Monitor performance of practice team and care system*. 	<ul style="list-style-type: none"> Define roles and distribute tasks among team members. Use planned interactions to support evidence-based care. Provide clinical case management services for complex patients (2003 update). Ensure regular follow-up by the care team. Give care that patients understand and that fits with their cultural background (2003 update)*. 	<ul style="list-style-type: none"> Visibly support improvement at all levels of the organization, beginning with the senior leader. Promote effective improvement strategies aimed at comprehensive system change. Encourage open and systematic handling of errors and quality problems to improve care (2003 update). Provide incentives based on quality of care. Develop agreements that facilitate care coordination within and across organizations*. 	<ul style="list-style-type: none"> Encourage patients to participate in effective community programs. Form partnerships with community organizations to support and develop interventions that fill gaps in needed services. Advocate for policies to improve patient care (2003 update)*.
Sample Asthma Coalition Strategies					
<ol style="list-style-type: none"> Promote systematic integration of evidence-based asthma self management support in health care, schools and day care. Partner with appropriate stakeholders to reduce system barriers to self-management. Identify age/cultural/literacy gaps in patient education resources and develop/purchase and disseminate appropriate resources through network physicians. Develop and implement tools to support self-management at home, in school, in physicians' office and at work. Promote integration of asthma self-management education and tools, such as an Asthma Action Plan (AAP) into practice in primary care, daycare, and school setting. 	<ol style="list-style-type: none"> Work with health systems to use and distribute the NYS consensus asthma guideline decision support tool (http://www.health.ny.gov/diseases/asthma/pdf/2009_asthma_guidelines.pdf). Work with stakeholders to develop and administer CME on asthma via academic detailing and other evidence based methods [i.e. Physician Asthma Care Education (PACE)]. Coordinate with professional societies and associations to develop/distribute a CME/CE case study educational approach to providers and other professionals on asthma, e.g. http://ieny.ipro.org/files/Asthma/. 	<ol style="list-style-type: none"> Formalize linkages/partners and resources to support the development and implementation of a database (registry) of persons with asthma in the primary care, school health, health plan, day care setting. Assess capacity of practice setting (school, daycare, primary care, etc) of developing and setting specific (primary care, school, daycare, etc.) population-based asthma registries. Identify gaps and formulate plans with stakeholders to address the gaps. Establish means to improve access to population specific and other relevant health information for the purpose of improving asthma care outcomes. 	<ol style="list-style-type: none"> Establish the role of the AE-C on the care team, enroll them as a Medicaid provider to be eligible for reimbursement for asthma self management training services. Provide technical assistance and support to care settings (primary care, school based health center, school health the provision of a planned care vs. acute care approach to the management of people with asthma. Work with health plans, providers and community organizations. Integrate the assessment education and remediation of asthma triggers, especially smoking and environmental tobacco smoke (ETS) into usual medical care. Connect health care providers with Tobacco Control Program Cessation Centers to increase the percent of patients that are assessed for 	<ol style="list-style-type: none"> Engage senior leaders to actively support the improvement effort by removing barriers and providing necessary resources. Empower senior leaders and staff to visibly support and promote the effort to improve asthma care. Make improving asthma care a part of each stakeholder's organization's vision, mission, goals, performance improvement, and business plans. Improve community resource utilization among primary care providers and schools by becoming a regional clearinghouse for: <ul style="list-style-type: none"> Educational resources Case Management-evidence based models Smoking cessation Environmental remediation 	<ol style="list-style-type: none"> Establish community-wide interventions to assess, remediate, and reduce asthma triggers [especially smoking and environmental tobacco smoke (ETS)]. Work with school districts to develop "asthma friendly school policies." Map regional asthma assets and community resources and distribute to patients, families, providers, etc. Work with providers and community organizations to develop a local system for education support and resources for people with asthma that is responsive to the communities cultural, linguistic, and social needs.

Self-Management	Decision Support	Clinical Information System	Delivery System Design	Health System: Organization	Community: Resources/Policies
<ul style="list-style-type: none"> 5. Expand and formalize a Certified Asthma Educator (AE-C) network to support family/individual self-management needs. 6. Develop and implement plans to better align smokers with smoking cessation resources. Work with local tobacco coalitions to emphasize smoke-free homes, parks, cars, etc. 7. Provide resources and incentives for patients, parents, household members of individual with asthma who smoke to help them quit. 8. Distribute patient specific asthma guideline (to be developed as activity under Decision Support) to members with asthma. Teach patients how to use the guideline to manage their own care and advocate for appropriate health services with their provider. 9. Promote use of group primary care visits to support self-management. 10. Work with Pharmacies to reinforce important asthma messages about self-management. 11. Establish an asthma “mentoring” program where informed and activated families, young adults or children with asthma can teach and model others how to be engaged in controlling their disease. 12. Work with providers and health plans to develop incentives for patients who achieve their self-management goals. 	<ul style="list-style-type: none"> 4. Establish local credentialing policies with health plans that require annual CME on asthma. 5. Put the asthma guideline decision support tool in every exam room in the coalition region. 6. Work with providers and health plans to establish a system to assure that patients who meet the criteria for consultation with a specialist are seen by a specialist. 7. Develop a patient specific guideline tool as a reference for patients to understand good asthma care and to assist with advocating for their own care. 8. Increase the number of certified asthma educators by creating the means to support certification and the integration into clinical practice. 	<ul style="list-style-type: none"> 4. Work with primary care, health plans, schools, day care settings, etc. to establish a panel of quality asthma measures, based in the asthma guideline, to assess care processes, outcomes and improvement efforts. 5. Partner with providers and health plans to use data to assess medication and service utilization (hospitalizations and emergency department visits) in general and by race, ethnicity, and develop solutions to improve care and close disparity gaps. 6. Research, pilot, test and recommend an electronic system that supports every person with asthma has an AAP that is accessible to the physician, school, and the family. 	<p>tobacco use and provided smoking cessation education and counseling (www.talktoyourpatients.org)</p> <ul style="list-style-type: none"> 5. Partner with Health plans/providers to establish community-wide case management standards based on risk stratification and evidence-based approaches. 6. Work with stakeholders to create improved information links between providers; hospitals, and PCP; PCP and specialist; schools and PCP. 7. Promote continuity of care by assuring: a medical home, continuity in appointments, follow-up after routine and urgent visits. 8. Provide clinicians with a list of vendors they can work with to obtain an inventory of asthma equipment (e.g. spirometry) for their practice site. 9. Establish a Technical Assistance team or partner with organizations that specialize in information management, clinical management of asthma and patient education. Have this team work in practice sites to assist in development of assessment and monitoring documentation tools, patient registry, reminder systems or prepare for medical home certification. 10. Provide incentives/ awards and showcase innovative changes in ambulatory care process/ organization/redesign that improve asthma outcomes. 11. Partner with businesses and employers to leverage resources that support organizational redesign, clinical improvement, and patient satisfaction, e.g. Primary Care Development Corporation (PCDC), Institute for Healthcare Improvement (IHI), Health Disparities Collaborative (HDC), Best Clinical and Administrative Practices (BCAP). 	<p>Distribute clearinghouse information to community (schools, hospitals, daycares, etc.) as well as members.</p> <ul style="list-style-type: none"> 5. Employ/incent training of Certified Asthma Educators to provide group asthma education classes at the primary care site/ schools/daycare centers. 6. Work with health and community organizations to establish quality improvement programs and coalitions to monitor improvement care. 7. Design incentives to promote improved quality outcomes. 	<ul style="list-style-type: none"> 5. Develop and distribute information about Medicaid and regional MCO’s reimbursement policies for asthma education peak flow meters, spacers, nebulizers, compressors, asthma medication, and professional services. 6. Increase efforts to strengthen awareness of and support for asthma interventions from community members, local policy makers and elected officials. 7. Pilot a program which partners with pharmacists to provide asthma medication education, assess technique of administering asthma medications, evaluate for spacer use, etc. 8. Support/promote and participate in local and regional clinical and community collaborations. 9. Collaborate with Tobacco Control Program Community Partnership initiatives to establish smoke-free multi-unit housing and smoke-free parks and playgrounds (www.tobaccofreeeny.com)

Attachment 4

Tobacco-Free Policies Attestation

Applicants are required to have a written policy prohibiting any affiliationⁱ with a tobacco company or tobacco product manufacturerⁱⁱ including receipt of gifts, grants, contracts, financial support and in-kind support, and other relationships. Applicants must ensure that no subcontractors receiving funding through this award have any affiliation with a tobacco company or tobacco product manufacturer. In addition, applicants are required to have a written policy establishing a 100% tobacco-free worksite facility, including outdoor areas under control of the applicant, or commit to implementing such a policy within one-year of receiving the notice of award.

Check the appropriate boxes to indicate your current tobacco-free policies.

Financial Relationships

- The organization does not have any affiliation or contractual relationship with any tobacco company or tobacco product manufacturer, its affiliates, its subsidiaries or its parent company and has a written policy prohibiting any such relationships. The organization will ensure that subcontractors or subgrantees receiving funding through this award do not have any affiliation with a tobacco company or tobacco product manufacturer.

Tobacco-Free Facilities

- The organization has a written policy that prohibits tobacco use at all worksite facilities, including outdoor areas under control of the applicant, which will be used to implement activities funded by the Department.
- The organization will implement a written policy that prohibits tobacco use at all worksite facilities, including outdoor areas under control of the applicant, which will be used to implement activities funded by the Department within one-year of receiving the notice of award.

Title: _____

Signature: _____ Date: _____

ⁱ Affiliation:

- being employed by or contracted to any tobacco company, association or any other agents known by you to be acting for tobacco companies or associations;
- receiving honoraria, travel, conference or other financial support from any tobacco company, association or any other agents known by you to be acting for or in service of tobacco companies or associations;
- receiving direct or indirect financial support for research, education or other services from a tobacco company, association or any agent acting for or in service of such companies or associations, and;
- owning a patent or proprietary interest in a technology or process for the consumption of tobacco or other tobacco use related products or initiatives.

ⁱⁱ Tobacco company or tobacco product manufacturer: any person, corporation or entity, including any repacker or relabeler, who:

- manufactures, fabricates, assembles, processes, or labels a tobacco product; or
- imports a finished tobacco product for sale or distribution in New York State.

Attachment 5

Comprehensive Healthy Foods Policy Status and Intent

Check the box that most accurately characterizes the applicant organization:

- The organization provides or makes food available to staff or visitors and has or agrees to develop and implement a comprehensive healthy foods policy, including healthy meeting guidelines, within one year of the start date of this contract.

OR

- The organization does not provide or make available food to staff or visitors and will implement healthy meeting guidelines for meetings and events hosted or sponsored by the organization.

OR

- The organization has a combination of practices when providing or making food available to staff or visitors. The organization has or agrees to develop and implement a comprehensive healthy foods policy, including healthy meeting guidelines, within one year of the start date of this contract for food provided or made available to staff or visitors. The organization will implement healthy meeting guidelines for meetings and events hosted or sponsored by the organization.

In every instance, the organization will work with onsite or retained food vendors to adapt food offerings to be consistent with the healthy meeting guidelines and/or a comprehensive healthy foods policy over time.

- Healthy meeting guidelines are described in Attachment 11.
- A comprehensive healthy foods policy ensures that cafeteria meals, refreshments, and vending machines include healthy choices and limit or eliminate unhealthy choices.

Title: _____

Signature: _____ Date: _____

Attachment 6

NYS REGIONAL ASTHMA COALITION WORK PLAN

A System's Approach for Reducing the Burden of Asthma

APPENDIX D

(See Part V, Section A, Number 5 of RFA # for instructions on completing this work plan template)

Contact Name:

Contract #:

Contract Period:

Person Completing Workplan:

Project Name:

Project's SMART Aim:

Process and Outcome Measures of Progress towards achieving Aim:

Project-Specific Target Population:

Data Sources used to identify project's target population:

Project-Specific Sustainability Plan:

ACTIVITIES

1. Project Development and Management:

2. Self Management:

3. Decision Support:

4. Clinical Information Systems:

5. Delivery System Design:

6. Health System, Organization of Health Care:

7. Community Resources and Policies:

PERSON(S), ORGANIZATION(S) and RESPONSIBILITIES

Grant Funded Staff:

Other Partners:

MEASURES OF PROGRESS

PROCESS MEASURE:

Measures Definition
Numerator
Denominator

OUTCOME MEASURE:

Measures Definition

Numerator
Denominator

OUTCOME MEASURE:

Measures Definition

Numerator
Denominator

DATA SOURCE and DATA COLLECTION PLAN

<u>Project Name:</u>
<u>Project's SMART Aim:</u> <u>Process and Outcome Measures of Progress towards achieving Aim:</u>
<u>Project-Specific Target Population:</u>
<u>Data Sources used to identify project's target population:</u>
<u>Project-Specific Sustainability Plan:</u>

ACTIVITIES
1. <u>Project Development and Management:</u>
2. <u>Self Management:</u>
3. <u>Decision Support:</u>
4. <u>Clinical Information Systems:</u>
5. <u>Delivery System Design:</u>
6. <u>Health System, Organization of Health Care:</u>
7. <u>Community Resources and Policies:</u>
PERSON(S), ORGANIZATION(S) and RESPONSIBILITIES
<u>Grant Funded Staff:</u>
<u>Other Partners:</u>

MEASURES OF PROGRESS			
<u>PROCESS MEASURE:</u>	<u>PROCESS MEASURE:</u>	<u>PROCESS MEASURE:</u>	<u>PROCESS MEASURE:</u>
<u>Measures Definition</u>	<u>Measures Definition</u>	<u>Measures Definition</u>	<u>Measures Definition</u>
Numerator	Numerator	Numerator	Numerator
Denominator	Denominator	Denominator	Denominator
<u>OUTCOME MEASURE:</u>		<u>OUTCOME MEASURE:</u>	
<u>Measures Definition</u>		<u>Measures Definition</u>	
Numerator		Numerator	
Denominator		Denominator	
DATA SOURCE and DATA COLLECTION PLAN			

*Please add more tables for additional projects as needed.

Attachment 7

New York State Asthma Coalition Data Measurement Table - 2011-2016

Process, Short and Long Term Measures: Core and Optional

Measure	Definition	Numerator	Denominator	Possible Data Sources
Asthma Coalition Project Performance				
Coalition Stakeholder Representation	Number of actively engaged coalition stakeholders, representing a comprehensive range of affiliates	n/a	n/a	<ul style="list-style-type: none"> • Work Plan • Active stakeholder contact list, including affiliation, project roles & responsibilities of stakeholder • Meeting minutes
Data utilization for targeting interventions	Percent of asthma projects within an asthma coalition that use state and local data to define burden and target interventions	Number of asthma projects within an asthma coalition that use state and local data to define burden and target interventions	Total number of asthma projects in the coalition	<ul style="list-style-type: none"> • Work Plan • Strategic Plan • Project summaries/presentations/storyboards
Stakeholder Representation for asthma projects	Percent of asthma projects within an asthma coalition that engage an appropriate mix and number of stakeholders	Number of asthma projects within an asthma coalition that engage an appropriate mix and number of stakeholders (e.g. comprehensive representation/variety of types of affiliates) and active participation of partners involved in each asthma project)	Total number of asthma projects in the coalition	<ul style="list-style-type: none"> • Work plan • Strategic Plan • Project summaries/presentations/storyboards
Project written sustainability plan	Percent of asthma projects that have a written sustainability plan	Number of asthma projects within an asthma coalition that have a written sustainability plan	Total number of asthma projects in the coalition	<ul style="list-style-type: none"> • Work plan • Strategic Plan • Project summaries/presentations/storyboards

Chronic Care Model (CCM) components implemented *	Number of CCM components implemented per asthma project	n/a	n/a	<ul style="list-style-type: none"> • Work plan • CCM grid • Project summaries/presentations/storyboards
Chronic Care Model (CCM) system changes implemented *	Number of CCM system changes implemented per asthma project	n/a	n/a	<ul style="list-style-type: none"> • Project summaries/presentations/Storyboards • Progress reports
CCM system changes sustained *	Number of CCM system changes sustained per asthma project	n/a	n/a	<ul style="list-style-type: none"> • Project summaries/presentations/Storyboards • Progress reports
Measures monitored*	Number of process, short-term and long-term measures monitored per asthma project	n/a	n/a	<ul style="list-style-type: none"> • Work plan • Data Measurement Plan
Target population reached *	Percent of target population reached per asthma project	Number of individuals reached in target population per asthma project	Total number of targeted individuals per asthma project	<ul style="list-style-type: none"> • Attendance records/logs • Registries • Records
Shared Best Practices	Number of Best Practices shared via publications, written “success stories”, and presentations at local , state and national meetings/conferences	n/a	n/a	<ul style="list-style-type: none"> • Presentations • Publications • Agendas
Team assessment *	Team Assessment Score per project (as defined in the NYSDOH Asthma Coalition Quarterly Report)	n/a	n/a	<ul style="list-style-type: none"> • ACIC tool

Clinical Guidelines for Evaluation and Management of Adults and Children with Asthma Assessment & Monitoring: Assessment & Monitoring

Documented severity classification *	Percent of patients in the asthma projects who have a documented level of asthma severity	Number of patients in the asthma projects who have a documented level of asthma severity	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Record • Registries
Documented control classification *	Percent of patients in the asthma project who have a documented level of control at the last asthma visit	Number of patients in the asthma project who have a documented level of asthma control at the last asthma visit	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries
Spirometry *	Percent of patients in the asthma project ages six years and older who received spirometry in the past 12 months	Number of patients in the asthma project ages six years and older who received spirometry in the past 12 months	Total number of patients ages six years and older in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries
Documented seasonal /novel influenza immunization *	Percent of patients in the asthma project with a record of seasonal/novel influenza immunization in the past 12 months	Number of patients in the asthma project with a record of seasonal/novel influenza immunization in the past 12 months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries
Documented race/ethnicity*	Percent of patients in the asthma project with race/ethnicity documented	Number of patients in the asthma project with race/ethnicity documented	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs
Documented language preference *	Percent of patients in the asthma project with language preference documented	Number of patients in the asthma project with language preference documented	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs
Follow-up visit *	Percent of patients in the asthma project with at least one follow up asthma visit in the past six months	Number of patients in the asthma project with at least one follow up asthma visit in the past six months	Total number of patients in the asthma project for at	<ul style="list-style-type: none"> • Medical Records • Registries • Logs

			least six months	
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Clinical Guidelines for Evaluation and Management of Adults and Children with Asthma Assessment & Monitoring: Education for a Partnership in Care

Asthma Action Plan (AAP) *	Percent of patients in the asthma project with an AAP (home, school, daycare, PCP) that has been developed or updated within the past 6 months (home, school, daycare, primary care provider (PCP))	Number of patients in the asthma project with an AAP (home, school, daycare, PCP) that has been developed or updated within the past 6 months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical/Facility Records • Registries
Self-management goal/ readiness plan *	Percent of patients in the asthma project with a self-management goal/readiness plan	Number of patients in the asthma project with a self-management goal/readiness plan	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries

Clinical Guidelines for Evaluation and Management of Adults and Children with Asthma Assessment & Monitoring: Control of Environmental Factors

Evaluation of environmental triggers *	Percent of patients in the asthma project who were evaluated for environmental triggers (allergens: e.g. dust mites, cats, dogs, molds/fungi, cockroaches, rodents; and irritants: e.g. environmental tobacco smoke, chemicals)	Number of patients in the asthma project who were evaluated for environmental triggers (allergens: e.g. dust mites, cats, dogs, molds/fungi, cockroaches, rodents; and irritants: e.g. environmental tobacco smoke, chemicals)	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs
Education about environmental control measures *	Percent of patients in the asthma project that received education on environmental triggers and measures to reduce/eliminate exposure to relevant triggers, including tobacco smoke, at the last asthma visit	Number of patients in the asthma project that received education on environmental triggers and measures to reduce/eliminate exposure to relevant triggers at the last asthma visit	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs

Smoking status assessment*	Percent of patients (aged 12 years and older) in the asthma project with smoking status assessment	Number of patients (aged 12 years and older) in the asthma project with smoking status assessment	Total number of patients (aged 12 years and older) in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries
Smoking cessation education and counseling *	Percent of patients who assessed positively for tobacco use (aged 12 years and older) in the asthma project that received smoking cessation education and counseling	Number of patients who assessed positively for tobacco use (aged 12 years and older) in the asthma project that received smoking cessation education and counseling	Total number of patients (aged 12 years and older) in the asthma project who assessed positively for tobacco use	<ul style="list-style-type: none"> • Medical records • Registries
Environmental tobacco smoke (ETS) assessment*	Percent of patients in the asthma project with assessment regarding exposure to Environmental Tobacco Smoke at the last asthma visit	Number of patients in the asthma project with assessment regarding exposure to ETS at the last asthma visit	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical records • Registries
ETS education*	Percent of patients in the asthma project that received education regarding exposure to Environmental Tobacco Smoke at the last asthma visit	Number of patients in the asthma project that received education regarding exposure to ETS at the last asthma visit	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical records • Registries • Logs
In-home assessment for exposure to environmental triggers *	Percent of eligible patients in the asthma project who received in-home assessment for exposure to environmental triggers	Number of eligible patients in the asthma project who received an in-home assessment for exposure to environmental triggers	Total number of patients in the asthma project that were eligible for an in-home assessment for exposure to environmental triggers	<ul style="list-style-type: none"> • Medical records • Registries • Logs

Clinical Guidelines for Evaluation and Management of Adults and Children with Asthma Assessment & Monitoring: Medications

Prescribed inhaled corticosteroids (ICS)*	Percent of patients in the asthma project with persistent asthma, or who have “not well controlled” or “poorly controlled” asthma, that have a current prescription for an ICS at the last asthma visit	Number of patients with persistent asthma, or who have “not well controlled” or “poorly controlled” asthma that have a current prescription for an ICS at the last asthma visit	Total number of patients with persistent asthma or those who have “not well controlled” or “poorly controlled” asthma	<ul style="list-style-type: none"> • Medical records • Registries
Long Term Measures				
Asthma urgent care visits *	Percent of patients who had an asthma urgent care/unscheduled visit in the past three months	Number of patients who had an asthma urgent care/unscheduled visit in the past three months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs • Patient Report/Surveys
Emergency department (ED) visits due to asthma *	Percent of patients who had an ED visit due to asthma in the past three months	Number of patients who had an ED visit due to asthma in the past three months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs • Patient Report/Surveys
Hospitalizations due to asthma *	Percent of patients who had a hospitalization due to asthma in the past three months	Number of patients who had a hospitalization due to asthma in the past three months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs • Patient Report/Surveys
Days of school/work missed due to asthma*	Average number of days of school/work missed due to asthma in the past 12 months	Total number of days of school/work missed due to asthma in the past 12 months	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Logs • Patient Report/Surveys • Attendance Records
Quality of life * (e.g. Asthma Control Test)	Percent of patients who reported that their asthma was “Well controlled” or “Completely controlled” during the past four weeks	Number of patients who reported that their asthma was “Well controlled” or “Completely controlled” during the past four weeks	Total number of patients in the asthma project	<ul style="list-style-type: none"> • Medical Records • Registries • Patient Report/Surveys

* Generate this measure for each asthma project

NEW YORK STATE DEPARTMENT OF HEALTH REGIONAL ASTHMA COALITIONS

BUDGET INSTRUCTIONS for Completing Operating Budget and Funding Request

Appendix B

Budget Excel Spreadsheet

COVER PAGE: Provide the information requested on the cover page.

SUMMARY BUDGET PAGE

This table should be completed last and will include the total lines only from (Personal Service) and (Nonpersonal Service) and the Grand Total. Total expense = NYS + other source. Other Source may be in-kind, other grants etc.

PERSONAL SERVICE

Personnel, with the exception of consultants and per diems, contributing any part of their time to the project should be listed with the following items completely filled in (consultants/per diems should be shown as a Nonpersonal Service expense in Nonpersonal Service pages.).

Title: The title given should reflect employees of your organization. Staff not on your payroll, including consultants and per diems, should be shown in Nonpersonal Service pages.

Annual Salary: Regardless of the amount of time spent on this project, the total annual salary for each position should be given.

% FTE: The proportion of time spent on the project based on a full time equivalent (FTE) should be indicated. One FTE is based on the number of hours worked in one week by salaried employees (e.g. 40 hour work week). To obtain % FTE, divide the hours per week spent on the project by the number of hours in a work week. For example, an individual working 10 hours per week on the project given a 40 hour work week = $10/40 = .25$ (show in decimal form).

of Months: Show the number of months out of 12 worked for each title. [If an employee works 10 months out of 12, then $10\text{ months}/12\text{ months} = .833$. This ratio is part of the total expense calculation below.]

Total Expense: Total expense can then be calculated as follows:
$$\text{Total Annual Salary} \times \% \text{ FTE} \times (\text{months worked}/12) = \text{Total Expense.}$$

Fringe Benefits: Insert the fringe rate in the space provided. Multiply this rate by the Subtotal Personal Services amount in the Total Expense column. The total fringe amount should be shown and distributed between NYS and Other Source as appropriate.

FRINGE BENEFIT RATE

Specify the components (FICA, Health Insurance, Unemployment Insurance, etc.) and their percentages comprising the fringe benefit rate, then total the percentages to show the fringe benefit rate used in budget calculations. If different rates are used for different positions, submit additional documentation for each rate and specify which positions are subject to which rate.

NONPERSONAL SERVICE

All nonpersonal service expenses should be listed regardless of whether or not funding for these expenses is requested from New York State. As with the Personal page, distribute total expense between NYS and other source (specify other source) if applicable.

BUDGET NARRATIVE/JUSTIFICATION FORM

Using the Budget/Narrative Justification Form, provide a justification/explanation for the expenses included in the Operating Budget and Funding Request. The justification must show all items of expense and the associated cost that comprise the amount requested for each budget category (e.g. if your total travel cost is \$1,000, show how that amount was determined - conference, local travel etc.), and provide an explanation of how these expenses relate to the goals and objectives of the project.

PERSONAL SERVICE

Include a description for each position, including the percentage of time spent on various duties where appropriate, on this form. Contracted or per diem staff are not to be included in personal services; these expenses should be shown as consultant or contractual services under nonpersonal services.

NONPERSONAL SERVICE

Any item of expense not applicable to the below categories must also be listed along with a justification of need. Indirect cost is not an allowable expense against NYS funding.

Office Supplies/Technology

Provide a delineation of the items of expense and estimated cost of each item along with justification of their need. Anticipated Office Technology item purchases of \$200.00 or more will need supporting documentation when vouchering against these line items (provide copies of receipts/invoices along with serial numbers and location of the item(s)). Some routine supplies may be consolidated.

Travel

Provide a delineation of the items of expense and estimated cost by in-state and out-of-state travel (i.e., travel costs associated with conferences, including transportation, meals, lodging, registration fees; administrative travel vs. programmatic travel; staff travel) and estimated cost along with a justification of need. Costs should be based upon state travel reimbursement policy. Any out of state travel needs written pre-approval from DOH contract manager.

Contracted Service/Consultant/Per Diem

Subcontractors- Provide a copy of the invoice. Provide name of subcontractor. Provide a justification of why each service listed is needed. Justification should include the name of the contractor, the specific service to be provided and the time frame for the delivery of services.

Consultants/Per Diems- Provide name, hours worked and rate of pay. Provide a justification of why the consultant's/per diems service is needed. Justification should include the name of the consultant/per diem person, the specific service to be provided and the time frame for the delivery of services.

Equipment

Delineate each piece of equipment and estimated cost along with a justification of need. Anticipated equipment purchases of \$5000.00 and greater will need supporting documentation when vouchering against these line items (provide copies of receipts/invoices along with serial numbers and location of the item(s)).

Administrative Costs - please list line item detailed expenses related to Administrative Costs.

Miscellaneous

Other items not applicable to the above categories should be listed separately. Provide a detailed breakdown of all expenditures in this category. Provide justification for expenditure.

* Use the EXEL SPREADSHEET for BUDGET documentation

Attachment 8B

**BUDGET NARRATIVE/JUSTIFICATION
REGIONAL ASTHMA COALITION PROGRAM**

Applicant: _____

PERSONAL SERVICES

Title/Incumbent	Description

Attachment 8B

NONPERSONAL SERVICES

Item	Cost	Description
<u>Office Supplies / Technology:</u>		
<u>Travel</u> In-State:		
Out-of-State: (pre- approval required)		
<u>Contracted Service Consultant/Per diem:</u>		
<u>Equipment:</u>		

Attachment 8B

Item	Cost	Description
<u>Miscellaneous:</u>		
<u>Administrative Costs:</u> (not to exceed 10%)		

**REGIONAL ASTHMA COALITION PROGRAM
 OPERATING BUDGET AND FUNDING REQUEST
 Attachment 8 - Appendix B
 Summary Page**

Applicant Name: _____

Contract No: C- _____

	Total Expense	Amount Requested From NYS	Other Source
Subtotal Personal Service: (Total Line Only from Personal Service Page):	\$0	\$0	\$0
Subtotal Nonpersonal Service (Total Line Only from Nonpersonal Service Page):	\$0	\$0	\$0
GRAND TOTAL	\$0	\$0	\$0

Applicant Name:

REGIONAL ASTHMA COALITION OPERATING BUDGET AND FUNDING REQUEST

Attachment 8C - Appendix B

PART A

Fringe Benefit Rate

Does your organization have a federally approved fringe benefit rate?

Yes: _____ If yes, you do not have to complete Part B.

Federally Approved Rate: _____ Period of Applicability: _____

Attach copy of Federal Approval - all pages.

No: _____ If no, proceed to Part B.

PART B

Specify the components and percentages comprising the fringe benefit rate.

Note: If positions have different fringe benefit rates, please use an average for all positions.

Component	Rate
F.I.C.A (6.2%) & Medicare Tax (1.45%)	7.65%
Health Insurance	
Unemployment Insurance	
Disability Insurance	
Life Insurance	
Worker's Compensation	
Pension/Retirement	
Other: (delineate)	
*Total Fringe Rate	7.65%

*This rate must be equal to the percentage shown on Personal Service Page.

**REGIONAL ASTHMA COALITION PROGRAM
OPERATING BUDGET AND FUNDING REQUEST**

**Appendix B
Nonpersonal Services**

Applicant Name:				
Budgeted Expenses:	Total Expenses	Amount Requested From NYS	Other Source(s)	Specify Other Source
Office Supplies/Technology		\$0		
Travel:				
In-State		\$0		
Out-of-State (pre-approval required)		\$0		
Contracted Service - Consultant/Per Diem		\$0		
Equipment		\$0		
Miscellaneous		\$0		
Administrative Costs (not to exceed 10%)				
Total Nonpersonal Service	\$0	\$0	\$0	

JOB DESCRIPTION

**REGIONAL CHILDHOOD ASTHMA COALITION
ASTHMA COORDINATOR**

The asthma coalition coordinator is a key management position within the coalition. This position achieves results by working with and through key coalition stakeholders who are involved in the prevention, diagnosis, treatment and management of asthma in children and their families.

Specific responsibilities include but are not limited to: coalition building, including recruitment and retention of coalition members; developing, implementing and evaluating the coalition's strategic and operational asthma plan; leading, organizing, convening, and facilitating coalition steering and working committee meetings and special projects; developing and monitoring the coalition budget to support coalition activities, including seeking and applying for new funding opportunities; monitoring program quality, performance and effectiveness; collaborating/networking with other asthma coalitions and presenting regional coalition outcomes at statewide and national meetings. The incumbent is also directly responsible for all reporting requirements to the NYS Department of Health's Childhood Asthma Coalition Coordinator.

Qualifications include: Bachelors degree in a health related field and at least 5 or more years of demonstrated progressive leadership and management experience in health related field required. Masters degree in public health, nursing, health education, public administration or business administration preferred.

Required skills: Excellent written, oral, interpersonal skills. Demonstrated competency in program development, implementation and evaluation of health related programs. Ability to work with internal and external partners at multiple levels within organizations and across localities. Word processing, spread sheet, internet navigation, and database management required. Travel is an essential requirement of this position.

Vendor Responsibility Attestation

To comply with the Vendor Responsibility Requirements outlined in Section IV, Administrative Requirements, H. Vendor Responsibility Questionnaire, I hereby certify:

Choose one:

- An on-line Vendor Responsibility Questionnaire has been updated or created at OSC's website: <https://portal.osc.state.ny.us> within the last six months.

- A hard copy Vendor Responsibility Questionnaire is included with this application and is dated within the last six months.

- A Vendor Responsibility Questionnaire is not required due to an exempt status. Exemptions include governmental entities, public authorities, public colleges and universities, public benefit corporations, and Indian Nations.

Signature of Organization Official: _____

Print/type Name: _____

Title: _____

Organization: _____

Date Signed: _____

Attachment 11

New York State Department of Health

Asthma Program

“A Systems Approach for Reducing the Burden of Asthma in New York State”

Application Cover Page

Name of Applicant Organization: _____

Coalition Region to be served: _____

Applicant Address: _____

City _____ **State** _____ **Zip** _____

Name of Contact Person: _____

Title: _____

E-Mail (required): _____

Telephone: _____ **Fax:** _____

Name of Individual Authorized to sign the Contract: _____

Title: _____

Address: _____

E-Mail: _____

Telephone: _____ **Fax:** _____

Signature: _____

Total State Funds Requested: _____

NYS Charity Registration # _____

Federal IRS Tax Identification #: _____

Sample
Letter of Interest

Marianne Heigel, RN
NYSDOH Asthma Program
Riverview Center, 150 Broadway
Suite 350
Menands, New York, 12204

Re: RFA # 1012090253
A Systems Approach to Decreasing the Burden of Asthma in New York State

Dear _____:

This letter is to indicate our interest in the above Request for Applications (RFA) and to request that our organization be notified, via the e-mail address below, when any updates, official responses to questions, or amendments to the RFA are posted on the Department of Health website: <http://www.health.ny.gov/funding/>.

E-mail address: _____

Sincerely,