EQUAL 2022-23 APPLICATION
QUESTIONS & ANSWERS

Following are questions received and the relevant responses related to the EQUAL 2022-23 application.

**QUESTION 1:** The EQUAL 101 indicates that the eligible resident data will be pulled from the 2nd Quarter Statistical Information Report (QSIR) but the application also asks facilities to report the current resident census by SSI/SSP/SN and/or Medicaid (ALP). Which data set will be used determine the number of eligible residents within a facility?

**RESPONSE TO QUESTION 1:** To support a complete application, applicants must provide current eligible resident data in Section B of the EQUAL 2022-23 Application. Failure to submit this information will deem the application incomplete and the facility will not be eligible for funding. While the EQUAL 101 training webinar, held on May 3, 2022, available at https://meetny.webex.com/meetny/lsr.php?RCID=ef6047fe17ec0a1ec917af5d35f8f665, indicated that data from the 2nd Quarter, QSIR will be used; given the early release of the 2022-23 EQUAL Application, please note the following correction/update: EQUAL 2022-23 Eligible Resident data will be determined based on the data reported in the First Quarter 2022 QSIR.

**QUESTION 2:** Was the May 3, 2022 EQUAL 101 Training recorded or are there slides available?

**RESPONSE TO QUESTION 2:** The EQUAL 101 Training was recorded and a link was provided with DAL #22-05 on Health Commerce System. The Training is available at https://meetny.webex.com/meetny/lsr.php?RCID=ef6047fe17ec0a1ec917af5d35f8f665.

**QUESTION 3:** The directions instruct for completion of sections A-E. However, in HERDS, there are only sections A, B & C. Where would I find sections D and E?

**RESPONSE TO QUESTION 3:** Sections A–C comprise the entirety of the EQUAL 2022-23 application.

**QUESTION 4:** What if I need to make a change to my already approved Expenditure Plan?

**RESPONSE TO QUESTION 4:** Please complete Attachment 2 Budget Modification Form attached to DAL #22-05. Proposed modifications must be approved by the Department.

**QUESTION 5:** Am I required to complete the EQUAL 2022-23 Application in HERDs?

**RESPONSE TO QUESTION 5:** No, the Application is optional. However, the Department encourages eligible facilities to apply.

**QUESTION 6:** Can you tell me when EQUAL 2022-23 funds must be spent?

**RESPONSE TO QUESTION 6:** EQUAL 2022-23 funding must be spent within 1 year of the date of award.
QUESTION 7: If I must make a change to my application are my changes automatically saved and submitted to the Department?

RESPONSE TO QUESTION 7: No. To change an application post-submission, a user must click SAVE ALL and SUBMIT again. Otherwise, the completed application will not be received by the Department and the facility will not be eligible for funding.

QUESTION 8: When can I expect my EQUAL money to be sent?

RESPONSE TO QUESTION 8: EQUAL funding will not be distributed until a Department-approved expenditure plan is on file. Therefore, we cannot provide a timeframe for receipt of funding. Facilities that receive an Intent to Award letter must submit their proposed spending plan, with resident approval, by the deadline set forth in their notification. Upon approval of the expenditure plan, a formal notice will be issued.

QUESTION 9: Can my facility still get the EQUAL Award if it has not completed and received approval of an Expenditure Plan?

RESPONSE TO QUESTION: No. Please refer to the Response to Question 8, above.

QUESTION 10: If my facility was late submitting a HERDS Survey, will this disqualify the facility from receiving an EQUAL Award?

RESPONSE TO QUESTION 10: Not necessarily. Late submission of a HERDS survey is not, in itself, grounds to disqualify a facility from EQUAL eligibility. The Department may deny any operator that has received official written notice from the Department of a proposed revocation, suspension, limitation or denial of the operator's operating certificate; or proposed assessment of civil penalties; issuance of a Department order, the seeking of equitable relief or the issuance of a Commissioner’s Order.

Facilities are encouraged to review all EQUAL Eligibility Criteria before applying.

QUESTION 11: If needed, can we move money from our Local Assistance funding to Capital Improvement or vice versa?

RESPONSE TO QUESTION 11: No. EQUAL funding is comprised of 50% Capital Improvement and 50% Local Assistance funding.
QUESTION 12: What are the EQUAL 2022-23 Eligibility Criteria?

RESPONSE TO QUESTION 12:
Below are the criteria used by the Department to determine a facility’s eligibility for EQUAL:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>TRUE Proposal Meets Criteria</th>
<th>FALSE Proposal Does Not Meet Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>The application is complete.</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The facility is not on the Do Not Refer List.</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The operator or facility is not on the OMG exclusion list.</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The facility has no unanswered or unacceptable plans of correction related to past EQUAL grants.</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The application does not indicate the facility intends to close this calendar year.</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The applicant has SSI/SSP/SN or Medicaid (ALP) residents.</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Please refer to DAL 22-05, the EQUAL 2022-23 Instructions and/or the EQUAL 101 training for additional information.

QUESTION 13: What if we experience cost savings and find we have unspent EQUAL funding?

RESPONSE TO QUESTION 13: Facilities must monitor spending by updating the Exhibit A, as expenses are incurred. When unspent funding is identified, the facility should discuss the savings with the residents to identify how to reallocate the money. At that time, the facility must complete and submit a Budget Modification Request (Attachment 2) for Department review and approval.

QUESTION 14: All of our 27 total residents receive Medicaid and several residents receive both SSI and SSP/OTDA. Our application will reflect 25 residents receiving SSP/OTDA (not reporting the residents receiving SSI separately). However, the report automatically calculates the residents to be served as 52, but there are a total 27 residents in my facility. Is this correct?

RESPONSE TO QUESTION 14: Residents with multiple payor sources may only be reported once on the EQUAL 2022-23 application. In the example provided above, if the facility has reported all 27 residents as Medicaid recipients, they would not be reported in the other available categories.

QUESTION 15: My facility provides air conditioners for each resident apartment, but would we be able to purchase upgraded models under the EQUAL grant that we would not ordinarily purchase? Are there other appliances (better quality stoves, refrigerators, microwaves etc.) or items for resident apartments that we could purchase under the grant?

RESPONSE TO QUESTION 15: EQUAL funding is intended to enhance the quality of life or life experience of eligible residents. It cannot be used to supplant the Operator’s responsibility to provide legal or regulatory obligations.
**QUESTION 16:** What is the difference between an Intent to Award Letter and an Award Letter?

**RESPONSE TO QUESTION 16:** An Intent to Award Letter is intended to notify a facility that they are eligible to receive funding up to the value indicated in the notification and provides that a proposed spending plan must be submitted by the designated deadline.

Upon receipt of an Intent to Award Letter, facilities must meet with eligible residents to discuss the award and develop a proposed spending plan for submission to the Department.

Upon approval of a proposed spending plan, the facility will receive an Award Letter. The Award Letter confirms the value of the award and provides a copy of the approved spending plan. Upon issuance of award letters, payments will be made.

**QUESTION 17:** How long do we have to spend the money and are there requirements on when we need to start spending the money?

**RESPONSE TO QUESTION 17:** EQUAL awardees have 12 months from the date of payment to spend the funding and should immediately begin to spend down the money, as appropriate.