

**New York State Office of Mental Health**

**Request For Proposals**

**Supported Housing For Adult Home Residents**

Released October 13, 2010

## Table of Contents

<b>1</b>	<b>Introduction And Background</b>	<b>4</b>
1.1	Purpose of the Request for Proposal	4
1.2	Availability of the RFP	5
<b>2</b>	<b>Proposal Submissions</b>	<b>5</b>
2.1	Letter of Intent	5
2.2	Designated Contact/Issuing Officer	5
2.3	Key Events/Timeline	6
2.4	RFP Questions and Clarifications	6
2.5	Addenda to Request for Proposals	6
2.6	Eligible Agencies	6
2.7	Disqualification Factors	6
2.8	Instructions for Bid Submission and Required Format	7
2.9	Packaging of RFP Responses	7
<b>3</b>	<b>Administrative Information</b>	<b>7</b>
3.1	Term of Contracts	7
3.2	Reserved Rights	8
3.3	Protests Related to the Solicitation Process	9
3.4	Debriefing	9
<b>4</b>	<b>Evaluation Factors For Awards</b>	<b>9</b>
4.1	Evaluation Criteria	9
4.2	Method for Evaluating Proposals	10
4.3	Process for Awarding Contracts	11
4.3.1	Initial Awards and Allocations	11
4.3.2	Reallocation Process	12
4.3.3	Court Related Changes to Awards	13
4.4	Award Notification	13
<b>5</b>	<b>Scope Of Work</b>	<b>13</b>
5.1	Introduction	13
5.2	Objectives and Responsibilities	14
5.3	Reporting Requirements	17
5.4	Operating Funding	18
5.5	Proposal Narrative	18
5.5.1	Population	18
5.5.2	In-reach	19
5.5.3	Assessment	19
5.5.4	Housing Implementation	20
5.5.5	Agency Performance	22
5.5.6	Financial Assessment	22

## Appendices

[Appendix A Remedial Order and Judgment](#) 

[Appendix A1 Order Appointing Monitor](#) 

[Appendix B List of Impacted New York State Department of Health Licensed Adult Care Facilities or Residences for Adults in New York City subject to this RFP](#)

[Appendix C Groupings of Adult Homes](#)

[Appendix D Agency Transmittal Form](#)

[Appendix E Operating Budgets Year 1, 2 and 3](#)

[Appendix E1 Budget Narrative](#)

[Appendix F OMH Spending Plan Guidelines and Boiler Plate Contract Sample](#)

## 1 Introduction and Background

### 1.1 Purpose of the Request for Proposal

The New York State Office of Mental Health (OMH) announces this Request for Proposals (RFP) for the development of Supported Housing for up to 4,500 individuals residing in the New York City Adult Homes identified in Appendix B hereto and meeting the eligibility criteria set forth in Section 5.2 of this RFP.

This RFP is issued pursuant to a Remedial Order and Judgment entered by the United States District Court for the Eastern District on March 1, 2010 (Remedial Order) in an action known as *Disability Advocates, Inc. v. Paterson, et al.*, 03-CV-3209 (the Action) (Appendix A – Remedial Order and Judgment). Agencies selected pursuant to this RFP will be subject to additional reporting requirements and monitoring, including oversight by a court-appointed monitor, and will be required to cooperate fully with these requirements as specified by OMH.

This Remedial Order, as well as certain other decisions rendered by the District Court in the Action, is currently the subject of an appeal by the State. In the event that the Remedial Order or other order of the District Court rendered in the Action is reversed, modified or stayed, in whole or in part, whether as the result of a decision by an appellate court or by action taken by the District Court, OMH reserves the right, consistent with such court decisions, to take appropriate actions, including: (1) canceling existing contracts issued pursuant to this RFP on 90 days written notice to the agencies; (2) seeking no further funding for the contracts awarded pursuant to this RFP beyond funding for occupied units; (3) modifying existing contracts issued pursuant to this RFP; and/or (4) modifying the terms of any renewals of contracts that may be awarded pursuant to this RFP.

Agencies awarded the contracts will be required to maintain accurate reporting of all admissions and discharges through OMH's Child and Adult Integrated Reporting System (CAIRS) and comply with any court-ordered reporting requirements as described in Section 5.3 of this RFP, and any requirements OMH may subsequently develop to ensure compliance with the Remedial Order.

The District Court appointed a Court Monitor, Martha B. Knisley, to monitor compliance with the Court's Remedial Order (Appendix A1 – Order Appointing Monitor). To accomplish her duties, the Court Monitor may visit any Adult Home, observe relevant activities, review relevant records, and speak privately with any of the constituents of Disabilities Advocates, Inc. (DAI) and any Supported Housing agencies, treatment agencies and other service agencies under contract with, or licensed by, OMH, as well as review records of DAI's constituents who move to Supported Housing pursuant to the Remedial Order, to the extent those materials are relevant to the enforcement of the Remedial Order. Selected agencies must cooperate fully with all such activities and requests for information and/or records.

The 4,500 Supported Housing units will be developed by multiple contractors at a rate of up to 1,500 units per each of three phases. Each agency that successfully bids in response to this RFP and is awarded a contract will be authorized to provide in-reach and assessment and Supported Housing for a total number of units over all three phases, and will be allocated a certain portion of those units in each phase. As described in further detail herein, a contractor may not proceed with its allocation for the second or third phase unless it meets certain benchmarks for the prior phase and

receives OMH approval. Reallocations of authorized units may occur as set forth in Section 4.3.2. In addition to funding each unit of Supported Housing, the award will also generally fund for each of the three phases one clinician and one peer bridger staff position for every 50 units, calculated according to the contractor's allocation for the first phase, who will be responsible for conducting in-reach and assessment for all units awarded through each of the three phases.

OMH invites interested bidders to submit proposals to provide in-reach, assessment and Supported Housing for residents with mental illness who reside in the New York City Adult Homes identified in Appendix B of this RFP. OMH has developed eight groupings of Adult Homes (see Appendix C) based on the number of individuals with mental illness in each Adult Home, geographic proximity to other homes, and the desire to create manageable sized contracts. Bidders may apply to provide services to as many groups as desired but will be selected to serve no more than one group, except as provided in Sections 4.3.1 and 4.3.2.

## **1.2 Availability of the RFP**

The full RFP will be available on the OMH website and advertised through the NYS Contract Reporter. An announcement regarding the RFP will be e-mailed to all eligible agencies as defined in Section 2.6, as well as other organizations on OMH's current mailing list (i.e., mental health advocacy agencies, local government officials, and other not-for-profit organizations). Information about the RFP will be advertised through the Center for Urban Community Services, the Supportive Housing Network of New York, the Coalition of Behavioral Health Agencies, the Corporation for Supportive Housing, the Association for Community Living, and the OMH website (<http://www.omh.ny.gov/omhweb/rfp/>).

## **2 Proposal Submissions**

### **2.1 Letter of Intent**

Agencies interested in responding to the Request for Proposal are encouraged to submit a Letter of Intent to Bid to the OMH Central Office by 10-27-10. The Letter of Intent to Bid shall be non-binding.

Please mail the letter of intent to the Issuing Officer:

Susan Penn, Contract Management Specialist 2  
New York State Office of Mental Health  
Contracts and Claims  
44 Holland Avenue  
Albany, NY 12229  
**Attn: Letter of Intent**

### **2.2 Designated Contact/Issuing Officer**

OMH has assigned an Issuing Officer for this project pursuant to State Finance Law §§ 139-j and 139-k. The Issuing Officer or a designee shall be the sole point of contact regarding the RFP from the date of issuance of the RFP until the issuance of the Notice of Conditional Award. To avoid violating State Finance Law or being deemed non-responsive, a bidder is restricted from making contact with any other

personnel of OMH regarding the RFP. Certain findings of non-responsibility can result in rejection for a contract award. The Issuing Officer for this RFP is:

[Susan Penn](#), Contract Management Specialist 2  
New York State Office of Mental Health  
Contracts and Claims  
44 Holland Avenue  
Albany, NY 12229

### 2.3 Key Events/Timeline

RFP Release Date	10-13-10
Questions Due	10-29-10
Questions and Answers Posted on Website	11-5-10
Proposals Due	11-19-10
Anticipated Award Notification	1-8-11
Anticipated Contract Start Date	2-1-11

### 2.4 RFP Questions and Clarifications

All questions or requests for clarification concerning the RFP shall be submitted in writing to the Issuing Officer by fax at (518) 402-2529 or by [e-mail](#) by 10-29-10. The questions and official answers will be posted on the OMH website by 11-5-10 and will be limited to addressing only those questions submitted by the deadline. No questions will be answered by telephone or in person.

### 2.5 Addenda to Request for Proposals

It is the bidder's responsibility to periodically review the OMH website to learn of revisions or addendums to this RFP. Changes to the RFP will also be posted in the NYS Contract Reporter. No other notification will be given.

### 2.6 Eligible Agencies

Agencies eligible to respond to this RFP are: (1) not-for-profit agencies with 501(c)(3) incorporation that have experience providing housing and mental health support services to individuals with mental illness in New York City, and who receive funding from OMH or the New York City Department of Health and Mental Hygiene for those programs, or (2) a partnership of agencies meeting the criteria set forth in (1), with one agency designated as the lead. If a partnership is established, the agencies must develop a formal Memorandum of Understanding (MOU) demonstrating how collaboration will be achieved. The MOU must accompany the proposal at the time of submission. **Failure to include the MOU may result in disqualification for non-responsiveness.**

### 2.7 Disqualification Factors

Following the opening of bids, a preliminary review of all proposals will be conducted by the Issuing Officer or a designee to review each proposal's submission for completeness (as defined in Section 2.8) and verify that all eligibility criteria have been met. Proposals that do not meet basic participation standards will be disqualified, specifically:

- Proposals that do not comply with the RFP required format as defined in Section 2.8; and
- Proposals from current providers of OMH licensed programs that are in Tier III status.

## **2.8 Instructions for Bid Submission and Required Format**

Each proposal is required to contain:

1. Agency Transmittal Form (Appendix D);
2. Proposal Narrative;
3. Operating Budgets Year 1, 2 and 3 (Appendix E);
4. Budget Narrative (Appendix E1); and
5. Partnership MOU (if applicable).

The Proposal Narrative should be concise (no more than 30 pages, not including attachments). The Operating Budget and Budget Narrative (Appendix E and E1) are separate documents that appear in the RFP section of the OMH website and can be downloaded in Excel or PDF format. Bidders must NOT substitute their own budget format. **Failure to use the provided Operating Budget and Budget Narrative formats may result in disqualification for non-responsiveness.** Bidders must submit eight (8) signed copies of the full proposal package by mail or hand delivery to be received by close of business on 11-19-10. Bidders should allow a sufficient mail delivery period to ensure timely arrival of their proposals. Proposals cannot be submitted via e-mail or facsimile. Any proposal received after the deadline will be reviewed solely at the discretion of OMH.

## **2.9 Packaging of RFP Responses**

Proposals should be sealed in an envelope or box and sent to:

Susan Penn, Contract Management Specialist 2  
 New York State Office of Mental Health  
 Contracts and Claims  
 44 Holland Avenue  
 Albany, NY 12229  
**Attn: RFP Supported Housing for Adult Home Residents**

## **3 Administrative Information**

### **3.1 Term of Contracts**

Contracts will be written for a total period of five (5) years, with an initial period of one (1) year and four (4) annual renewals, dependent upon appropriated funding. OMH reserves the right to change the contract term for the first or second year so that it is more or less than 12 months in order to align the contract dates with OMH's New York City contract cycle (July 1 through June 30).

If an agency not previously awarded a contract as part of the original RFP evaluation is awarded beds through the reallocation process (see Section 4.3.2), the five (5) year contract term will commence on the award date. OMH reserves the right to change the first year's contract term, as stated above.

### **3.2 Reserved Rights**

OMH reserves the right to:

- Reject any or all proposals received in response to the RFP that are deemed non-responsive or do not meet the minimum requirements;
- Withdraw the RFP at anytime, at the agency's sole discretion;
- Make an award under the RFP in whole or in part;
- Disqualify a bidder whose conduct fails to conform to the requirements of the RFP;
- Seek clarifications of proposals for the purposes of assuring a full understanding of the responsiveness to the solicitation requirements;
- Use proposal information obtained through the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
- Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
- Prior to the bid opening, amend the RFP specifications to correct errors or oversight, supply additional information, or extend any of the scheduled dates or requirements and provide notification to potential bidders via the OMH website and the New York State (NYS) Contract Reporter;
- Eliminate any non-material specifications that cannot be complied with by all of the prospective bidders;
- Waive any requirements that are not material;
- Negotiate any aspect of the proposal in order to assure that the final agreement meets OMH objectives;
- Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
- Utilize any and all ideas submitted in the proposals received;
- Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 60 days from the bid opening;

- 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 a bidder's proposal and/or to determine a bidder's compliance with the requirements of the solicitation;
- Conduct a readiness review of each selected bidder prior to the execution of the contract as set forth in Section 4.4;
- Cancel or modify contracts due to the insufficiency of appropriations;
- Reallocate authorized or allocated units as set forth in Section 4.3.2; and
- Cancel or modify contracts or take other appropriate actions consistent with court decisions as set forth in Section 4.3.3.

### **3.3 Protests Related to the Solicitation Process**

Protests based on errors or omissions in the solicitation process, which are or should have been apparent prior to the deadline for receipt of all written questions for this RFP, must be filed prior to the deadline for questions. In the event that a bidder files a timely protest based on error or omission in the solicitation process, the Commissioner of OMH or his designee will review such protest and may, as appropriate, issue a written response or addendum to the RFP to be posted on the OMH website in the RFP section. Protests of an award decision must be filed within fifteen (15) business days after the notice of award. The Commissioner or his designee will review the matter and issue a written decision within twenty (20) business days of the receipt of a protest. All protests must be in writing and must clearly and fully state the legal and factual grounds for the protest and include all relevant documentation. The written documentation should clearly state reference to the RFP title and due date. Such protests must be submitted by mail to:

NYS Office of Mental Health  
 Commissioner Michael F. Hogan, Ph.D.  
 44 Holland Avenue  
 Albany, NY 12229

### **3.4 Debriefing**

OMH will issue award and non-award notifications to all bidders. Bidders that do not receive an award may request a debriefing in writing, regarding the reasons that their own proposal was not selected or disqualified, within 15 business days of the dated OMH notification letter. Written debriefing requests may be sent to the Designated Contact, as defined in Section 2.2 of this RFP.

## **4 Evaluation Factors for Awards**

### **4.1 Evaluation Criteria**

All proposals will be rated and ranked in order of highest score based on an evaluation of each bidder's written submission as well as OMH internal reviews.

The Evaluation will apply points in the following categories as defined in Section 5.5:

<b>Technical Evaluation</b>	
Population	10 points
In-Reach	25 points
Assessment	20 points
Housing Implementation	25 points
Agency Performance: <ul style="list-style-type: none"> <li>• Bidder's Narrative</li> <li>• OMH Internal Reviews</li> </ul>	10 points
<b>Financial Assessment</b>	10 points
<b>Total Proposal Points</b>	<b>100 points</b>

For a detailed description of evaluation criteria for the Technical Evaluation and the Financial Assessment components, see Section 5.5 (Proposal Narrative).

The OMH internal review will consist of an assessment of the bidder's organizational competency. This will include a review of the bidder's residential programs over the past two years to assess occupancy rates and admissions from priority populations.

#### 4.2 Method for Evaluating Proposals

All proposals will be assigned an identification number and logged into a database. Designated staff will review each proposal for completeness and verify that all eligibility criteria are met. A complete proposal shall include all required components as described in Section 2.8. If a proposal is not complete or does not meet the basic eligibility and participation standards as outlined in Sections 2.6 and 2.7, the proposal will be eliminated from further review. The agency will be notified of the rejection of its proposal within 10 working days.

Evaluation of proposals will be conducted in two parts: Technical Evaluation and Financial Assessment. OMH's evaluation committee, consisting of at least three evaluators, will review the technical portion of each proposal and compute a technical score. All of the technical scores for each bidder will then be added together and averaged to arrive at the final technical score. A financial score will be computed separately based on the operating budget and budget narrative submitted. The final technical and financial scores for each proposal will be added together resulting in a total score.

Evaluators of the Technical Evaluation component may then meet to provide clarity or clear any questions an evaluator has about a particular section of a proposal. Following any such discussion, evaluators may independently revise their original score in any section, and will note changes on the evaluation sheet. Once completed, final Technical Evaluation scores will then be recalculated, averaged, and applied to the final Financial Assessment score to arrive at final scores. Any proposal not receiving a minimum average score of 65 will be eliminated from consideration.

In case of a tie in the scoring process, the technical portion of the proposals that are tied will be re-scored by different evaluators and the ranking will be revised accordingly.

## 4.3 Process for Awarding Contracts

### 4.3.1 Initial Awards and Allocations

Awards of Supported Housing units (with accompanying in-reach staff) will be made in rank order of highest score to lowest passing score until all groupings have been awarded. One grouping per agency will be awarded in the following manner:

- The bidder with the highest score will be awarded its first grouping preference.
- The second highest scoring agency will be awarded its highest preferred grouping still available and so on until all groupings are awarded.

Awards will be granted based on availability of preferred groupings. Grouping preference will be given to only those bidders that indicated their order of preference on the Agency Transmittal Form (Appendix D). In the event all groupings are not awarded, OMH reserves the right to contact and offer un-awarded groupings, in order of ranked score, to bidders who already received a grouping award and also bid on the groups not awarded. In the event there are fewer than eight (8) bidders OMH reserves the right to offer a second grouping to one of the initial bidders in rank order.

While awards will authorize up to 4,500 units of Supported Housing, the funding for these units will be allocated in three phases. The first phase of the awards will consist of a maximum of 1,500 Supported Housing units in total, allocated among all contractors. The first phase begins on the effective date of the contract.

The second phase begins no earlier than May 11, 2011. OMH will approve a contractor to begin fulfilling its allocation for the second phase of the Supported Housing portion of its award, all or in part, beginning with the quarter following OMH's determination that the contractor has achieved an occupancy of at least 75 percent of the Supported Housing units allocated under the first phase of the contract and has met the goal of scattered site, integrated housing.

The third phase begins no earlier than May 11, 2012. OMH will approve a contractor to begin fulfilling its allocation for the third phase of the Supported Housing portion of its award, all or in part, beginning with the quarter following OMH's determination that the contractor has achieved 100 percent occupancy of the Supported Housing units allocated to it under the first phase and an occupancy of at least 75 percent of the Supported Housing units allocated under the second phase and has met the goal of scattered site, integrated housing.

### **4.3.2 Reallocation Process**

There are a number of factors that may result in some or all of the Supported Housing units allocated to one or more contractors being reallocated. A contractor will be provided notification if any or all of the units allocated to it are reallocated.

#### **(1) Contractor Performance**

Based on contractor performance (including, but not limited to, unit occupancy, pattern of refusal to accept eligible individuals, retention of tenants, cooperation with care coordination organization, compliance with reporting requirements, effective in-reach activities, success in meeting the goal of scattered site, integrated housing), OMH may reallocate a portion of allocated units or all of the authorized supported housing units to facilitate the timely transition of Adult Home residents into an apartment or to another setting of their choice, as required by the Remedial Order.

If a contractor does not meet the requirements set out in section 4.3.1 or other contractual requirements, the contractor's award may be reduced and reallocated to the highest scoring proposal of the original awardees or the highest non-award bidder in that Adult Home group, as indicated on the final award list and consistent with the specifications for award in the RFP, or may be rebid at the option of OMH. Both the Supported Housing units and appropriate proportional funding for in-reach and assessment services would be reallocated.

#### **(2) Changes due to Individual Choice or Resulting from Alternate Agency Assessments**

In order to promote individual choice of location and facilitate the movement of individuals into apartments near family members, friends or other supports, to address desired additional agency assessments as recommended by OMH, or to facilitate the movement of individuals deemed ineligible by another agency pursuant to Section 5.2, units may be reallocated. Any reallocation of Supported Housing units and funding from a successful bidder will be based on the placement of individuals from their Adult Home grouping into a Supported Housing unit operated by another successful bidder of this RFP in New York City. This could also result in the further reallocation of units and funding of individuals into units of Supported Housing operated by providers which are located outside the City of New York and authorization and funding will be reallocated back to the original contractor if the unit is subsequently vacated by the former Adult Home resident.

#### **(3) Changes in the Number and/or Location of Eligible Adult Home Residents**

If the number and/or location of eligible Adult Home residents with mental illness changes for a grouping, the contractors' awards and allocations may be reallocated, or rebid at the option of OMH. This reallocation to an alternative grouping will be made to the bidder who received the award for that grouping, as indicated on the final award list and consistent with the specifications for award in the RFP.

#### **(4) Changes Due to Court Action**

Reallocations may be made in response to court decisions, as set forth in Section 4.3.3.

### **4.3.3 Court Related Changes to Awards**

The Remedial Order and Judgment, as well as certain other decisions rendered by the District Court in the Action, are currently the subject of an appeal by the State. In the event that the Remedial Order or other order of the District Court rendered in the Action is reversed, modified or stayed, in whole or in part, whether as a result of a decision by an appellate court or by action taken by the District Court, OMH reserves the right, consistent with such court decisions, to take appropriate actions, including: (1) canceling existing contracts issued pursuant to this RFP on 90 days written notice to the agencies; (2) seeking no further funding for the contracts awarded pursuant to this RFP beyond funding for occupied units; (3) modifying existing contracts issued pursuant to this RFP; and/or (4) modifying the terms of any renewals of contracts that may be awarded pursuant to this RFP.

### **4.4 Award Notification**

At the conclusion of the procurement, notification will be sent to all successful and non-successful bidders. All awards are subject to approval by the NYS Attorney General and the Office of State Comptroller before an operating contract can be finalized.

OMH reserves the right to conduct a readiness review of the selected bidder prior to the execution of the contract. The purpose of this review is to verify that the bidder is able to comply with all participation standards and meets the conditions detailed in its proposal.

Upon receipt of an approved fully executed contract from NYS, contractors can begin in-reach and assessment in the designated Adult Homes and locate apartments appropriate for Supported Housing.

## **5 Scope of Work**

### **5.1 Introduction**

This RFP is issued to provide rental assistance, Supported Housing services, and two staff positions to provide in-reach and clinical assessment services for up to 4,500 individuals meeting eligibility criteria as Adult Home residents (defined below in Section 5.2 under Objectives and Responsibilities), and who reside in the New York City Adult Homes identified in Appendix B of this RFP. Agencies will be selected to develop housing units within the five boroughs of New York City.

Housing units cannot be filled by anyone other than an individual coming directly from an Adult Home listed in Appendix B. OMH intends to award up to 4,500 units of Supported Housing, in three phases of up to 1,500 units per phase.

## 5.2 Objectives and Responsibilities

The housing and services developed through this RFP are designed for residents of Adult Homes meeting the following eligibility criteria:

- Individual adults aged 18 and older who have a mental illness, and
- Are living in one of the 28 New York State Department of Health Licensed Adult Care Facilities or Residences for Adults (Appendix B) located within the four identified counties of New York City.

The following characteristics of Adult Home residents do not meet the eligibility criteria for placement into OMH Supported Housing:

- Severe dementia, or
- A high level of skilled nursing needs that cannot be met in Supported Housing with services provided by Medicaid home care or waiver service, or
- Likely to cause imminent danger to themselves or others.

The determination of whether such a condition exists shall be made by the agencies awarded contracts to develop Supported Housing and conduct in-reach. If such a condition is found to exist, the individual may still be deemed qualified for Supported Housing if the agency determines, after further assessment and subject to the concurrence of OMH that the individual could be served successfully in Supported Housing. Contractors will provide the necessary documentation for OMH (or its designee) to review such cases where the agency finds a disqualifying characteristic but nevertheless believes the individual should be deemed qualified.

In the event an individual is deemed ineligible for Supported Housing, the contractor must document reasons why the individual is ineligible and provide the individual with documentation of this initial ineligibility determination, inform the individual that OMH or its designee will conduct a second review of the determination. If OMH or its designee confirms this ineligibility the individual will be notified of this determination. If the reason for ineligibility has potential for change, the agency will review eligibility at appropriate intervals and continue to assess for a change in eligibility. If after review by OMH or its designee, an individual is deemed eligible, then the contractor will be asked to re-review the case; if this individual is still not accepted by the contractor, another contractor receiving an award through this RFP will be asked to review the circumstances and assist the individual in moving to an apartment. This could result in a reallocation of units between contractors (see Section 4.3.2).

Supported Housing is “extended stay/long term” housing. Adult Home residents who move to Supported Housing will have access to the array and intensity of services and supports designed to enable them to successfully transition to and live in Supported Housing. Residents of Supported Housing can remain in this housing as long as their clinical and financial circumstances render them eligible and allow them to meet their responsibilities as a tenant. Supported Housing is not lost during acute hospitalization (90 days or less) and there are no program attendance requirements. Residents of Supported Housing are tenants and will have the same rights and responsibilities as any other tenants in New York City.

Supported Housing provides affordable, independent housing and access to community based support services based on the needs and desires of the resident. Residents of Supported Housing may be able to live in the community with a minimum of staff intervention from the contract agency. Others may need the provision of additional supports, such as an Assertive Community Treatment (ACT) team, Targeted Case Management (TCM), home health aide, personal care and/or nursing services for their physical health needs. Some residents may be coping with co-occurring substance abuse disorders and be at various stages of recovery.

The Supported Housing opportunities which will be offered to Adult Home residents through this RFP will be immediately attractive to some. Others may express reluctance, apprehension or anxiety. The ultimate decision whether to move will be up to each individual. The District Court has found that many Adult Home residents have developed a reliance on the on-site Adult Home-related supports and, as a result, may require significant engagement and support in order to feel ready to make the decision to transition to an apartment.

The Supported Housing units available through this RFP are designated only for individuals meeting eligibility criteria as described in Section 5.2 of this RFP. These units cannot be filled by anyone other than an individual coming directly from an Adult Home located in one of the eight groupings.

Contractors will be required, as directed by OMH, to do the following in-reach and assessment activities:

- Conduct frequent and effective in-reach into the Adult Homes, thus developing relationships with Adult Home residents to build trust and actively support these individuals in moving to Supported Housing;
- Assess the residents' interest in Supported Housing;
- Determine that the resident meets eligibility criteria for Supported Housing as specified in Section 5.2 of this RFP (no application for New York City Supportive Housing through the New York City Human Resources Administration or Single Point of Access is necessary to be eligible for Supported Housing under this RFP);
- Assess residents' psychiatric and physical health needs;
- Explain fully the benefits and financial aspects of Supported Housing;
- Facilitate and accompany Adult Home residents on visits to Supported Housing apartments;
- Explore and address the concerns of any Adult Home resident who declines the opportunity to move to Supported Housing or is ambivalent about moving to Supported Housing, despite being qualified for such housing;
- Review the Adult Home residents' housing preferences with reasonable regularity;
- Identify the services each eligible individual needs to successfully transition to and live in Supported Housing and, when necessary, arrange for the

individual to timely receive these services by making referrals to a care coordination organization;

- Employ a peer bridger staff to assist in the above activities, as appropriate;
- Employ a professional clinical staff to provide in-reach and assessment services;
- Assist individuals who have been identified as meeting eligibility criteria and who express a desire to move somewhere other than Supported Housing with fulfilling this goal;
- Attend training as specified by OMH. Training will include guidance on how to provide effective in-reach and assessment services to the Adult Home population.

Contractors must maintain documentation of all in-reach, assessment activities and referrals made to these Supported Housing units. Documentation must also be maintained on all referrals made to other agencies in cases where individuals have been referred to another housing agency or housing arrangement. The rationale for referrals not accepted by the program must be maintained and reported to OMH or its designee, within a week of referral not being accepted. The Adult Home resident must also be notified of the decision. Documentation on reasons Adult Home residents may choose not to move and agency in-reach efforts to overcome concerns regarding moving must be maintained. Contractors must maintain documentation of their activities in the manner required by OMH.

Contractors must comply with reporting requirements as set forth in Section 5.3. Contractors will assess individuals in Adult Homes who express an interest in moving to Supported Housing to determine eligibility for Supported Housing and what support services they would need to live successfully in Supported Housing. It is expected that individuals who express an interest in moving to Supported Housing will have a range of support needs. For example, some will need only treatment service through a clinic or private practitioner, while others may need a case manager, ACT services or home health care.

Services provided by the contractor will vary, depending upon the needs of the resident. Supported Housing staff will encourage and assist residents to develop natural community supports, use community resources and pursue an individualized path towards recovery in securing necessary supports. Staff will help the individual to establish a household and facilitate the resolution of landlord-tenant issues. It is expected that the need for services provided by the contractor and other agencies will decrease over time as the residents progress with their rehabilitation.

When possible, tenants should hold their own leases. Renting studio, one-bedroom and two-bedroom apartments scattered throughout the community is the norm. In instances where roommates are involved, the agency must facilitate cooperative arrangements on bill payments, division of household responsibilities and other matters.

Supported Housing is scattered site, integrated housing, the goal of which is to provide individuals with a setting in which they live in their own apartments and are enabled to interact with nondisabled persons to the fullest extent possible, and which

consists of rental apartments scattered among various buildings throughout a community.

There is no capital funding associated with this initiative to purchase or renovate an existing apartment building.

A contractor may use other government funding or agency funds to purchase and/or renovate a building. In this instance, contractors must be able to document that funding is adequate to pay the debt service, ongoing building maintenance and repairs. **Contractors must consult with the OMH New York City Field Office Housing Unit before purchasing a site or entering into a long-term lease.**

Supported Housing funding provides for rent stipends, Supported Housing services and a contingency fund as specified in the Supported Housing Guidelines. There are no OMH licensing requirements. Contractors must comply with the OMH Supported Housing Guidelines with the exception of the eligibility criteria. Refer to eligibility criteria as specified in Section 5.2 of this RFP. A copy of the OMH Supported Housing Guidelines is posted on OMH's website at <http://www.omh.ny.gov/omhweb/adults/SupportedHousing/SupportedHousingGuidelines.html> and should be reviewed prior to responding to the RFP.

In addition, all buildings in which apartments are located must have a valid Certificate of Occupancy. The OMH New York City Field Office monitors Supported Housing and conducts site visits to review compliance with the Guidelines.

### **5.3 Reporting Requirements**

Agencies that receive an allocation of housing resources under this RFP must agree to ensure that these units will only be filled with individuals residing in Adult Homes who meet the eligibility criteria.

Agencies must conform to all OMH fiscal reporting requirements as outlined in the "Aid to Localities Spending Plan Guidelines." These guidelines are available on the Internet at <http://www.omh.ny.gov/omhweb/spguidelines/selectcontract.asp>.

All OMH residential agencies are contractually required to maintain accurate reporting of all admissions and discharges through CAIRS.

In addition, agencies awarded contract(s) under this RFP will be required to comply with any reporting requirements mandated by the Court or requested by the Court Monitor and any requirements the OMH may subsequently develop to ensure compliance with orders of the court or requests of the Court Monitor. At a minimum, selected agencies must document, maintain and aggregate at periodic intervals, as determined by OMH, the following: (a) the number of Adult Home residents who have been offered Supported Housing, (b) the number of Adult Home residents who have accepted Supported Housing, (c) the number of Adult Home residents who have been determined to be unqualified for Supported Housing and the reasons for such determinations, (d) the reasons why Adult Home residents, if any, declined Supported Housing; (e) in-reach efforts; and (f) data related to the contractor's success in meeting the goal of scattered site, integrated housing. All agencies will be subject to OMH monitoring visits and must operate in accordance with the OMH Supported Housing Guidelines with the exception of eligibility criteria. Refer to eligibility criteria as specified in Section 5.2 of this RFP.

## **5.4 Operating Funding**

Funding for scattered site Supported Housing is a combination of client rent payments and OMH funds. Residents of Supported Housing are required to pay 30 percent of their income for rent and reasonable utilities. Contractors will receive annual funding for units developed under this initiative through an OMH contract at the current New York City Supported Housing stipend (currently \$14,654 per unit). This funding is for rent stipends, Supported Housing services and contingency funds, as specified in the Supported Housing Guidelines.

Each contractor will be authorized to develop a total number of Supported Housing units over three phases, with a specific allocation of units specified for each of three phases as set forth in Section 4.3.1. Units may be reallocated as specified in Section 4.3.2. A contractor will not receive funding for units reallocated to another contractor.

In addition, funding for professional clinical staff and peer bridger staff will be provided based on the first phase unit allocation (see Appendix C). Each contractor will be expected to provide a minimum of one professional clinical level staff and one peer bridger per every 50 units, at a funded amount of \$150,000. This funding will continue for the remaining two phases. Should units be reallocated, funding for these staff will be reassessed based on proportional changes in allocations.

In addition to enhanced staffing for in-reach and assessment, it is expected contractors will use a portion of the Supported Housing funds to enhance the initial in-reach and assessment functions.

## **5.5 Proposal Narrative**

When submitting proposals for funding under this RFP the narrative must address all of the components listed below, in the following order:

### **5.5.1 Population**

1. State your agency's commitment to serve the target population as described in Section 5.2. State your agency's commitment to filling these units in coordination with the referrals for the specified services assessed during in-reach. As a result of the assessments, the Supported Housing agency will make referrals, when necessary, for the support services to a care coordination organization.
2. Describe in narrative form your agency's knowledge of the characteristics of the Adult Home population to be served.
3. Describe in narrative form your agency's knowledge of the service needs of the population to be served.

### **5.5.2 In-reach**

1. Describe how frequent contact and effective in-reach to Adult Home residents will be provided.
2. Describe the strategies your agency will use during initial and subsequent in-reach to engage the Adult Home administration and staff.
3. Describe the strategies your agency will use during initial and subsequent in-reach to engage the Adult Home residents, including an awareness of various cultural needs within the adult home population.
4. Describe how trust will be built with Adult Home residents.
5. Describe how residents are encouraged to be actively involved in the in-reach process.
6. Describe motivational approaches you will use to address resident anxieties, ambivalence or fears regarding moving.
7. Describe the process that will be implemented to:
  - Determine individuals' interest in Supported Housing;
  - Determine individuals' eligibility and ability to move into Supported Housing; and
  - Engage with those who decline the opportunity to move to Supported Housing or are ambivalent about moving to Supported Housing, despite being qualified for such housing.
8. Describe how your agency works with family members when appropriate.
9. Describe the staffing plan for the in-reach and assessment team that will be working in the Adult Homes, including the peer bridger and professional clinical staff. In addition, describe how your agency intends on using a portion of the Supported Housing funds to enhance the initial in-reach and assessment functions.
10. Describe the roles and responsibilities of each staff member of the in-reach and assessment team. Indicate the skills and experience each staff member will be expected to have. Describe initial and ongoing staff training and supervision.

### **5.5.3 Assessment**

1. Describe the capacity and experience of your agency to conduct treatment and support assessments. It is recommended that you attach a copy of the assessment form your agency will use.
2. Describe in some detail the process you will follow to make the treatment and support services need determinations for mental health and medical health needs. It is expected that individuals who express an interest in

moving to Supported Housing will have a range of treatment and support needs. For example, some will need just treatment services through a clinic or private practitioner; others may need a case manager, ACT, or home health care.

3. Describe how the above assessment determinations will be documented and, when an individual is assessed as needing Medicaid-funded services, how medical necessity for those services will be determined and documented.
4. Describe the development of a person-centered, strengths-based support plan. Attach a copy of a sample support plan.
5. Describe how your agency coordinates care for the physical health needs of individuals.
6. Describe the services that will be provided directly through this Supported Housing award. Identify community-based resources that will be made available to residents through referrals and/or linkage agreements. Indicate how these services support the resident's recovery process.
7. Explain how the Supported Housing staff, including the peer bridger and clinical staff, will fully explain the benefits and financial aspects of Supported Housing and accompany Adult Home residents on visits to Supported Housing apartments.

#### **5.5.4 Housing Implementation**

1. Provide acknowledgment of your agency's understanding that the only exclusionary criteria are stated under Section 5.2 of this RFP. Current treatment modalities and research indicate that length of sobriety is a poor indicator of an individual's suitability for, or success in, housing programs. An Adult Home resident cannot be excluded from Supported Housing due to a lack of sobriety unless it causes or contributes to a determination of ineligibility under Section 5.2.
2. Provide assurance that the agency will maintain documentation on all referrals, including those not accepted into the program and why. This information must be shared at periodic intervals as determined by OMH.
3. Describe your agency's capacity and approach to finding apartments for and successfully relocating a significant number of Adult Home residents, for example, 150-200 individuals per year, in the geographic area covered by each of the groups you bid.
4. Describe your agency's current staffing plan (including peers) and organizational and supervisory structures. Depending upon the groupings from Appendix C, describe the number of additional staff you will add should you receive an award and your approach to incorporating the new staff into your existing staffing plan and organizational and supervisory structures.
5. Describe your agency's current quality assurance program/policies. Depending upon the size and scope of the groupings from Appendix C

that your agency is bidding on, describe what modifications will be necessary to ensure that the additional staff will receive quality supervision. Also describe how quality will be monitored for each of the required elements listed in the RFP, including: in-reach and assessment; reporting requirements; monitoring access to services; quality of residents living environment and well being of residents who have moved into their own apartments.

6. Provide your agency's timeline required to identify and assess potential tenants, secure a lease, and move individuals into said apartment(s), while continuing to provide on-going in-reach to Adult Home residents.
7. Explain resident's choice related to selecting an apartment and household furnishings. If an individual chooses to have a roommate, explain how residents will be "matched" and how roommate interpersonal relations will be handled.
8. Supported Housing is considered "extended stay/long term." Describe how this key principle will be reflected in the development and on-going operation of Supported Housing.
9. Describe how the agency will meet the goal of scattered site, integrated housing.
10. Include the agency's policy regarding the resident's desire to reunite with children and/or live with a spouse, significant other or roommate of his/her choosing while residing in Supported Housing.
11. Explain the lease arrangement. Attach a copy of the proposed lease or sublease agreement. Leases and/or rental agreements must be compatible with the OMH Supported Housing Guidelines (see Section 5.2).
12. Describe the range of interventions your agency will use to prevent someone from losing their housing.
13. Attach the grievance procedure that will be provided to residents of Supported Housing.
14. Explain how residents are empowered to provide input into Supported Housing practice on a formal and informal basis.
15. Explain the process for handling client emergencies after hours and on weekends.
16. Describe what services and supports your agency will implement to assist individuals during the initial transitional phase when moving out of the Adult Home and into apartments.

### 5.5.5 Agency Performance

1. Describe the agency's experience and approach in providing recovery-oriented housing and/or mental health services to persons with mental illness, including helping these individuals achieve their rehabilitation and recovery goals.
2. Current licensed OMH housing agencies must note their agency's ability to target OMH priority populations, average length of stay and ability to transition individuals into independent housing. OMH Supported Housing agencies should indicate occupancy levels and ability to accept OMH priority populations. Base your response on the most recently published Residential Program Indicators Report. Also, please note that agencies will be evaluated on the timeliness of CAIRS reporting.

**Note:** The OMH internal review will consist of an assessment of the bidder's organizational competency. This will include a review of the bidder's residential programs over the past two years to assess occupancy rates and admissions from priority populations.

3. Describe how your agency intends to comply with the reporting requirements of the Remedial Order and any additional reporting requirements as determined by OMH (see Section 5.3).

### 5.5.6 Financial Assessment

1. Describe how client and, when applicable, non-client rent will be calculated. Explain how your agency plans to utilize contingency funds. Highlight other sources of funding, if any. Describe how your agency manages its operating budget.
2. Attach an operational budget for each of the first three years of the contract. Include start-up costs in year 1 of the budget and assume a full year of operating funds (see Appendix E). The start-up should include the amount needed for the establishment of the units, including cost of staffing, broker fees, security deposits, furniture, moving expenses and other expenses. Show sources of income including client "rent" and OMH funding. Bidders should list staff by position, full-time equivalence (FTE), and salary.
3. Bidders must complete a Budget Narrative which should include the following:
  - detailed expense components that make up the total operating expenses;
  - the calculation or logic that supports the budgeted value of each category;
  - description of how your salaries are adequate to attract and retain qualified employees; and
  - a description of how your apartment rental assumptions are calculated

within the geographic area in which they are located.

Use the Operating Budgets Year 1, 2 and 3 (Appendix E) and the Budget Narrative (Appendix E1) to submit with your proposal. The Operating Budgets Year 1, 2 and 3 (Appendix E) is a separate document on the RFP section of the OMH website and can be downloaded in PDF format. Do **not** substitute your own budget format. **Failure to complete the Operating Budget using the correct form may be cause to reject your proposal for non-responsiveness.**