



**Apartment Treatment Housing for Adults
with Serious Mental Illness**

Request for Proposals

**Hutchings and Buffalo Psychiatric Center
Catchment Areas**

Grant Procurements

(On-Line Submission Required)

January 25, 2018

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1. Introduction and Background

1.1 Purpose of the Request for Proposal

The New York State Office of Mental Health (OMH) is committed to investing in community-based services that will reduce the demand for services and long lengths of stay in inpatient settings. Based on continuing identification of the need for additional residential opportunities to support this mission, NYS OMH is announcing this Request for Proposals (RFP) for the development and operation of up to 56 Apartment Treatment (TAP) housing units, including seven (7) in the Hutchings Psychiatric Center catchment area, and 49 in the Buffalo Psychiatric Center catchment area, for individuals with a serious mental illness who meet one of the following criteria:

- Individuals with a serious mental illness who are being discharged from State Psychiatric Centers (PCs) or State PC residential programs,
- Individuals with a serious mental illness who are being discharged from an Article 28 hospital or Article 31 hospital and in need of Apartment Treatment Housing or for whom housing would assist in a state hospital diversion from a State PC,
- Individuals with a serious mental illness residing in the region who have a serious mental illness and who are high users of Medicaid Services and referred by Health Homes,
- Individuals with a serious mental illness who are current residents of Community Residences operated by a voluntary provider agency, prioritizing individuals that have a Length of Stay (LOS) greater than two (2) years,
- Individuals, 18 years or older, with a serious mental illness who are being discharged from a Residential Treatment Facility, OR
- Individuals with a serious mental illness who are currently homeless or residing in a shelter.

Up to Six (6) awards of Apartment Treatment housing units will be made available as follows:

Group #1 – Seven (7) units designated for Hutchings Psychiatric Center Catchment Region, to be located in Oneida County

Group #2 and #3 – 39 units designated for Buffalo Psychiatric Center Catchment Region, to be located in Erie County. These units would be divided into 20 and 19 units for Group #2 and #3, respectively.

Group #4 – Two (2) units designated for Buffalo Psychiatric Center Catchment Region, to be located in Niagara County

Group #5 – Two (2) units designated for Buffalo Psychiatric Center Catchment

Region, to be located in Cattaraugus County

Group #6 – Six (6) units designated for Buffalo Psychiatric Center Catchment Region, to be located in Chautauqua County

2. Proposal Submissions

2.1 Designated Contact/Issuing Officer

OMH has assigned an Issuing Officer for this project. 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 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:

[Carol Swiderski](#)
Contract Management Specialist 2 New
York State Office of Mental Health
Contracts and Claims
7th Floor
44 Holland Avenue
Albany, NY 12229

2.2 Key Events/Timeline

RFP Release Date	01/25/18
Questions Due	02/09/18
Questions and Answers Posted on Website	02/23/18
Proposals Due by 4:00:00 p.m. Eastern Time (ET)	03/23/18
Anticipated Award Notification	04/16/18
Anticipated Contract Date	07/01/18

2.3 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 email at Carol.Swiderski@omh.ny.gov by the “Questions Due” date indicated in 2.2.

The questions and official answers will be posted on the OMH website as well as an upload in the Grants Gateway by the “Questions and Answers Posted on Website” date indicated in 2.2 and will be limited to addressing only those questions submitted by the deadline. No questions will be answered by telephone or in person.

2.4 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.

2.5 Eligible Agencies

Eligible applicants are not-for-profit agencies with 501(c) (3) incorporation that have an OMH Licensed Apartment Treatment Program in one or more of the counties in which beds are being made available under this RFP and wish to expand that program or programs.

If unsure if your agency is an eligible applicant, contact the Issuing Officer identified in Section 2.1.

2.6 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 and verify that all eligibility criteria have been met. Proposals that do not meet basic participation standards will be disqualified, specifically:

- Proposals from applicants that do not meet the eligibility criteria as outlined in 2.5; or
- Proposals that do not comply with bid submission and/or required format instructions as specified in 2.9; or
- Proposals from eligible not-for-profit applicants who have not completed Vendor Prequalification, as described in 2.7, by the "Proposals Due" date indicated in 2.2.

2.7 Grants Gateway Requirement

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the [Vendor Prequalification process](#) in order for proposals to be evaluated and any resulting contracts executed.

Proposals received from eligible not-for-profit applicants who have not been Prequalified by the "Proposals Due" date indicated in 2.2 cannot be evaluated; therefore, such proposals will be disqualified from further consideration.

2.8 Executive Order #38

Pursuant to Executive Order #38 (<http://governor.ny.gov/executiveorder/38>), dated January 18, 2012, OMH promulgated regulations regarding limits on administrative costs of and executive compensation paid by covered providers. See 14 NYCRR Part 513. Any contract awarded through this RFP will be subject to such restrictions and to related requirements. See OMH Master Contract Forms



and Instructions, Attachment A-1, section A.12 (Mental Health Regulations). See also <http://executiveorder38.ny.gov/>.

2.9 Instructions for Bid Submission and Required Format

Proposal Submission Process

All applicants must be registered with the New York State Grants Gateway System (GGS) and all Not-for-Profit agencies must be prequalified prior to proposal submission.

If you are not already registered:

Register with the Grants Gateway

[Registration forms:](#)

- Include your SFS Vendor ID on the form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the website).
- All registration must include an Organization Chart in order to be processed. When you receive your login information, log in and change your password.

If you are an applicant, and have problems complying with this provision, please contact the GGS help desk by email at grantsgateway@its.ny.gov -- or -- by telephone: (518) 474-5595.

How to Submit a Proposal

Proposals must be submitted online via the Grants Gateway by the date and time indicated in 2.3. Tutorials (training videos) for use of the [Grants Gateway](#) (and upon user log in):

To apply, log into the Grants Gateway as a Grantee, Grantee Contract Signatory, or Grantee System Administrator and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name provided on the cover page of this RFP, select the Office of Mental Health as the Funding Agency and hit the Search button. Click on the name of the Grant Opportunity from the search results grid and then click on the APPLY FOR GRANT OPPORTUNITY button located at the bottom left of the Main page of the Grant Opportunity.

In order to access the online proposal and other required documents such as the attachments, you MUST be registered and logged into the NYS Grants Gateway system in the user role of either a “Grantee” or a “Grantee Contract Signatory”.

For further information on how to apply, please access the Grantee Quick Start Guide under the Pre-Submission Upload Properties for this opportunity.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the [Grants Reform website](#): and select the “Grantee Quick Start Guide” from the menu.

There is a more detailed “Grantee User Guide” available on this page as well. Late proposals will not be accepted. Proposals will not be accepted via fax, e-mail, hard copy or hand delivery.

Helpful Links

Some helpful links for questions of a technical nature are below.

<http://www.grantsreform.ny.gov/grantees>

Grants Reform Videos (includes a document vault tutorial and an application tutorial) on YouTube:

<http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>

(Technical questions)

Grants Team Email: grantsgateway@its.ny.gov or by phone at 518-474-5595

2.10 Minority and Women Owned Business Enterprises

OMH recognizes its obligation to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (“MWBEs”) and the employment of minority group members and women in the performance of OMH contracts. In accordance with New York State Executive Law Article 15-A, OMH hereby establishes a 16% goal for Minority-owned Business Enterprise (“MBE”) participation, a 14% goal for Women-owned Business Enterprise (“WBE”) participation, and a 6% goal for Service-Disabled Veteran-owned Business Enterprises (“SDVOB”) participation on any award resulting from this solicitation in excess of \$25,000 for commodities and services or \$100,000 for construction.

With respect to MWBEs, each award recipient must document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project to be described in each grant disbursement agreement, and must agree that OMH may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how OMH will determine a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8.

In accordance with 5 NYCRR § 142.13, each award recipient acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth herein and in its grant disbursement agreement, such finding constitutes a breach of contract and OMH may withhold payment from the award recipient as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the award recipient achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the grant disbursement agreement.

By submitting an application, an Applicant agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof in such form as OMH shall require.

Additionally, an Applicant may be required to submit the following documents and information as evidence of compliance with the foregoing:

A. An MWBE Utilization Plan, which shall be submitted in conjunction with the execution of the grant disbursement agreement except as otherwise

authorized by OMH. Any modifications or changes to the MWBE Utilization Plan after the execution of the grant disbursement agreement must be reported on a revised MWBE Utilization Plan and submitted to OMH.

OMH will review the submitted MWBE Utilization Plan and advise the award recipient of OMH acceptance or issue a notice of deficiency within 30 days of receipt.

B. If a notice of deficiency is issued, the award recipient will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OMH, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OMH to be inadequate, OMH shall notify the award recipient and direct the award recipient to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OMH may refuse to enter into a grant disbursement agreement, or terminate an existing grant disbursement agreement resulting from this solicitation, under the following circumstances:

- a) If an award recipient fails to submit a MWBE Utilization Plan;
- b) If an award recipient fails to submit a written remedy to a notice of deficiency;
- c) If an award recipient fails to submit a request for a waiver; or
- d) If OMH determines that the award recipient has failed to document good faith efforts.

The award recipient will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the project. Requests for a partial or total waiver of established goal requirements may be made at any time during the term of the project, but must be made no later than prior to the submission of a request for final payment under the grant disbursement agreement.

Each award recipient will be required to submit a Quarterly M/WBE Contractor Compliance & Payment Report to OMH over the term of the project, in such form and at such time as OMH shall require, documenting the progress made toward achievement of the MWBE goals established for the project.

With respect to SDVOBs, information about SDVOB certification and set asides for SDVOB participation in public procurement can be found at:

<http://www.ogs.ny.gov/Core/SDVOBA.asp>, which provides information about SDVOB certification and guidance for State agencies in making determinations and administering set asides for procurements from SDVOBs.

Contractor agrees, to the maximum extent practical and consistent with legal requirements of the State Finance Law, the Executive Law and any implementing regulations, to use NYS certified Service-Disabled Veteran-Owned Business Enterprises (SDVOBs) in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Contractor acknowledges being subject to the provisions of Executive Law Article 17-B and the applicable regulations (9 NYCRR Part 252), and that the directory of NYS certified SDVOBs is located at: http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf. Contractor acknowledges that the SDVOB utilization goal for this Agreement is 6%. Contractor further acknowledges that this requirement is separate and distinct from the similar requirement to utilize small, and minority and women-owned businesses

(M/WBEs), consistent with current State law (Executive Law, Article 15-A).

2.11 Equal Employment Opportunity

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form # 4, to the State Contracting Agency with their bid or proposal. To ensure compliance with this Section, the Bidder will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan (Form # to be supplied during contracting process) identifying the anticipated work force to be utilized on the Contract. If awarded a Contract, Contractor shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by the Contracting State Agency on a monthly or quarterly basis during the term of the contract. Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest. Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

3. Administrative Information

3.1 Term of Contracts

Each contract will be written for a total period of five (5) years, 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 the applicable OMH contract cycle.

3.2 Reserved Rights

NYS 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 any time, 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 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;
- 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;
- 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.

3.3 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 disqualified or not selected, within 15 business days of the dated OMH notification letter. Written debriefing requests may be sent to the designated contact, as defined in section 2.1 of this RFP.

3.4 Protests Related to the Solicitation Process

Protests of an award decision must be filed within twenty (20) business days after the notice of award or within 5 business days following the date of a debriefing meeting. The Commissioner or her 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:

**New York State Office of Mental Health
 Commissioner Ann Marie T. Sullivan, M.D.
 44 Holland Avenue
 Albany, NY 12229**

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:

Technical Evaluation	
Population	25 points
Housing Implementation	35 points
Agency Performance: • Bidder’s Narrative • OMH Internal Reviews	20 points
Financial Assessment	20 points
Total Proposal Points	100 points

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

Designated staff will review each proposal for completeness and verify that all eligibility criteria are met. If a proposal does not include all required uploads or does not meet the basic eligibility and participation standards as outlined in sections 2.6, 2.7 and 2.8, the proposal will be eliminated from further review. The agency will be notified of the disqualification of its proposal within 10 working days of the proposal due date.

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 proposal 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. Any proposal not receiving a minimum average score of 65 will be eliminated from consideration.

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. In case of a tie in the scoring process, the agency that scored highest in the category of agency performance will receive the award. Secondly, if the score is tied in the category of agency performance, the award will go to the agency with the highest score in housing implementation.

4.3 Process for Awarding Contracts

4.3.1 Initial Awards and Allocations

An agency may submit a proposal for one or more Groups (as described in 1.1). However, in the interest of spreading resources as broadly as possible, no one agency will initially be awarded more than two groups, and Groups #2 and #3 (Erie County) will not be awarded to the same agency.

If any agency is bidding on more than one group, indicate the order of preference on the agency transmittal form (Appendix A). Use a scale from 1 to 6, (with 1 indicating the highest preference).

The agency with the highest score will be given its first preference, the agency with the next highest score will be given its first available preference and so on.

In the event of a tie score between two proposals, the agency with the highest score on the Housing Implementation section will receive the higher ranking. Agencies must indicate, on the provider agency transmittal form (Appendix A), order of preference of the groupings for which they are bidding. Use a scale of 1 up to 6 (with 1 indicating the highest preference), to indicate preference.

In the event all groupings are not awarded, OMH reserves the right to contact and offer, in order of ranked score, the agencies who received an award and also bid on the groups not awarded. Such contact will allow OMH to determine the interest in the agency accepting an additional grouping so that all groupings are awarded. Selection is based on interest from the highest bidder to the lowest bidder. If no agency bids on a specific group, OMH reserves the right to contact and offer the group to another agency, in order of ranked score.

It should be noted that although groupings are developed by Psychiatric

Center catchment regions, residents may prefer to reside in a different county than the one they reside in currently. Providers are strongly encouraged, whenever possible, to accommodate an individual's geographic choice and/or desire to be reunited with family or friends, or to move with or near a friend.

4.3.2 Reallocation Process

There are factors that may result in these units being reallocated. This includes, but is not limited to, failure to complete contractual agreements in the RFP. A contractor will be provided notification if any or all of the units allocated to it are reallocated.

To reallocate a grouping, OMH will go to the next highest ranked proposal that did not get an initial award and bid on the group. If the agency does not accept the award, OMH will work its way down the list. In the event that none of the agencies who initially didn't receive an award accept, OMH will go back to the top of the list in rank order to offer the units, providing that the agency is in compliance with the conditions of this RFP.

4.4 Award Notification

At the end of the procurement, notification will be sent to the successful and all non- successful bidders. The award is subject to approval by the NYS Attorney General and the Office of State Comptroller before an operating contract can be finalized. The award is further subject to the submission and approval of a Prior Application Review (PAR) application.

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 can comply with all participation standards and meets the conditions detailed in its proposal.

5. Scope of Work

5.1 Introduction

This RFP is issued to provide Apartment Treatment housing for up to 56 individuals with a serious mental illness; seven (7) within the Hutchings Psychiatric Center and 49 within the Buffalo Psychiatric Center catchment areas as defined below, who meet one of the following criteria:

- Individuals with a serious mental illness who are being discharged from State Psychiatric Centers (PCs) or State PC residential programs,
- Individuals with a serious mental illness who are being discharged from an Article 28 hospital or Article 31 hospital and in need of Apartment Treatment Housing or for whom housing would assist in a state hospital diversion from a State PC,
- Individuals with a serious mental illness residing in the region who have a serious mental illness and who are high users of Medicaid Services and referred

by Health Homes,

- Individuals with a serious mental illness who are current residents of Community Residences operated by a voluntary provider agency, prioritizing individuals that have a LOS greater than two (2) years,
- Individuals, 18 years or older, with a serious mental illness who are being discharged from a Residential Treatment Facility, OR
- Individuals with a serious mental illness who are currently homeless or residing in a shelter.

A total of 92 units of TAP housing have been allocated for the Hutchings and Buffalo PC Catchment Regions.

Up to Six (6) awards of Apartment Treatment housing units will be made available as follows:

Group #1 – Seven (7) units designated for Hutchings Psychiatric Center Catchment Region, to be located in Oneida County

Group #2 and #3 – 39 units designated for Buffalo Psychiatric Center Catchment Region, to be located in Erie County. These units would be divided into 20 and 19 units for Group #2 and #3, respectively.

Group #4 – Two (2) units designated for Buffalo Psychiatric Center Catchment Region, to be located in Niagara County

Group #5 – Two (2) units designated for Buffalo Psychiatric Center Catchment Region, to be located in Cattaraugus County

Group #6 – Six (6) units designated for Buffalo Psychiatric Center Catchment Region, to be located in Chautauqua County

The criteria for determining Serious Mental Illness (SMI) is attached see [Appendix D](#).

5.2 Objectives and Responsibilities

Apartment Treatment housing and the restorative rehabilitative services provided by the apartment treatment housing provider are intended to be transitional and should be geared to help residents maintain physical and emotional health, participate in community based therapeutic and rehabilitative programs, assist with educational and potential employment opportunities, sustain healthy relationships, and generally improve the ability of residents to enhance the quality of their own lives.

Apartment Treatment programs are transitional. Residents are advised of the full range of housing options. Discharge planning, with appropriate time frames, must commence upon admission. The Program provides support and skills training to

individuals in an apartment setting. Using an individualized assessment and service planning process, residents develop meaningful goals, make progress towards their personal recovery, gain skills and independence, learn to use community resources and develop natural community supports.

Apartment Treatment beds must be developed as scattered site units. Units may be one or two-bedroom apartments with each individual having his/her own bedroom.

Staff must have the skills and experience necessary to help residents address physical and emotional needs, participate in therapeutic programs, assist with educational and employment opportunities, and acquire the skills necessary for individual growth and self-sufficiency. Staff must be knowledgeable about housing opportunities in the community and other community services. They must be able to support individuals with co-occurring substance abuse disorders, and have a strong belief in hope and recovery.

Apartment Treatment is licensed under Part 595 of Title 14 of the Codes, Rules and Regulations of the State of New York, (14 NYCRR). Agencies will be required to submit a "Prior Approval Review" (PAR) Application as part of the development process.

The PAR is available online at:
<https://www.omh.ny.gov/omhweb/par/omh165.pdf>

The PAR application will be reviewed in accordance with Section 41:34 of the Mental Hygiene Law and Part 595 of Title 14 of the Codes, Rules and Regulations of the State of New York, (14 NYCRR).

New York State regulations are available online at:
<http://www.dos.ny.gov/info/nycrr.html>

Applicants will need to demonstrate within their proposal how they will transition the residents from the Apartment Treatment housing to Supported Housing or other less restrictive settings within their community.

The applicant must work in conjunction with the applicable Single Point of Access (SPOA) entity to approve all referrals into the Apartment Treatment housing prior to admission.

All apartment units must have a valid Certificate of Occupancy and be certified by Central New York or Western New York Field Office staff, as applicable, before occupancy.

There is no capital associated with these units. However, Program Development Grant (PDG) funds are available as part of this contract to assist with commencing a new apartment treatment program funded by OMH. Applicable PDG costs include but are not limited to: initial recruitment, rent or other costs related to the use of space, furniture, some property costs, office equipment and all client related furnishings. All reasonable costs to develop the beds should be included in the PDG Budget [Appendix B](#) and clearly described in the Budget Narrative [Appendix B-1](#).

5.3 Reporting Requirements

Agencies that receive an allocation of housing resources under this RFP must agree to ensure that these units will be filled with individuals referred by the county SPOA process.

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

Agencies awarded a contract 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 requirements OMH may subsequently develop to ensure compliance. They will be required to participate in the Single Point of Access.

5.4 Operating Funding

Ongoing funding to support the operation of the apartment treatment units will be provided by a combination of SSI and Medicaid funding, consistent with the OMH fiscal model for the Apartment Treatment residential program. Each agency's current programmatic structure will determine specific funding amounts. Site specific property costs for the new apartment treatment beds will also be incorporated into the successful applicant's Gross, Income, and Net (GIN) Medicaid rate calculation.

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

- 1a. Describe the agency's experience serving adults with serious mental illness, and particularly those meeting the eligibility criteria listed in 5.1. Describe any residential or other programs operated by your agency which serve adults with serious mental illness.
- 1b. Describe the characteristics of the population to be served.
- 1c. Describe the services needs of the population to be served.
- 1d. Discuss the agency's understanding of the need for individuals to move through the housing system, or "throughput". Include how this movement benefits the population.
- 1e. Describe how the agency will work with the county SPOA to identify and prioritize individuals with current length of stay in Community Residence of two years or more. Include any outreach efforts your agency would engage in to encourage individuals with a length of stay of two years or more in Community Residences to transition to Apartment Treatment Housing.

5.5.2 Housing Implementation

- 2a. Describe what in-reach and engagement strategies to PCs and other OMH target group settings will be used.
- 2b. State admission criteria and procedures, include time frames. Provide assurances that the agency will adhere to SPOA.
- 2c. Include a summary of the services that will be available on-site as well as those that will be provided by other agencies through service agreements and other linkages. Supports for individuals coping with substance abuse disorders should be included. Indicate how linkages and communication with Health Home Care Managers will be facilitated.
- 2d. Describe the strategies that will be used to engage and motivate individuals towards recovery from mental illness and substance abuse. Discuss methods for ensuring integrated treatment for residents with co-occurring substance abuse disorders. Describe how the agency will collaborate with providers of substance abuse services. Describe how residents will be assisted in developing relapse prevention plans (mental illness and/or substance abuse) as well as how the program will respond when a resident is relapsing.
- 2e. Describe the assessment and individualized recovery process that will be utilized to help residents gain and use the skills and supports necessary for independent living.
- 2f. Describe the peer-to-peer services and supports that will be made available to residents.
- 2g. Explain the agency's culture of transition to support movement towards more independent housing opportunities, as well as, a description of the discharge planning process. Describe the agency's history of performance with transitioning consumers to more independent housing opportunities, and how the eligibility criterion of prioritizing individuals in Community Residences with long LOS will be addressed.
- 2h. Describe the proposed staffing plan. Include a description of staff roles and responsibilities. Explain administrative oversight and supervisory functions.
- 2i. Explain how staff will be trained and supervised to integrate rehabilitation and recovery principles in working with residents. Describe the support and professional development activities that will be made available to direct care staff.
- 2j. Describe the agency's plan for locating and developing apartments in the proposed county.
- 2k. Provide a time frame for the development or operation of the units.
- 2l. Discuss how the agency will monitor the success of the housing program and the process the agency will use to implement programmatic changes in the event the anticipated outcomes are not being realized.

5.5.3 Agency Performance

- 3a. Describe the agency's experience in providing recovery-oriented housing and/or mental health services to adults with serious mental illness. Describe your agency's history and provide a general description of the agency structure (Please include an organizational chart).
- 3b. Describe the resources and skills your organization specifically will commit to carry out the proposed housing services.

3c. Describe the extent of your organization's residential and/or programmatic presence and activity in the area(s) for which you are bidding; and how that capacity may benefit the proposed Apartment Treatment program.

3d. OMH housing providers must note their agency's performance in targeting OMH priority populations, average length of stay, and ability to transition individuals from licensed housing units into independent housing. If a provider also operates OMH Supported Housing, they should indicate occupancy levels and ability to accept OMH priority populations either directly or through backfill for those units as well. Base your response using the most recently published Residential Program Indicators (RPI) Report. Also, please note that agencies will be evaluated on the timeliness and accuracy of past CAIRS reporting.

5.5.4 Financial Assessment

4a. Develop a Program Development Grant (PDG) budget and provide assurances that the agency will operate the Apartment Treatment Program consistent with the Gross-Income-Net (GIN). (see Appendix B). Include an itemized list of anticipated furniture and equipment expenditures in the budget narrative along with any other development expenses. Please note that the current OMH licensed housing programs operated by the agency will determine the final staffing model and budget. If an award is made, OMH will generate a GIN for the agency to use when submitting the PAR application and contract documents. An agency that is not able to prepare a budget consistent with the GIN will have their award rescinded and a new agency will be selected.

4b. Discuss the agency's financial viability to develop additional Apartment Treatment Program units.