



Transitional Single Room Occupancy (SRO) Housing for Adults  
with Serious Mental Illness

Request for Proposals

Grant Procurement

Operation of an Existing Transitional SRO on the Bronx  
Psychiatric Center

October 2018

**(On-Line Submission Required)**

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## **1 Introduction and Background**

### **1.1 Purpose of the Request for Proposal (RFP)**

The New York State Office of Mental Health (OMH) is seeking proposals from not-for-profit organizations with experience in a) operating a licensed, mental health housing program, and b) serving individuals with a forensic history (involvement with New York State's criminal justice system) and serious mental illness, to assume operational responsibility of an existing, newly constructed transitional apartment building on the grounds of the Bronx Psychiatric Center (BPC) in Bronx, New York. There will be one award to operate a 48-unit Transitional SRO, to be OMH licensed, that is currently vacant. OMH intends to select a sponsor that has demonstrated an ability to successfully operate an OMH licensed congregate facility; possesses experience serving individuals with a forensic history; and can establish the program in a timely manner. This includes the ability to submit and obtain licensure through the submission of the Prior Approval Review (PAR) application and enter into a long-term lease with the State of New York to occupy the building. In addition, the issuance of an operating contract will be subject to the approval of the Office of the State Comptroller (OSC).

This RFP is being issued contemporaneously with a separate RFP to establish and operate a licensed Intensive Transitional Living Residence (ITLR) within a neighboring building also on the BPC campus. The ITLR is also intended to focus on individuals with a serious mental illness and forensic history, primarily referred from Rockland Psychiatric Center's forensic unit, or directly from NYS prisons.

The successful awardee of this RFP will be expected to operate the Transitional SRO working in close collaboration with and accepting referrals from the ITLR. The Transitional SRO may also accept referrals from other sources, as described below. OMH recognizes the advantages to having the same organization operate both programs; however, it is not a requirement. The contract to operate the ITLR and Transitional SRO may be awarded to separate not-for-profit organizations. It is not necessary to apply for both RFPs to be considered for an award under this RFP. If interested in applying to become the operator of the ITLR, a separate RFP is being released and a separate application must be submitted. Please refer to the procurement page on the OMH website for additional information.

## **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, an applicant is restricted from contacting any other personnel of OMH regarding the RFP. Certain findings of non-responsiveness can result in rejection for a contract award. Contacts made to any other OMH or other State personnel regarding this procurement may disqualify the Applicant and affect future procurements with governmental entities in the State of New York. The Issuing Officer for this RFP is:

Carol Swiderski  
Contract Management Specialist 2  
New York State Office of Mental  
Health Contracts and Claims  
7<sup>th</sup> Floor  
44 Holland Avenue  
Albany, NY 12229

## 2.2 Key Events/Timeline

RFP Release Date	10/2/2018
Mandatory Site Tour / Bidder's Conference	10/23/2018
Questions Due	10/31/2018
Questions and Answers Posted on	11/7/2018
Website Proposals Due	11/28/2018
Anticipated Award Notification	12/28/2018
Anticipated Contract Date	6/1/2019

## 2.3 RFP Questions and Mandatory Site Tour

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](mailto:Carol.Swiderski@omh.ny.gov) by the "Questions Due" date indicated in Section 2.2. The questions and official answers will be posted on the OMH website on the "Questions and Answers Posted on Website" date indicated in Section 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.

A tour of the site is scheduled for all interested applicants on the date indicated above between 11:00 a.m. and 12:00 p.m. The address of the site is 1500 Waters Place, Bronx, NY 10461. Upon entering the Bronx Psychiatric Center campus, take the first available right turn. The Transitional SRO building is Building #36 the fourth building on the right opposite the parking lot. **Note that the tour is mandatory for all interested applicants, as a prerequisite to submitting an application.**

## 2.4 Addenda to Request for Proposals

It is the applicant's responsibility to periodically review the OMH website and Grants Gateway 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 demonstrable experience in a) operating a licensed, mental health housing program, b) providing mental health services to persons with serious mental illness through programs that are licensed by OMH or are under contract with OMH or a county Local Government Unit (LGU), and c) working with individuals who have been involved in the criminal justice system. 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 eligibility criteria have been met. Additionally, during the proposal evaluation process, evaluators will also be reviewing eligibility criteria and confirming that they have in fact been met. During the course of either of these review processes, proposals discovered to 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 2.9, by the "Proposals Due" date indicated in 2.2 at 4:00:00 p.m.

## 2.7 Proposals 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 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/>.

## 2.8 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 for proposals to be evaluated and any resulting contracts executed. Information on these initiatives can be found at [https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/module/nysgg/goportal.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx)

Proposals received from eligible not-for-profit applicants who have not been prequalified by the by the "Proposals Due" date indicated in 2.2 at 4:00:00 p.m. cannot be evaluated and will be disqualified from further consideration.

**Please do not delay in beginning and completing the prequalification process. The State reserves five (5) days to review submitted prequalification applications. Prequalification applications submitted to the State for review less than 5 days prior to the RFP due date and time may not be considered. Applicants should not assume that their prequalification information will be reviewed if they do not adhere to this timeframe.**

## 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 are available at the GGS website:  
<http://www.grantsreform.ny.gov>.

- 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 via email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov) -- OR -- by telephone: 1-518-474-5595.

### How to Submit a Proposal

Proposals must be submitted online via the Grants Gateway by the date and time posted in this RFP. Tutorials (training videos) for use of the Grants Gateway are available at the following web address (and upon user log in):  
<http://www.grantsreform.ny.gov/Grantees>

To apply, log into the Grants Gateway 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.

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 at the following web address: <http://www.grantsreform.ny.gov/Grantees> 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.

To apply, you need to be logged in as a Grantee, Grantee Contract Signatory, or Grantee System Administrator. The Grantee Delegated Administrator cannot start an application.

### **Helpful Links**

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or proposals should be directed to OMH Issuing Officer.

<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/UCYnWskVc7B3ajiOVfOHL6UA>

(Technical questions)

Grants Team: (Proposal Completion, Policy, and Registration questions)

<http://www.grantsreform.ny.gov/> or by phone at 518-474-5595

## **3 Administrative Information**

### **3.1 Reserved Rights**

OMH reserves the right to:

- Reject any or all proposals received in response to the RFP that are deemed non-responsive, do not meet the minimum requirements or are determined to be otherwise unacceptable, in the agency's sole discretion;
- Withdraw the RFP at any time, at the agency's sole discretion;
- Make an award under the RFP in whole or in part;
- Disqualify an applicant 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 applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information during evaluation and/or selection under the RFP;
- Prior to the bid opening, direct applicants 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 applicants via the OMH website and the New York State (NYS) Contract Reporter;

- Eliminate any non-material specifications that cannot be complied with by all the prospective applicants;
- Change any of the scheduled dates;
- Waive any requirements that are not material;
- Negotiate any aspect of the proposal to assure that the final agreement meets OMH objectives;
- Conduct contract negotiations with the next responsible applicant, should the agency be unsuccessful in negotiating with the selected applicant;
- Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of the solicitation;
- Conduct a readiness review of each selected applicant prior to the execution of the contract as set forth in Section 4.4;
- Cancel or modify contracts due to the insufficiency of appropriations.

### **3.2 Debriefing**

OMH will issue award and non-award notifications to all applicants. Both awarded and non-awarded applicants may submit a written request for a debriefing within 15 business days of the OMH dated letter, requesting feedback on their own proposal, regardless if it was selected for an award or disqualified. OMH will not offer ranking, statistical, or cost information of other proposals until after the NYS Office of the State Comptroller has approved all awards under this RFP. Written debriefing requests may be sent to the Designated Contact, as defined in Section 2.1.

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

Protests of an award decision must be filed within fifteen (15) business days after the notice of conditional award or five (5) business days from the date of the debriefing. The Commissioner or her designee will review the matter and issue a written decision within twenty (20) business days of receipt of 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 to:

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

### **3.4 Term of Contracts**

Operating contracts shall be written for a total period of five (5) years. OMH reserves the right to modify the first year's contract period. The selected applicant awarded a contract under this RFP will be required to adhere to all terms and conditions in OMH's Master Grant Contract. The Master Contract Form is available on the Grants Gateway application site for this opportunity.

### **3.5 Minority and Women Owned Business Enterprises and Service Disabled Veteran 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](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).

### **3.6 Equal Employment Opportunity**

By submission of a bid or proposal in response to this solicitation, the Applicant/Contractor agrees with all of the terms and conditions of Master Contract for Grants – Standard Terms and Conditions. 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 Applicant 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 Applicant 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 sub-contractors 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.

#### 4 Evaluation Factors for Awards

##### 4.1 Evaluation Criteria

All proposals will be reviewed and scored based on an evaluation of each applicant's written submission as well as OMH internal reviews.

The Evaluation will apply points in the following categories as defined in Section 5.4.

<b>Technical Evaluation</b>	
Population	15 points
Implementation and Timeline	15 points
Agency Experience	15 points
Staffing and Program Plan	25 points

Agency Performance: <ul style="list-style-type: none"> <li>• Applicant's Narrative</li> <li>• OMH Internal Reviews</li> </ul>	10 points
<b>Financial Assessment</b>	20 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 5.4

The OMH internal review will consist of an assessment of the applicant's organizational competency. This will include a review of the applicant'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 is not complete or does not meet the basic eligibility and participation standards as outlined in Sections 2.5 and 2.6, 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. A financial score will be computed separately based on the operating budget and budget narrative submitted.

Evaluators of the Technical Evaluation component may then meet to discuss the basis of those ratings. Following the discussion, evaluators may independently revise their original score in any section. 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. The proposal with the highest score will be awarded conditional approval. Final approval is based on the submission of the PAR application and obtaining licensure, OSC contract approval, entering into a lease of the site with the State of New York, and demonstration of the experience outlined in 1.1. If the agency selected is not able to establish operations of the Transitional SRO for any reason, OMH will select the agency with the next highest score.

In case of a tie in the scoring process, the proposal with the highest score on the Staffing and Program Plan section will be ranked higher.

## 4.3 Process for Awarding Contracts

### 4.3.1 Initial Awards and Allocations

OMH will review and evaluate funding proposals submitted by an eligible

applicant according to the criteria set forth in Section 5.4 of this RFP.

Applicants will be rated based on their final total score and the applicant with the highest score will receive a conditional award.

Applicants will be rated based on their final total score. Applicants that receive a final total score of less than 65 will be ineligible to receive either operating or capital funding.

Once an applicant receives a conditional award, OMH will provide a feasibility study prepared by a consultant architect to ensure the building is in satisfactory condition. OMH will consider a request for capital funding to address deficiencies identified. In consultation with the conditional awardee, OMH will modify and/or approve the plan with time frames for establishing the program at the Transitional SRO.

#### **4.3.2 Reallocation Process**

There are several factors that may result in the Transitional SRO being allocated to another agency. This includes, but is not limited to, failure to obtain licensure for the program, enter into a lease with the State of NY, secure OSC approval, and operate the residence in accordance with the terms outlined in the RFP. This includes accepting admissions from the target population groups outlined below and the timely transition of those individuals to community based housing and services. A contractor will be provided notification if the housing program will be reallocated.

#### **4.4 Award Notification**

At the conclusion of the procurement, notification will be sent to all successful and non-successful applicants. 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 applicant prior to the execution of the contract. The purpose of this review is to verify that the applicant can comply with all participation standards and meets the conditions detailed in its proposal.

### **5 Scope of Work**

#### **5.1 Introduction**

The housing and services developed through this RFP are designated for individuals with Serious Mental Illness as defined on Appendix A and who are returning to New York City; and who meet any one of the following eligibility criteria:

- Individuals with a serious mental illness and forensic history (justice involved) who are residents of a facility serving individuals with a forensic history within an OMH Psychiatric Center, specifically including the ITLR

- on the BPC campus;
- Individuals with a serious mental illness, who are residents of an OMH-operated residential program;
- Individuals with a serious mental illness who are being discharged from an Article 28 hospital or Article 31 hospital and in need of housing or for whom housing would assist in a hospital diversion;
- Individuals with a serious mental illness who are transitioning from a more restrictive level of OMH licensed housing; or
- Individuals with mental illness being released from NYC jails (i.e. Rikers) or NYS prisons.

Individuals being referred from the ITLR program on the BPC campus that is being established concurrently with this Transitional SRO program must receive priority. OMH reserves the right to adjust these criteria to best meet the needs of the target population(s). Note that OMH expects that the project will maintain a combination of the target populations, and will monitor the composition of the tenants to ensure the project meets its intended purpose.

Agencies must work with the Bronx ITLR, OMH Psychiatric Centers (PC), CNYPC Pre-Release Services, Article 28/31 hospitals, Health Homes or other care coordination service, and parole, if applicable, and target future admissions to the appropriate population. The agency will be expected to conduct in-reach; utilize VTC interviewing mechanisms; develop coordinated discharge/admission plans with the referring entity, Health Home Care Managers or other care coordination service; and identify and provide services and supports to ensure successful transition into the community. It is critical that agencies establish partnerships and/or collaborative agreements with at least one of the Health Homes serving the Bronx. If the agency has not yet established networks with Bronx Health Homes, the agency must agree to do so upon the award of the contract. A list of designated Health Homes is available on the NYS Department of Health's website at:

[http://www.health.ny.gov/health\\_care/medicaid/program/medicaid\\_health\\_homes/](http://www.health.ny.gov/health_care/medicaid/program/medicaid_health_homes/). It is important to note, however, that establishing a partnership with a specific Health Home does not preclude Supportive Housing agencies from being required to serve all individuals regardless of which Health Home they are assigned to. It is an expectation that agencies will work with all Health Homes regardless of established partnerships.

In addition to receiving HRA 2010 E housing applications directly from referral sources, and the Single Point of Access (SPOA) for housing, agencies are expected to accept referrals from the Reentry Coordination System (RCS) currently operated by the Center for Urban Community Services (CUCS). RCS is a centralized referral system for individuals being released from NYS prisons through Central New York Psychiatric Center Pre-Release Services. A mechanism for receiving referrals from Rikers will be developed.

Some of the individuals referred will be under parole supervision and therefore, may be placed on a dedicated mental health parole caseload. A dedicated parole officer has special expertise in mental health and substance abuse issues and is assigned smaller caseloads to meet the unique needs of the target population. The dedicated parole officers work closely with OMH and housing agencies to enhance the opportunities for these individuals to accept living in

their communities and reduce criminal recidivism.

## 5.2 Objectives and Responsibilities

### 5.2.1 Description of the Transitional SRO Property

The Transitional SRO property was recently constructed and has not been occupied. It is located on the grounds of the Bronx Psychiatric Center. The property has a floor area of 10,000 square feet, is six stories, and has 48 studio apartments, each with its own kitchenette and bathroom. The common areas for tenants include a large dining room, a computer room/library, a gym, laundry facilities, and a backyard garden. Staff offices are located on the ground floor of the building. The property is connected to the NYC water, electric, gas and sewer utilities and is not in need of significant repairs.

The agency selected to establish operations of this program must be experienced in providing person-centered services to individuals with forensic histories, and maintaining linkages to other services in the community. The on-site services should reflect evidence-based practices that promote wellness and recovery and be consistent with OMH's commitment to disparities elimination and cultural competence. They should be geared to help residents maintain physical and emotional health, participate in therapeutic and rehabilitative programs, assist with educational and employment opportunities, sustain healthy relationships, and generally improve the quality of their lives. Staff should have the skills and experience necessary to help residents set meaningful goals, develop mastery over their psychiatric illness, and make progress towards their own personal recovery. Supports for individuals with co-occurring substance abuse disorders should also be provided. Information on evidence-based practices can be found on the Internet at

<http://www.mentalhealth.samhsa.gov/cmhs/communitysupport/toolkits/about.asp>.

In addition, staff should have appropriate training in working with individuals with behavioral health needs and criminal justice involvement and participate in educational workshops such as those offered by the Academy for Justice-Informed Practice, and the Substance Abuse and Mental Health Services Administration (SAMHSA). Training through the Academy for Justice-Informed Practice will be available to all staff hired for this program. Staff training opportunities include but are not limited to: understanding violence and staff safety; understanding the criminal justice system; supporting mandated clients including working with parole; trauma-informed care for justice involved individuals; reducing recidivism; promoting recovery; the clinical impact of incarceration; and first person perspectives on the experience of incarceration to recovery.

The Transitional SRO is licensed Housing and is considered transitional housing. For this program the expected length of stay is ideally less than 12 months, but may extend beyond 12 months on a case-by-case basis. Agencies must adhere to the OMH Part 595 regulations. Consumers should have access to treatment services and other supportive services, as needed.

Services and supports may be provided in the community or on-site by staff. Agencies should demonstrate how they will transition the OMH consumers into the community, create an environment that promotes recovery and wellness and assists consumers with co-occurring disorders of mental illness and substance abuse.

### **5.2.2 Reporting Requirements**

The agency that is selected to operate this building under this RFP must agree to ensure that these units will only be filled by the populations and referral sources indicated in 5.1

The agency 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/>.

The agency awarded the contract will be required to maintain accurate reporting of all admissions and discharges through OMH's Child and Adult Integrated Reporting System (CAIRS).

The agency will also be required to accept appropriate referrals from the Single Point of Access (SPOA) for housing and RCS, and provide updates on housing vacancies to the Center for Urban Community Services (CUCS) which publishes the "Vacancy and Information Update."

In addition, the agency will be expected to participate in quarterly meetings with other forensic housing agencies facilitated by OMH.

### **5.3 Funding**

OMH Operating Funding for the Transitional SRO will be funded annually at a gross program level of \$26,412 per bed. Of this amount, approximately \$20,000 per bed can be budgeted towards on-site services and supports, and \$6,412 per bed may be budgeted towards property expenses (non-debt service). Licensed CR-SROs are funded annually through a combination of consumer fees (SSI Level II less 70% of SSI Living Alone) at \$6,469 per person (assumes an 90% collection rate) and OMH net deficit funding at \$19,943 per bed.

Operating budgets will be based upon the most current SRO rate available at the time of opening. Applicants are reminded that funding to support the operation of this program is contingent upon the continued availability of State appropriations.

There is no capital associated with these units. However, Program Development Grant (PDG) funds are available as part of this contract to assist with developing this transitional SRO. All reasonable costs to develop the beds should be included in the PDG Budget column in Appendix B<sub>2</sub> and clearly described in the Budget Narrative Appendix B-1.

## 5.4 Proposal Narrative / Program Work Plan Objectives

When submitting proposals for funding under this RFP, the narrative must address all the components listed below. Scoring points will be given for the following components:

### 5.4.1 Population

1.a. State your commitment to filling these units with the appropriate target population in coordination with but not limited to: the ITLR; OMH-operated facilities; Central New York Psychiatric Center (CNYPC) Pre-Release Services; Rikers; the NYC Field Office; the Single Point of Access (SPOA) for housing; and RCS. Indicate if your agency is a network member of Bronx Health Homes and indicate which ones. If your agency has not yet established a linkage with Bronx based Health Homes, state your commitment to doing so.

1.b. Describe in narrative form the characteristics of the population to be served in the Transitional SRO. Describe the population characteristics of individuals with forensic histories. Additionally, describe the target population's likely service history, present functional level, educational level, job history, community living skills, existence of social supports, and substance abuse.

1.c. Describe in narrative form the service needs of the population, specific to the characteristics described in (1.b.) above. Describe the approach that will be used to ensure the successful transition of individuals and their retention in the community.

1.d. Describe your system for assessing risk, including any evidence-based tool(s) that you will utilize. Describe the resources that will be employed to mitigate identified risk.

1.e. Explain how your agency intends to collaborate with the operator of the adjacent ITLR described in 1.1.

### 5.4.2 Implementation and Timeline

2.a. Provide a detailed description of the plan including time frames to establish the program at the Transitional SRO building.

2.b. Provide a description of the necessary tasks and milestones, including but not limited to: building preparation; staffing; licensure; and leasing. Include targeted completion dates and how they will be achieved.

Scoring points will be given for the following components:

The thoroughness and reasonableness of the implementation plan and timeline presented to establishing and operating the Transitional SRO program.

### **5.4.3 Agency Experience**

3.a. Detail your agency's experience in providing housing and services to individuals with a serious mental illness and forensic history.

3.b. Describe the management experience and agency resources which will be available to implement the program.

Scoring points will be given for the following components:

The extent and duration of successful provision of housing and services to individuals with a serious mental illness and forensic history; adequacy of agency resources which would be assigned to the implementation; and management experience.

### **5.4.4 Staffing and Program Plan**

4.a. Describe admission criteria and procedures including the information flow you would create to streamline and track referrals including any necessary interface with residential programs/facilities serving individuals with a forensic history: HRA; OMH Psychiatric Centers; OMH New York City Field Office; CNYPC Pre-Release Services; RCS; and SPOA.

4.b. Describe the process your agency currently uses to develop an individualized service plan that will address the specialized needs of this population such as independent living skills, physical health needs (long term care), mental health and substance abuse treatment, and other supportive services. Include linkages with Health Home care managers or other care coordination services.

4.c. Describe the services that will be provided directly by the sponsoring agency and how they address the needs of the population identified in 1.c.;

4.d. Explain how your agency will work with Bronx Health Homes or other care coordination services and parole, if applicable, to develop an integrated service plan including mental health, physical health and substance abuse services, if indicated, and community supports necessary for the person to succeed in the community and gain the skills necessary to live as independently as possible. Describe how the service plan developed in collaboration with the Health Home care managers and other collaterals will be reviewed with the resident and revised in accordance with OMH regulation Part 595. Describe the role of the Health Home care manager and the role of the housing staff. Explain how the service needs of the individual will be supported through care coordination and service integration.

4.e. Identify community-based resources that will be available to residents through referrals and/or linkage agreements. Indicate how these services support the residents' recovery from mental illness and substance

abuse. Describe how all services will consider the cultural and linguistic needs of the individual. Describe the resources your agency will use to meet the needs of individuals who move directly from institutional settings.

4.f. Provide a staffing plan. Include a description of the roles and responsibilities of each staff member. Indicate the skills and experience each staff member will be expected to have. Describe initial and ongoing staff training and supervision. Describe the use of peer to peer services and supports that will be available.

4.g. Describe resident assessment procedures and the development of a person-centered, strengths-based service plan developed in coordination with the consumer and other collaterals, as appropriate, including the Health Home care manager. Attach a copy of any resident assessment tools and a sample service plan. Describe the process of service planning that will incorporate strategies to engage and motivate residents towards their recovery and provide an appropriate response to residents who are at risk of relapsing and/or begin not taking their medications. Discuss methods for ensuring integrated services for residents with co-occurring substance dependence/use disorders. Describe how residents will be assisted when a mental illness or substance use relapse occurs.

4.h. Attach a copy of the proposed occupancy agreement. Provide the policy and procedure for terminating residency. Include a description of the range of interventions that would be used to prevent someone from losing their housing. Attach the grievance procedure that will be provided to residents.

#### **5.4.5 Agency Performance**

5.a. 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 agencies should indicate occupancy levels and ability to accept OMH priority populations.

OMH agencies shall base their response on the most recently published Residential Program Indicators Report. Also, please note that OMH agencies will be evaluated on the timeliness of CAIRS reporting.

5.b. Note: The OMH internal review will consist of an assessment of the applicant's organizational competency. This will include a review of the applicant's residential programs over the past two years. Previous OMH actions including, but not limited to, fines, revocations of operating certificates, limitations on operating certificates and/or repeat citations impacting client care will be reviewed in scoring agency performance. Additional areas of organizational competence include: percentage of admissions from OMH PCs or OMH-operated residential programs; transition of residents to more independent housing; and accuracy and timeliness of CAIRS reporting. If an agency received an award of housing from a previous allocation, the agency's performance in filling the units

within the contractual time frame and with the priority population specified will be rated.

#### **5.4.6 Financial Assessment**

6.a. Applicants must develop a full annual operating and property budget for the Transitional SRO based on the operating funding amounts provided in Section 5.3.3. Use the “Projected Operating and Property Budget Form” (Appendix B). The budget must include service expenses, PDG expenses, and estimated property operating expenses for the OMH funded Congregate Licensed Housing units. Applicants should also identify other sources of revenue in addition to OMH funding, if applicable. Please note that approval of an operating budget will be finalized once the selected applicant has been chosen.

6.b. Applicants also complete a Budget Narrative (Appendix B-1) for the Transitional SRO. The budget narrative 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; and
- Description of the agency’s salaries and how they are adequate to attract and retain qualified employees.

Use the OMH Operating and Property Budget (Appendix B) and the Budget Narrative (Appendix B-1) to submit with your proposal. The Operating Budget (Appendix B) is a separate document on the RFP section of the OMH website and Grants Gateway 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 as non-responsive.