

New York State Office of Mental Health



Hudson River

Request for Proposals

Apartment Treatment

Housing for Adults with Serious Mental Illness

In Putnam County, Ulster County and/or Dutchess County

September 2012

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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) announces the following Request for Proposals (RFP) for:

- #1. The development and operation of 4 Licensed Apartment Treatment Units located in Putnam County;
- #2. The development and operation of 9 Licensed Apartment Treatment Units located in Dutchess County;
- #3. The development and operation of 12 Licensed Apartment Treatment Units located in Ulster County.

An agency may submit a bid for one, two, or all three counties. One award will be made for each county for the number of beds listed above. A complete proposal package as outlined in Sections 2.9 and 2.10 will be required for each County indicated in the agency's Mandatory Letter of Intent.

These Apartment Treatment units will serve persons with serious mental illness affected by the recent closure of the Hudson River Psychiatric Center and restructuring of the Rockland Psychiatric Center.

Please see Section 5 for more details on eligibility for the housing. **Agencies awarded contracts will be required to comply with all reporting requirement criteria as described in Section 5.3 of this RFP.**

2. Proposal Submissions

2.1 Mandatory Letter of Intent

Bidders must submit a Mandatory Letter of Intent to Bid to the Issuing Officer named below in Section 2.2. The letter of intent will be used to prepare a WHAT-If-GIN (Gross, Income, and Net) for your agency to use when calculating the financial budget requested in Section 5.5.4. Please indicate the following information in the Mandatory Letter of Intent: name of agency, county your agency is bidding, contact name and number, and address to mail, via certified mail, the WHAT-If-GIN. WHAT-If-GINs will be mailed to the agency by October 16, 2012. Please mail the Mandatory Letter of Intent to Bid consistent with the deadline listed below in Section 2.3 , indicating on the envelope: **ATTN: Mandatory Letter of Intent-Hudson River Apartment Treatment in [Indicate County here] County RFP.**

2.2 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-responsiveness can result in rejection for a contract award.

The Issuing Officer for this RFP is:

[Susan Penn](#)

Contract Management Specialist II
New York State Office of Mental Health
Contracts and Claims-7th floor
44 Holland Avenue
Albany, New York 12229

2.3 Key Events/Timeline

RFP Release Date	09-04-2012
Mandatory Letter of Intent Due	09-18-2012
WHAT-If-GIN to be mailed to agency	10-16-2012
Questions Due	10-23-2012
Questions & Answers Posted on Website*	10-30-2012
Proposals Due	11-06-2012
Anticipated Conditional Award*	12-04-2012

*Estimated

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 e-mail by October 23, 2012. The questions and official answers will be posted on the OMH website by October 30, 2012* 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 serious mental illness and who receive funding from OMH for those programs. Only providers currently operating OMH certified residential programs are eligible to apply to this RFP. Current licensed providers who apply must have operating certificates rated Tier I or Tier II. Housing will be awarded to agencies that have a proven track record of accepting OMH priority populations and transitioning individuals to more independent housing opportunities.

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 2.10) 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 meet the mandatory requirements outlined in Section 2.6;
- Proposals that do not comply with the RFP required format as defined in Section 2.10; and
- Proposals from current providers of OMH licensed programs that are in Tier III or equivalent status.

2.8 Executive Order #38

Pursuant to Executive Order#38 (<http://www.governor.ny.gov/executiveorder/38> [↗]), dated January 18, 2012, State agencies are required to promulgate regulations and take any other actions within the agency's authority, including amending agreements with providers, to limit provider administrative costs and executive compensation. Any contract awarded through this RFP will be subject to such regulations and to related requirements. Once established, the requirements will be posted on OMH's website.

2.9 Instructions for Bid Submission and Required Format

Each proposal is required to contain:

1. Agency Transmittal Form ([Appendix A](#));
2. Proposal Narrative;
3. Consolidated Fiscal Reporting System (CFRS) Operating Budgets (**print** and attach with proposal);
4. Budget Narrative ([Appendix B1](#))

The Proposal Narrative should be concise (no more than 20 pages, not including attachments).

The Operating Budget is to be developed using the CBR-4, DMH-2, AND DMH-3 schedules from the current Consolidated Fiscal Reporting System (CFRS) software. OMH Spending Plan Guidelines, and CFRS software and guidelines for completion of the **Budget Schedules** can be downloaded from the OMH website at: <http://omh.ny.gov/>. Print the **Budget** documents and attach to your proposal; Do Not Upload the completed budget.

The Budget Narrative ([Appendix B1](#)) is a separate document that appears in the RFP section of the OMH website and can be downloaded in PDF format. Bidders must NOT substitute their own budget format.

Failure to use the CFRS Software and Budget Narrative template will result in disqualification for non-responsiveness.

Bidders must submit six (6) unstapled copies of the full proposal package by mail or hand delivery to be received by close of business on November 6, 2012. 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 returned, unopened.

2.10 Packaging of RFP Responses

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

[Susan Penn](#)

Contract Management Specialist II
New York State Office of Mental Health
Contracts and Claims -7th floor
44 Holland Avenue
Albany, NY 12229

Attn: RFP for Hudson River Apartment Treatment Housing in “Indicate County Here” County

3. Administrative Information

3.1 Term of Contracts

Each Contract 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 Hudson River contract cycle (January 1 through December 31).

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;
- 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; and
- Reallocate authorized or allocated units as set forth in Section 4.3.2.

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 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.

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 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:

**New York State Office of Mental Health
 Commissioner Michael F. Hogan, Ph.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	15 points
Housing Implementation	35 points
Agency Performance: • Bidder’s Narrative • OMH Internal Reviews	20 points
Financial Assessment	30 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. A complete proposal shall include all required components as described in Section 2.9. 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 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.

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

Proposals will be rated and ranked in order of highest to lowest score. Awards will be made to the proposers in order of rank, starting with the highest score.

4.3.2 Reallocation Process

There are a number of 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 units, OMH will go to the next highest ranked proposal that did not get an initial award of units. 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 did not 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 conclusion 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.

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.

5. Scope of Work

5.1 Introduction

This RFP is issued to provide Apartment Treatment housing for 25 individuals as outlined in Section 1.1 that meet the eligibility criteria outlined below.

The housing and services developed through this RFP are designated for individuals meeting the following eligibility criteria:

Individuals with a serious mental illness who were / are residents of OMH Hudson River or Rockland Psychiatric Centers or OMH-operated residential programs and who have been affected by the restructuring of these facilities.

Within this group, individuals with an Assisted Outpatient Treatment (AOT) order are eligible for priority access. See [Appendix C](#) for the criteria for determining Serious Mental Illness.

The Apartment Treatment Housing units will be allocated to serve individuals in Putnam, Dutchess and Ulster Counties.

Agencies must work with the Psychiatric Center (PC) to target the appropriate housing for that particular PC's priority population, i.e., provide in-reach, develop coordinated discharge/admission plans with PC staff, and identify/provide services and supports to ensure successful transition into the community. Providers must agree to comply with the County Single Point of Access (SPOA) process.

5.2 Objectives and Responsibilities

Apartment Treatment Housing and the 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. The overall goal is to break the cycle of institutionalization and prepare the residents to live within their communities with fewer supports.

Staff should have the skills and experience necessary to help residents set meaningful goals, develop mastery over their psychiatric illness, and progress towards personal recovery while incorporating a person-centered approach. Education and supports for individuals with co-occurring substance abuse disorders should be provided. Evidence-based practices should be utilized by staff and must be consistent with OMH's commitment to disparities elimination and cultural competence. Applicants will need to demonstrate within their proposal how they will accomplish such support, and

demonstrate 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 Single Point of Access (SPOA) entity in each respective county to approve all referrals into the Apartment Treatment Housing prior to admission.

Applicants must incorporate a general philosophy of positive recovery and rehabilitation and should demonstrate within their proposal how this will be accomplished. Peer-to-peer mentoring should be included and the applicant should demonstrate within their proposal how peer-to-peer mentoring/counseling will be implemented and accomplished. Apartment Treatment is licensed under Part 595 of Title 14 of the **Codes, Rules and Regulations of the State of New York**, (14 NYCRR). Apartment Treatment Housing is not to be considered extended stay housing; it is OMH's expectation that individuals will move to more independent housing. Therefore, providers will be required to assist residents in gaining those skills necessary for the transition to permanent housing within their community.

Apartment Treatment must be developed as scattered site rental units. Apartment configurations usually consist of one-bedroom, two-bedroom, and /or three bedroom units, all with individual bedrooms for each resident served. All Apartment units must have a valid Certificate of Occupancy and be certified by the Hudson River Field Office staff before occupancy.

There is no capital associated with these units; however Program Development Grant (PDG) funds are available to assist with commencing a new community residence program funded by OMH. Applicable PDG costs include but are not limited to: initial recruitment, staffing, minor construction or remodeling costs, rent or other costs related to the use of space, purchases of automobiles or vans, furniture, some property costs, some architectural costs, office equipment and all client related furnishings. The PDG is \$8,300 per unit.

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 on the Internet 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

1. State the population you are targeting and your commitment to filling these units in coordination with the Hudson River Field Office, the Single Point of Access (SPOA), along with the State psychiatric center that is being targeted.
2. Describe in narrative form the characteristics of the PC population to be served in Apartment Treatment housing. Discuss such population characteristics as likely service history, present functional level, educational level, job history, forensic history, community living skills, existence of social supports, substance abuse history, all in the context of individuals that have been hospitalized for over a year, and in some cases, numerous years.
3. Describe in narrative form the service needs of the population to be served, specific to the characteristics described in (2) above. Describe the approach that will be used to ensure the successful transition of PC Long Stay individuals and their retention in the community.

5.5.2 Housing Implementation

In-reach and Admissions

1. State admission criteria and procedures, include time frames. Include exclusionary criteria, if any.
2. Describe strategies for in-reach to PCs, in accordance with the target population groups.

Housing Services and Supports

3. 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 co-occurring medical or substance abuse issues should be included.
4. 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 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.
5. 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.
6. Explain how peer-to-peer services and supports will be incorporated in the housing model.
7. Describe the strategies that will be used to build a sense of support among the residents of the apartment.

Staffing

8. Describe the proposed staffing plan with the understanding that the actual staffing plan will be determined by OMH once an agency is selected and the GIN (Gross-Income-Net is a model developed in 1984 to standardize community residence funding. The GIN calculates Medicaid, SSI, and State funding based on assumptions built into the model) is generated. Include a description of staff roles and responsibilities. If the agency's existing OMH licensed housing program(s) is located in the proposed county of service, explain administrative oversight and supervisory functions.

9. 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.

Transitioning to More Independent Living

10. Describe discharge planning and policies. Also, describe the agency's track record with transitioning consumers to more independent housing opportunities.

11. Explain how the agency will create a culture of transition to ensure that residents are engaged in a process of moving towards more independent housing from the time of admission.

Operation of the Apartment Treatment Slots

12. Describe the agency's plan for locating and developing apartments in the proposed county. Describe what the composition of the apartment units will be, i.e. one-bedroom, two-bedroom, three-bedroom apartment units.

13. Provide a time frame for the development or operation of the units.

5.5.3 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. Describe the agency's collaboration and coordination with State Psychiatric Centers in transitioning individuals into the community.

3. An OMH internal review will conduct an assessment of the bidder's organizational competency. This will include a review of the bidder's residential programs over the past three years to assess occupancy rates and admissions from priority populations. Previous OMH actions included, but not limited to, fines, revocations of operating certificates, limitations on operating certificates and/or repeat citations impacting resident care will be reviewed in scoring agency performance.

4. An OMH internal review will also conduct an assessment of organizational competence including: percentage of admissions from OMH Psychiatric Centers and/or OMH-operated residential programs; transition of residents to more independent housing; and accuracy and timeliness of CAIRS reporting.

5.5.4 Financial Assessment

1. Develop an annual operating budget using the **CBR-4, DMH-2, and DMH-3 Schedules** from the current Consolidated Fiscal Reporting System (CFRS) software. OMH Spending Plan Guidelines and CFRS software and guidelines for completion of the **Budget Schedules** may be downloaded from the OMH website at: <http://www.omh.ny.gov/omhweb/resources/providers/>

Calculate the budget and staffing based on the WHAT-IF-GIN mailed to your agency on October 16, 2012. Please note that an agency's actual Gross-Income-Net (GIN) can only be determined by OMH upon analysis of the agency's current OMH licensed housing programs. If an award is made, OMH will generate a GIN for the agency to use to finalize their contract budget. An agency that is not able to prepare a staffing plan and budget consistent with the GIN will have their award rescinded and a new agency will be selected.

When preparing your CBR schedules:

- Identify your document on the Agency Identification Screen, in the User Description field as "What-if-Gin HR RFP"
- Use the following Site Codes:
 - Dutchess County - Site Code #1111111
 - Putnam County - Site Code #2222222
 - Ulster County - Site Code #3333333
- Use current program codes available in the CFR Software
- **Do not** get a document control number (DCN)

Upon completion of the CBR budget schedules, **Print** the budget schedules and attach to your proposal. **Do not upload** the budget schedules. Uploading the budget documents for this proposal may result in your agency being disqualified from the bidding process.

2. Complete Budget Narratives for all of the detailed expense components that make up total operating expenses in each budget and include the calculation or logic that supports the budgeted value of each category.