



**Health Home Plus (HH+) – Specialty Mental Health
Care Management Agency (SMH CMA)
Connections to support Critical Transitions**

November 2023

Request for Applications

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SECTION 1

A. Introduction and Background

The New York State Office of Mental Health (OMH) announces the availability of funds to support the expansion of Health Home Plus (HH+) in New York State. It is anticipated that OMH will make up to 63 awards across the state, contingent upon availability of funding. This funding is specifically targeted for OMH-designated Specialty Mental Health Care Management Agencies (SMH CMA) to develop formal pathways with hospitals, correctional/criminal justice agencies and other key providers serving the HH+ SMI population by which timely and coordinated linkage to HH+ services is provided to individuals experiencing a critical transition in care. The combined total of these awards will be up to \$2,500,000 over one (1) year. (See Section F Use of Funds).

Health Home Plus (HH+) is an intensive Health Home Care Management (HHCM) service established for adults with SMI and who meet certain indicators for high need, such as risk for disengagement from care and/or poor outcomes (e.g., multiple hospitalizations, incarceration, and homelessness). To ensure the intensive needs of these individuals are met, Health Homes ensure HH+ eligible individuals receive a level of service consistent with the requirements for caseload ratios, in-person visits, and minimum levels of staff experience and education. These individuals may benefit from the enhanced support of HH+ for up to 12 consecutive months. The goal of the Health Home Plus expansion is to increase the engagement of the HH+ SMI eligible population in Health Home and its utilization of HH+ services.

The expansion of Health Home Plus is a significant opportunity to support individuals with mental illness in meeting their complex needs and sustaining engagement in the community.

B. Target Population/ Eligibility Criteria

The target populations are:

1. Adults with Serious Mental Illness (SMI) and who meet high need eligible criteria for Health Home Plus SMI.
2. Individuals with SMI that do not fall in any HH+ high need eligible categories but are experiencing a critical transition in care (discharge from a hospital/Emergency Department(ED)/Comprehensive Psychiatric Emergency Program (CPEP), correctional/criminal justice agency and/or other related agencies) may also be eligible. The Care Management Agency may be able to utilize the clinical discretion of a Local Government Unit's (LGU) Single Point of Access (SPOA) or the Managed Care Organization (MCO) to connect individuals to HH+ services.

C. Key Events/ Timelines

Activity	Date
Release RFA	11/21/2023
Questions Due	12/5/2023 04:00PM EST
Post Q&A	12/19/2023
Application Submission Deadline	01/24/2024 02:00PM EST
Anticipated Notification of Awards	02/23/2024
Anticipated earliest contract start date	03/01/2024

D. Eligible Applicants

Eligible applicants are HH CMAs designated by the NYS OMH as Specialty Mental Health Care Management Agencies (SMH CMA). The SMH CMA must have submitted written attestation to the NYS OMH, verifying the agency's intention to provide HH+ and to having protocols in place for ensuring compliance with all required program standards, as outlined in the ["Health Home Plus for High-Need Individuals with Serious Mental Illness Program Guidance" \(Reissued February 2021\)](#).

E. Program Requirements

As noted in the introduction, the purpose of these funds is to support the development of formal pathways between Specialty Mental Health CMAs and hospitals/facilities to enhance support to adults experiencing a critical transition in care, improve HH enrollment for highest need individuals with SMI, and increase linkage to HH+ services.

Formal pathway and procedures with a hospital (inpatient unit, ED and/or CPEP), homeless shelter, correctional facility/criminal justice agency, and/or other facility serving HH+ SMI eligible populations: Such pathway will be specifically designed to receive referrals and allow for timely and effective transitional care coordination to high need individuals experiencing a critical transition in care and ensure linkage to HH+ services.

Options include but not limited to:

- a. CMA partners with hospital/facility – CMA is in proximity to the hospital/facility and readily able to participate in hospital discharge planning activities and support individuals throughout the transition
 - i. Care Manager (CM) has access to inpatient unit to meet with individuals and establish rapport prior to discharge, CM attends discharge planning meetings with the inpatient team, etc.
 - ii. Care Manager as the "super engager" – serves as primary contact for hospital/facility referrals, collaborative communication with inpatient/facility team to coordinate the warm hand off to community services (e.g., providing discharge date to the CM in advance, allowing CM to see individual on the unit prior to discharge, CM viewed by the inpatient/facility team as a resource/solution, educating inpatient team on community services and processes involved to access them, etc.).
- b. Embedded Care Manager model:
 - i. Hospital provides office space for a CM to work certain number of days/hours a week, allowing direct access to the inpatient unit/ED/CPEP, member, inpatient team and/or patient records (in accordance with state and federal privacy laws) for the purpose of discharge planning
 - ii. Hospital provides CM direct access to inpatient unit/ED/CPEP, member, inpatient team and/or patient records (in accordance with state and federal privacy laws) as needed for the purpose of discharge planning

- c. Qualified HH+ care manager provides pre-enrollment service, enrolls the person in Health Home and remains the individual's HH+ CM for continuity of care. Alternatively, an intake specialist primarily tasked with coordinating enrollments but who meets HH+ CM qualifications and is able to provide HH+ services temporarily until individual can be assigned to a permanent HH+ caseload.

As part of this funding initiative, each applicant will be required to attest to complying with each of the following program requirements. The Attestation process will be facilitated/completed in Grants Gateway in the Program Specific Questions section. If you are unable to attest to any component of the program requirements, please note that your application will be automatically disqualified.

1. *Specialty MH CMA Designation*: The CMA attests to understanding that it must maintain full designation as a Specialty Mental Health Care Management Agency for the duration of the contract term, and that any change in their designation status will result in termination of the contract.

2. When submitting proposals for funding under this RFA, the narrative must address all components listed below, in the following order. Responses cannot be a reiteration of the program requirements in Section 1. Please be clear and concise in your response, not all questions need to fill the full character allowance. Agencies should use only the space available in Grants Gateway.

- a. Describe in narrative the characteristics of the population served by the agency. The target populations are:

- i. Adults with Serious Mental Illness (SMI) and who meet high need eligible criteria for Health Home Plus SMI.
- ii. Individuals with SMI that do not fall in any HH+ high need eligible categories but are experiencing a critical transition in care (discharge from a hospital/Emergency Department(ED)/Comprehensive Psychiatric Emergency Program (CPEP), correctional/criminal justice agency and/or other related agencies) may also be eligible. The Care Management Agency may be able to utilize the clinical discretion of a Local Government Unit's (LGU) Single Point of Access (SPOA) or the Managed Care Organization (MCO) to connect individuals to HH+ services.

- b. Provide the location, including count(ies)/borough(s) served, for which this proposal applies. Provide the name of the hospital (inpatient unit, ED and/or CPEP), homeless shelter, correctional facility/criminal justice agency, and/or other facility serving HH+ SMI eligible populations that the CMA will use these funds to develop a formal relationship with, for the purpose of providing effective transitional care coordination.

- c. Describe the pathway the SMH CMA will put in place with the hospital/facility, that allows for effective transitional care coordination for high need individuals experiencing a critical transition in care, including:
 - Process for receipt and timely response to referrals
 - CMA's proximity to the hospital/facility
 - Access by CMA staff to the hospital/facility unit, staff, member records, etc.
- d. Describe the procedures to providing transitional care coordination to individuals coming out of the hospital/facility and ensuring linkage to Health Home, including how the team will engage with the individual prior to discharge from the hospital/facility and/or the day of release, and coordinate with facility staff to facilitate a warm handoff.
- e. Describe how the CMA will ensure staff providing transitional care coordination are trained and well versed in engagement, the needs of the HH+ SMI population and the benefits of HH+ services.

F. Use of Funds

Up to sixty-three (63) awards will be distributed throughout the 5 regions of the State, with total funding of \$40,000 for one (1) year. Eligible agencies may submit one (1) application per agency for this grant opportunity.

This funding is used to cover program costs related to the development of a formal pathway and procedures with a hospital (inpatient, emergency department, or CPEP), correctional/criminal justice agency and/or other provider serving HH+ SMI eligible population by which the SMH CMA will receive referrals, provide transitional care coordination and timely linkage to HH+ services. Such costs may include but are not limited to:

- Competitive salary and fringe for a dedicated Intake Specialist
- Agency resources needed to facilitate direct access to hospital/facility staff and information needed for coordinated discharge planning (e.g., agreements to access medical records, clearance to access inpatient unit, etc.)
- Staff time and agency resources needed for participation in training needed to maintain core competency in engaging the highest need individuals with SMI (e.g., I-CONNECT)
- Staff transportation, equipment, service documentation and other costs related to carrying out transitional care coordination activities
- Allowance for flexible hours to optimize CMA's ability to communicate with inpatient team for coordination of discharges that occur outside normal business hours

G. Method of Evaluating Applications

Designated staff will review each application for completeness and verify that all eligibility criteria are met. A complete application that clearly includes all required components described in the program requirement Section E will be given a Passing score. If an application is missing any one (1) of the required components (incomplete), or does not meet the basic eligibility and participation standards as outlined in Section D, it will be disqualified.

If the application fails to meet the required elements as described, it will be eliminated from further review.

H. Disqualification Factors

If an application is not complete or does not meet the basic eligibility standards it will be eliminated from further review.

Additionally, during the application evaluation process, evaluators will also be reviewing eligibility criteria and confirming that they have been met. During the course of either of these review processes, applications that do not meet basic participation standards will be disqualified, specifically:

- Applications that do not meet the eligible applicant criteria as outlined in Section 1 D.
- Applications from eligible not-for-profit applicants who have not completed Vendor Prequalification, as described in Section 2 D, by the application due date.

I. Process for Awarding Contracts

Initial Awards and Allocations

OMH will make up to 63 awards. Completed applications, meeting all the required eligibility as described in Section D, will be awarded, and distributed on a first come, first serve basis. To ensure awards are distributed to all 5 regions of the State, OMH will distribute awards on a first come, first serve basis to applications received by region. For Western New York, Central New York, Hudson River and Long Island regions, OMH will distribute awards to the first 10 applications received per region; for the NYC region, OMH will distribute awards to the first 23 applications. If in a given region all awards have not been distributed, OMH will go back to review applications by submission date and distribute awards on first-come first-serve basis until all remaining awards are made.

Section 2 Administrative Information

A. Designated Contract/ Issuing Officer

OMH has assigned an Issuing Officer for this project. The Issuing Officer or designee shall be the sole point of contact regarding the RFA from the date of issuance of this RFA until the issuance of the Notice of Conditional Award. To avoid being deemed nonresponsive, an applicant is restricted from making contact with any other personnel of OMH regarding this RFA. Certain findings of non-responsibility can result in rejection for a contract award. The Issuing Officer for this RFA is:

Amanda Szczepkowski
Contract Management Specialist 2
New York State Office of Mental Health
Contracts and Claims
44 Holland Avenue, 7th Floor
Albany, NY 12229
OMHLocalProcurement@omh.ny.gov

B. RFA Questions and Clarifications

All questions or requests for clarifications concerning the RFA shall be submitted in writing to the Issuing Officer by email to OMHLocalProcurement@omh.ny.gov by the “Questions Due” date indicated in Section 1C and will be limited to addressing only those questions submitted by the deadline. **The subject line of your email must state “Health Home Plus Initiative RFA” in the Subject Line.** No questions can be submitted or will be answered after this date. No questions will be answered by telephone or in person.

The questions and official answers will be posted on the OMH website according to Section 1C. **Please be advised if the Subject Line is not indicated as instructed in this Section, OMH cannot guarantee that the Question will be listed in the published Questions and Answers.**

C. Addenda to Requests for Applications

In the event it becomes necessary to revise any part of the RFA during the application submission period, an addendum will be posted on the OMH website, the Grants Gateway, and the NYS Contract Reporter.

It is the applicant’s responsibility to periodically review the OMH website, the NYS Contract Reporter and Grants Gateway to learn of revisions or addendums to this RFA. No other notification will be given.

D. 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 if a not-for-profit entity, complete the Prequalification process in order for applications to be evaluated and any resulting contracts executed.

Applications received from eligible not-for-profit applicants who have not been Prequalified by the application submission deadline, cannot be evaluated; therefore, such Applications will be disqualified from further consideration. For-Profit applicants are exempt from Prequalification but must still Register with the Grants Gateway in order to submit applications and receive a contract if an award is made.

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 five (5) days prior to the RFA due date and time may not be considered. Applicants should not assume their prequalification information will be reviewed if they do not adhere to this timeframe.

E. Instructions for Bid Submission and Required Format

All applicants must be registered with the New York State Grants Gateway System and all Not-For-Profit agencies must be Prequalified prior to application submission.

If you are not already registered:

Registration forms are available at the GGS Website – <https://grantsmanagement.ny.gov/register-your-organization>

Include your SFS Vendor ID on the form; if you are a new vendor and do not have an SFS Vendor ID, include a Substitute for W-9 (with your signed, notarized registration (also available from website).

All registrations 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 – OR – by telephone: 518- 474-5595.

How to Submit an Application

Applications must be submitted online via the Grants Gateway by the date and time posted in Section 1C. Tutorials (training videos) for use of the Grants Gateway (and upon user log in).

You must use Internet Explorer (11 or higher) to access the Grants Gateway. Using Chrome or Firefox causes errors in the Work Plan section of the application.

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 RFA, 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 application 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” or a “Grantee System Administrator”.

The ‘Grantee’ role may ONLY Initiate and Save changes to the application such as add/update information to forms, upload documents while the user logged in as ‘Grantee Contract Signatory’ or a ‘Grantee System Administrator’ role can perform all the tasks of Grantee role and in addition, can SUBMIT the application to the State. When the application is ready for submission, click the ‘Status Changes’ tab, then click the ‘Apply Status’ button under “APPLICATION SUBMITTED” before the due date and time.

For further information on how to apply, and other information, please refer to the Vendor User Manual document.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grantee Documents section on Grants Management website.

Late applications will not be accepted. Applications will not be accepted via fax, email, hard copy, or hand delivery.

Helpful Links: Grants Reform Videos:

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

Grants Team Email (Application Completion, Policy, and Registration Questions):

grantsgateway@its.ny.gov or by phone at 5198-474-5595

Instructions for Completing the Workplan and Objectives in NYS Grants Gateway

The Workplan Overview Form will be used to create the Work Plan portion of the contract. Some of the information requested will be duplicative of information provided earlier in the application. Be sure to follow the guidance provided below.

The Work Plan Period should reflect the anticipated contract period. Contracts will be approved for a one-year term.

The Project Summary section should include a high-level overview of the project as instructed.

The Organizational Capacity section should include the information requested regarding staffing and relevant experience of staff and any applicable consultants to be involved in undertaking the proposed project.

The Objectives and Tasks section should identify grantee-defined objectives and tasks that are relevant to the completion of the proposed project. To get started, add your first Objective Name and Description, and then click the [SAVE] button at the top of the page. After hitting Save, a field for the Task Name and Task Description will show under the Objective box. Complete both fields and hit the [SAVE] button at the top of the page. After entering the Task information and clicking Save, you will now see a box for the Performance Measure information and a box to enter a second Task. Enter a Performance Measure Name and select the Performance Measure Data Capture Type from the dropdown box. The type you choose from the dropdown will show on the screen for you to complete. Once you've entered the name, data capture type and the text/integer/or date as applicable, click the [SAVE] button at the top of the page.

For Performance Measure Name restate the Objective then enter the narrative requested in the box below. Performance Measures are also grantee-defined and should reflect some measurable benchmark(s) in order to demonstrate adequate progress within the 18 months of the award date, as required by the RFA. Once entered, click Save. You may continue to add Objectives, Tasks and Performance Measures up to and including the max amount allowed by the state.

The online Workplan is essentially an outline/summary of the work associated with the Project(s) described in the sections above. Please note that if an application is selected for award, the Workplan will be subject to change and can be updated during the contract development/negotiation process.

Applicants should refer to Section 5.2.4 Grantee Defined Workplan of the 'Grantee User Guide' ([Click here for Grants Gateway: Vendor User Guide](#)) for detailed instructions on how to complete the Workplan.

F. Reserved Rights

OMH reserves the right to:

- Reject any or all applications received in response to the RFA that are deemed non-responsive or do not meet the minimum requirements or are determined to be otherwise unacceptable, in the agency's sole discretion;
- Withdraw the RFA at any time, at the agency's sole discretion;
- Make an award under the RFA in whole or in part;
- Disqualify an applicant whose conduct and/or application fails to conform to the requirements of this RFA
- Seek clarifications and revisions of applications for the purposes of assuring a full understanding of the responsiveness to this solicitation's requirements;
- Use application information obtained through the state's investigation of an 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 in the course of evaluation and/or selection under the RFA;
- Prior to the bid opening, direct applicants to submit application modifications addressing subsequent RFA amendments;
- Prior to the bid opening, amend the RFA 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, Grants Gateway and the New York State Contract Reporter;
- Eliminate any non-material specifications that cannot be complied with by all of the prospective applicants;
- Waive any requirements that are not material;
- Negotiate any aspect of the application with the successful applicant in order to ensure that the final agreement meets OMH objectives and is in the best interests of the State;
- 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 the purpose of assuring a full and complete understanding of an applicant's application and/or to determine an applicant's compliance with the requirements of the solicitation; and,
- Cancel or modify contracts due to insufficiency of appropriations, cause, convenience, mutual consent, non-responsibility, or a "force majeure"
- Change any of the dates in the Timeline/Key Events

G. Debriefing

OMH will issue award and non-award notifications to all applicants. Non-awarded applicants may request a debriefing in writing requesting feedback on their own application, within 15 business days of the OMH dated letter. OMH will not offer debriefing to providers who receive an award. OMH will not offer ranking, statistical or cost information of other applications until after the NYS Office of the State Comptroller has approved all awards under this RFA. Written debriefing requests may be sent to the Designated Contact/Issuing Officer as defined in Section 2.A.

H. Protests Related to Solicitation Process

Protests based on errors or omissions in the solicitation process, which are or should have been apparent prior to the deadline for receipt of all written questions for this RFA, must be filed prior to the deadline of questions. In the event an applicant files a timely protest based on error or omission in the solicitation process, the Commissioner of OMH or their designee will review such protest and may, as appropriate, issue a written response or addendum to the RFA to be posted on the OMH website in the RFA/RFP section. 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 their 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 RFA title and due date. Such protests must be submitted to:

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

I. Sexual Harassment Prevention Certification

State Finance Law Section 139_I requires applicants on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees. Bids that do not contain the certification may not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a statement with their bid detailing the reasons why the certification cannot be made. A template certification document is being provided as part of this RFA. Applicants must complete and return the certification with their application or provide a statement detailing why the certification cannot be made.

J. NYS and OMH Policies

The applicant/contractor must agree to comply with all applicable New York State and OMH policies, procedures, regulations, and directives throughout the term of the contract.

K. Purchase Order

The Purchase Order awarded in response to this RFA will be for a one-year term.