

ADDENDUM #3

April 8, 2024

RFA # 20244 / Grants Gateway# DOH01-SHCFT4-2023

Statewide Health Care Facility Transformation Program IV

Request for Applications

The following are official modifications, which are hereby incorporated into RFA # 20244 Statewide Health Care Facility Transformation Program IV. Deleted language appears in strikethrough (“~~xxx~~”) and added language appears in red text. The information contained in this amendment prevails over the original RFA language. Applicants should review all documents in their entirety to ensure all amended language is incorporated into their applications.

1. The following changes are made to Addendum #1 and the cover page, Key Dates (Page 1 of the RFA):

Applications Due: ~~April 10~~ April 24, 2024 by 4:00 PM ET

ADDENDUM #2

March 26, 2024

RFA # 20244 / Grants Gateway# DOH01-SHCFT4-2023

Statewide Health Care Facility Transformation Program IV

Request for Applications

The following are official modifications, which are hereby incorporated into RFA # 20340 Statewide Health Care Facility Transformation Program IV – Residential and Community-based Alternatives to the Traditional Model of Nursing Home Care. Deleted language appears in strikethrough (“~~xxx~~”) and added language appears in **red** text. The information contained in this amendment prevails over the original RFA language. Applicants should review all documents in their entirety to ensure all amended language is incorporated into their applications.

Attachment 2, Projected Financial Information

The following instructional changes are made to Tab 2, Use of Funds, Details of Expenses: Provide a detailed discussion by each line item listed above. Please include all assumptions made and any basis that was used to determine the cost. This should include any bids received, research conducted, etc. This should be a separate attachment via PDF and should not exceed 5 typed pages at 12 pt. font. Please note at the top right corner of the attachment "Project Costs - Detail of Expenses". **Please upload to the Grants Gateway, under Grantee Document Folder which is found in the File Folders section of the Forms Menu, right below the Pre-submission Uploads.**

ADDENDUM #1

March 15, 2024

RFA # 20244 / Grants Gateway# DOH01-SHCFT4-2023

Statewide Health Care Facility Transformation Program IV

Request for Applications

The following are official modifications, which are hereby incorporated into RFA # 20244 Statewide Health Care Facility Transformation Program IV. Deleted language appears in strikethrough (“~~xxx~~”) and added language appears in red text. The information contained in this amendment prevails over the original RFA language. Applicants should review all documents in their entirety to ensure all amended language is incorporated into their applications.

1. The following changes are made to the cover page, Key Dates (Page 1 of the RFA):
Applications Due: ~~March 26~~ April 10, 2024 by 4:00 PM ET
2. Please see the attached amended Q&A document for Question 160.

Questions and Answers
Statewide Health Care Facility Transformation Program (SHCFTP) IV
RFA # 20244 / Grants Gateway # DOH01-SHCFT4-2023

Questions below were received by the deadline announced in the RFA. NYSDOH is not responsible for any errors or misinterpretation of any questions received. The responses to questions included herein are the official responses by the State to questions posted by potential applicants and are hereby incorporated into the RFA #20244. In the event of any conflict between the RFA and these responses, the requirements or information contained in these responses will prevail.

Q#	Category	Question	Answer
0	Technical - Budget	We understand a detailed budget justification needs to be submitted (based on note in Attachment 2, Tab 2-Use of Funds). However, this note also states that the justification should be no more than 5 pages and 12-point font and is to be uploaded as a PDF. Where does this get uploaded?	Please upload this separate PDF to the Grants Gateway, under Grantee Document Folder which is found in the File Folders section of the Forms Menu, right below the Pre-submission Uploads.
1	Access to Funding	RFA Section III. Project Narrative/Work Plan Outcomes, C. Evaluation Criteria states that NYSDOH will consider “the extent to which the Eligible Applicant has limited access to alternative financing” when making awards. Given this criterion, would projects including matching funds be viewed favorably or unfavorably? Would projects that do not include matching funds due to a lack of access to these funds be prioritized for awards?	Please see Section V.C. Review & Award Process. Per other information about award determinations, SHCFTP IV does not require applicants to provide matching funds. However, if an applicant chooses to identify matching funds in support of the full project cost, and the Eligible Project receives a SHCFTP award, a condition of that award will be that all funding sources for the project are verified as available to fund the project. However, given that an evaluation criterion is “the extent to which the Eligible Applicant has limited access to alternative financing” and recognizing that the value of project requests is expected to significantly exceed available funds, the capability of an applicant to access debt or institutional funds for all or a portion of the project costs will be an award consideration.
2	Amount of Funding	How much is this Transformation program (#20244) funding?	\$250,000,000 in funding is available for SHCFTP IV RFA (#20244).
3	Amount of Funding	What is the total amount of funding to be awarded through this RFA?	See answer to question #2.
4	Amount of Funding	Could you please inform us if there are specific portions set aside within these grants for community-based organizations, such as Federally Qualified Health Centers (FQHCs)?	Per Public Health Law (PHL) 2825-g Section 5, a minimum of \$25 million in total funding must be awarded to community-based providers, \$25 million in total funding must be awarded to behavioral health community-based providers, and \$25 million in total funding must be awarded to residential health care facilities or adult care facilities.
5	Amount of Funding	Is the \$25M set aside for community-based health care providers as part of the Statewide Transformation Program included in this Statewide Transformation Program IV RFA#20244 and if not when do you anticipate releasing an RFA for those funds?	Yes, the minimum funding allocations per PHL 2825-g are included in this RFA. See answer to question #4.
6	Amount of Funding	Is any specific portion of the total grants funding reserved for specific eligible applicant types? Or for eligible applicants from specific NYS counties?	See answer to question #4. Per page 14 of the RFA, the Department of Health reserves the right to award grants based on geographical or regional considerations to serve the best interest of the State.
7	Amount of Funding	Is there a specific allocation of funds for capital projects versus debt retirement and restructuring out of the total available funding of \$250,000,000.00?	No. Refer to Section V.C., Phase III of the RFA regarding award methodology, which states: Awards for debt retirement, working capital, or other non-capital projects or purposes, defined as those that are not eligible to be funded with the proceeds of bonds issued pursuant to Section 1680-r of the PAL, will be made in accordance with the “Overall Award Methodology” outlined above and considered together with projects or purposes that are eligible to be funded with such <u>bond proceeds</u> .
8	Amount of Funding	Is there a breakdown of the \$250 million relative to capital, non-capital and debt relief allocations, similar to the breakdown between capital and non-capital in RFA # 20258?	See answer to question #7.
9	Amount of Funding Request	I was unable to find the allocation amount in the RFP. Is there a min/max award amount?	Applications are not capped to a maximum award amount but should be reflective of the project proposed. Through the Evaluation Criteria and the Reserved Rights in the RFA the Department will factor in the Applicant’s need for funds, efficient and resourceful plan for funds, and the impact funds would have on the statewide health system. There is no minimum amount. This is not a first come first serve application.
10	Amount of Funding Request	Is there a maximum amount of funding an applicant can request?	See answer to question #9.

Q#	Category	Question	Answer
11	Amount of Funding Request	Is there a limit on the amount of funding that an applicant can request under the Statewide Health Care Facility Transformation Program IV?	See answer to question #9.
12	Amount of Funding Request	If more than one application is submitted, is there a cap on how much will be awarded per organization?	See answer to question #9.
13	Amount of Funding Request	I was working with an agency interested in applying for this grant, but I cannot seem to find the grant funding parameters. Is funding based on the percentage of the overall project or is it a specific dollar amount?	See answer to question #9.
14	Amount of Funding Request	What is the anticipated award range and number of awards for this funding opportunity?	There is no minimum or maximum number of successful applicants that are anticipated to receive awards.
15	Applicant Webinar	Is there going to be any webinar or other information shared in addition to the posting on Grants Gateway about this opportunity? I see we can submit questions until 2/20/24 but wanted to know if there will be an opportunity to hear more from DOH about this opportunity.	No. Refer to Section IV. Administrative Requirements, D. Applicant Conference, which states: an Applicant Conference will not be held for the Project by way of a webinar.
16	Available Funding Opportunities	I have seen 3 opportunities now labeled SHFT IV--a generic one that came out today, a HIT opportunity from a few days ago that also lists round V, and a residential opportunity today. Are all of these actually Round IV or have some been mislabeled? Is eligibility the same for all of them? Which if any can a homeless shelter and/or permanent supportive housing agency apply for? Which if any can a substance use disorder treatment and recovery services provider apply for?	The RFAs have not been mislabeled. Refer to Section II. Who May Apply of this RFA to determine eligibility.
17	Available Funding Opportunities	Can the same project be submitted to both SHCFT IV and SHCFT IV- Residential and Community-based Alternatives to the Traditional Model of Nursing Home Care?	Yes, however projects awarded under RFA 20244 SHCFTP IV may not be funded by overlapping sources of New York State funding.
18	Available Funding Opportunities	If awarded, can funding from RFA #20244 support a project that has received funding from sources including but not limited to the state and federal government? I see that it cannot overlap with awards under the "Nonprofit Infrastructure Capital Investment Program," administered by the Dormitory Authority of the State of New York. Beyond this, are there restrictions?	Projects awarded under RFA 20244 SHCFTP IV may not be funded by overlapping sources of New York State funding. Per Section IV. Administrative Requirements, G. Term of Contract of the RFA, the estimated start date of the contract is October 1, 2024. Only expenses incurred on or after the start date of the contract (and determined allowable under the contract budget and work plan) may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at-risk.
19	Available Funding Opportunities	As a Statewide III awardee, would it be appropriate for us to apply for The nonprofit infrastructure capital investment grant as well or should we hold off? We didn't know if we were eligible to tap into apply for multiple sources of funding.	Projects awarded under RFA 20244 SHCFTP IV may not be funded by overlapping sources of New York State funding.
20	Available Funding Opportunities	Our Article 28 clinic has a current DASNY grant for capital improvements - renovations and various equipment. It is not through the NICIP opportunity. Is our Article 28 eligible to submit an application to this RFA for other construction and eligible equipment costs not covered by our current DASNY grant contract?	Applicants may apply to multiple sources of funding, however, projects awarded under RFA 20244 SHCFTP IV may not be funded by overlapping sources of New York State grants.

Q#	Category	Question	Answer
21	Available Funding Opportunities	Our parent company intends to submit an application to the NICIP opportunity for a residential site. Our parent company's Article 16 clinic is interested in applying to this RFA. Is our Article 16 eligible, since the project expenses would be different and separate from the residential site's NICIP funding? Or would this be considered "overlapping sources of state funding"?	Yes, if the Article 16 clinic project is separate and distinct from the parent company's residential facility project and the applicant meets all eligibility requirements of this RFA.
22	Available Funding Opportunities	Can one organization apply to both the SHCFTP RFA and the Health Information Technology, Cybersecurity, and Telehealth Transformation RFA as long as specific expenses are unique to each opportunity and unfunded by any other state/federal award?	Yes. Per Section III. B Eligible and Excluded Expenses and Disallowed Costs of this RFA, costs related to health information technology and/or telehealth that exceed 15 percent of the total Eligible Project funds requested are not eligible for funding under RFA #20244.
23	Available Funding Opportunities	Can an Applicant apply for an IT project with under this grant?	Yes. Refer to Section III. B Eligible and Excluded Expenses and Disallowed Costs of this RFA.
24	Available Funding Opportunities	Is this considered Federal financial assistance where Grant awardees subject to the Single Audit Act?	No, an award under the Statewide Health Care Facility Transformation Program is a New York State allocation and not considered federal financial assistance.
25	Award Advances	While the RFA clearly states that there are to be no advances allowed for contracts resulting from this procurement, I see that DASNY would undertake a bondability review of grant applications identified by NYSDOH for an award. If DASNY determined an applicant to be acceptable for bonding, would that allow for bond funds to be available in advance? That is, would an applicant be able to draw on bond funds to cover funding needs before the normal payment mechanism begins? How would the DASNY bond funding mechanism work in this case?	No advances are allowed for contracts resulting from this RFA, including for projects eligible to be funded with the proceeds of bonds.
26	Capital versus Non-Capital Projects	In this RFP, if an entity applies for both a capital project and a debt retirement and restructuring, is one project given priority over the other in the scoring process?	Please see Section V.C. Review & Award Process.
27	Capital versus Non-Capital Projects	How much can we ask for if we are requesting debt retirement? How much can we ask for if we are requesting funds for construction? Can we do both?	There are no minimum or maximum amounts for funding requests. Applicants can apply for both capital and non-capital projects, but separate applications are required.
28	Capital versus Non-Capital Projects	For the Statewide Healthcare Facilities Transformation IV application, I understand that employees' salaries are NOT an eligible expense. However, is there a possibility of including, in start-up funds, temporary project-based staff lines, to hire someone to help with start-up specific action items - i.e. recruiting/screening/hiring of health clinic staff, developing written protocols and forms, establishing work processes, initial community outreach/marketing, establishment of strategic partnerships, training and orientation of first clinic team? If it is not permissible to hire and pay staff to carry out these responsibilities, is it possible to bring on board a consultant who would be focused on these start-up activities?	For non-capital applications, start-up operating expenses, which may include consultant and other expenses to pay staff associated with a dependent capital project, are eligible for a limited, brief period until program revenue is reasonably anticipated to support operations (to be determined on a case-by-case basis). Start-up operating expenses must be directly connected to an incremental cost of the Eligible Project for which funding is being sought under this RFA. For eligible capital projects, consultants' fees and other expenditures associated with the preparation of Certificate of Need (CON) applications required for the proposed establishment action, construction activity or service expansion (so long as the costs incurred are in connection with original construction and not an ownership transfer) are eligible.
29	Capital versus Non-Capital Projects	Can you provide a specific example of a working capital or non-capital project that would be considered directly related to a capital project under this program?	An example of working capital is funding to increase the liquidity level of Eligible Applicants to manage day-to-day operating expenses and improve their long-term financial sustainability. An example of non-capital projects related to a capital project are start-up expenses. Refer to RFA Section III. B. Eligible and Excluded Expenses and Disallowed Costs for additional details.

Q#	Category	Question	Answer
30	Certificate of Need	We have a client, an existing and operating Article 28 D&TC that is currently negotiating the acquisition of another Article 28 D&TC. The CON for the acquisition of the other D&TCs will not be approved by the SHD until the 2nd half of 2024. If the seller submits the grant prior to the March 26th date and is awarded the grant, does that grant award become an asset for the buyer through the Asset Purchase Agreement and change in ownership once approved by the State Health Department?	Review of the specific details of the asset purchase agreement would be needed to make a determination.
31	Certificate of Need	We have a client who is in the process of an asset purchase of existing Article 28 D&TCs. The client is an operator of a duly licensed and operational D&TC. Once the purchase is completed, a CON will be submitted for a change of ownership. The approval of this transaction will not occur before the submission deadline for the grant (March 2024). Our question is: since this is an asset purchase, if the seller submits the grant under their name (legal entity) and the grant is awarded to the seller, after the CON is approved, can the new owners assume the approval under their new title, tax id, etc.	See answer to question #30.
32	Community Needs Assessment	Can you provide detail on the state's expectations regarding the methodology, goals, etc. of the needs assessment referenced in section 4g of the narrative?	The RFA, Section V.A., Program Specific Question 4.g. i-iv. outlines the requirements for the community needs assessment. It is up to the Applicant to determine if the community need assessment satisfies the requirement of this RFA. The Department of Health makes a wide range of data available through Health Data NY: https://health.data.ny.gov/
33	Cost Savings	Under Cost Savings, is the health care system referred to under 8a Medicaid? Or the eligible applicant's own system?	For question 8a., the response should include cost savings of the Eligible Project to the Applicant's own organization.
34	Cost Savings	Can you explain how "health care system" is defined in Question 8(a) in Section V(A) related to Cost Savings?	See answer to question #33.
35	Debt Relief	Can you provide a detailed definition or clarification of what activities are encompassed by "debt retirement and restructuring" in the context of this funding opportunity?	Debt retirement and restructuring includes cost to reduce, retire or refinance long-term liabilities such as mortgages, bank loans, capital leases and other liabilities, payments of debt service for long-term liabilities and costs for restricting including professional fees, penalties, and interest. Refer to RFA Section III. Project Narrative/Work Plan Outcomes, B. Eligible and <u>Excluded Expenses and Disallowed Costs.</u>
36	Debt Relief	We would like to apply for debt retirement. The debt would be for the mortgage on our cottages, campus, and outer homes. The mortgage is for refurbishments done in the 1990s. Does this qualify? Can we apply if we have also submitted a NICIP application for construction/repairs on our cottages (but not for the debt)?	See answer to question #35 to answer to your first question. See answer to question #20 to answer to your second question.
37	Debt Relief	Is a frozen defined benefit pension plan covered under this grant? Ours has been closed since 2012 but remains as a liability for the organization.	See answer to question #35.
38	Debt Relief	Is inter-agency debt eligible for forgiveness?	No, however, review of the specific details would be needed to make a final determination.
39	Debt Relief	We are looking to obtain support on debt retirement and restructuring to ensure the long-term sustainability of our program. Are there specific requirements that will be considered for this type of request?	Refer to Section V.C., Phase III, which states: Awards for debt retirement, working capital, or other non-capital projects or purposes, defined as those that are not eligible to be funded with the proceeds of bonds issued pursuant to Section 1680-r of the PAL, will be made in accordance with the "Overall Award Methodology" outlined above and considered together with projects or purposes that are eligible to be funded with such bond proceeds.
40	Debt Relief	For mortgage debt forgiveness, what are the key criteria you would be looking for to be competitive?	See answer to question #39.

Questions and Answers

Q#	Category	Question	Answer
41	Debt Relief	Are there specific criteria or conditions that health care facilities must meet to be eligible for funding related to debt retirement and restructuring?	See answer to questions #35 and #39.
42	Debt Relief	Are there limitations on the types of debts that can be retired or restructured using these funds? For example, does it include both short-term and long-term debt?	Refer to Section III. B Eligible and Excluded Expenses and Disallowed Costs of this RFA.. Debt restructuring including costs to reduce, retire or refinance long-term liabilities such as mortgages, bank loans, capital leases and other liabilities, payments of debt service for such long-term liabilities and costs for restricting including professional fees, penalties, and interest.
43	Debt Relief	If applying for a non-capital debt retirement project, are there any requirements on how the debt has to be retired?	Refer to Section V.C., Phase III of the RFA regarding award methodology, which states: Awards for debt retirement, working capital, or other non-capital projects or purposes, defined as those that are not eligible to be funded with the proceeds of bonds issued pursuant to Section 1680-r of the PAL, will be made in accordance with the "Overall Award Methodology" outlined above and considered together with projects or purposes that are eligible to be funded with such bond proceeds.
44	Debt Relief	What is the maximum or minimum amount of funding available for debt retirement and restructuring projects, if any?	Applications are not capped to a maximum award amount but should be reflective of the project proposed. Through the Evaluation Criteria and the Reserved Rights in the RFA the Department will factor in the Applicant's need for funds, efficient and resourceful plan for funds, and the impact funds would have on the statewide health system. There is no minimum amount. This is not a first come first serve application.
45	Debt Relief	An Article 28 D&TC would like to submit an application for debt relief related to capital renovation on its health center. However, the debt itself resides with the health center's parent organization. Can the Article 28 (the eligible entity) submit an application to request SHCFTP VI grant funds for the debt held by the parent organization?	Either a subordinate organization or a parent organization may submit an application for an Eligible Project, if they meet the eligibility criteria in Section II. Who May Apply. The proposed project should align with the licensure the applicant's using to demonstrate eligibility for this grant funding. Each application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant.
46	Debt Relief	Can an organization submit a proposal for debt restructuring associated with an affiliate of that organization?	See answer to question #45.
47	Debt Relief	Regarding a debt reduction grant. Would an unrecorded loan (e.g., a loan from a parent company to a subsidiary) be eligible for the debt reduction grant? Specifically, a parent company has loaned its subsidiary (who would be the Eligible Applicant) funds to renovate an Article 31 clinic. The loan is documented on the books in both organizations; however, the loan does not come from an external lender such as a bank. The subsidiary/Eligible Applicant must pay the loan back to the parent company with an established payment schedule	See answer to question #45.
48	Debt Relief	Would an eligible debt retirement project require us to refinance through DASNY?	No.
49	Debt Relief	Can an Eligible Applicant request grant funding for debt retirement for a wholly owned subsidiary?	See answer to question #45.
50	Debt Relief	We'd like to propose a debt restructuring project with funds to reduce long-term debts (e.g. mortgages, construction loans, etc.) from multiple lenders. Can this be submitted as one project/ one grant application?	Yes, one grant application may be accepted if the applicant meets all requirements. Please refer to Section II. Who May Apply and Section III.A. Eligible Projects for eligibility requirements.
51	Debt Relief	In what budget category should funds to reduce long-term liabilities be budgeted?	Non-capital funds should be allocated in the "Other" category of the Capital Budget.
52	Debt Relief	Does the state have a preferred method for awarding grant funds to reduce long-term liabilities? In other words, does the state have a preference towards reimbursing a portion of our regular monthly payments to lenders over the five-year grant, or would it be better to propose a lump sum to make a one-time payment to reduce/retire these debts.	Eligible Applicants should propose a lump sum for one-time payment for debt retirement or restructuring.

Questions and Answers

Q#	Category	Question	Answer
53	Eligible Applicant	Can an A29-I Voluntary Foster Care Agency funded by a local government unit apply?	An Article 29-I health care facility operated by a Voluntary Foster Care Agency and funded through a local government unit, as defined by article 41 of the Mental Hygiene Law, is an Eligible Applicant. An Article 29-I health care facility operated by Voluntary Foster Care Agency NOT funded through a local government unit is not one of the eligible provider types listed in Section II of the RFA and is NOT considered an Eligible Applicant under this RFA.
54	Eligible Applicant	Can a A29i VFCA health facility apply for this grant?	See answer to question #53.
55	Eligible Applicant	Would a facility funded by ACS New York City Administration and New York State OCFs be eligible for funding under this RFA?	Only community programs funded through a local government unit as defined under Article 41 of the Mental Health Law are Eligible Applicants. See answer to question #53.
56	Eligible Applicant	I wish to clarify if this grant is restricted to Tribal Organizations only. It appears it is also eligible to OMH Licensed Clinics?	Refer to Section II. Who May Apply of this RFA to determine eligibility.
57	Eligible Applicant	We are reviewing this call and are interested in this opportunity, but I notice that for Community-based health care providers you seem to EXCLUDE Advanced Practice Registered Nurses (ARPN's)/nurse practitioners who are increasingly providing primary care across NY State and the US not eligible. Given that Governor Hochuli signed legislation that provides nurse practitioners (APRN's) with full practice authority in NY State in April of 2022 – why aren't APRN's/nurse practitioners eligible?	APRN's/Nurse Practitioners with New York State Nursing Licenses are not Eligible Applicants. Under this RFA, Primary Care Providers must have a New York State Medical License.
58	Eligible Applicant	Are individual Community Providers licensed as Specialists also Eligible Applicants if they have a secondary specialty in Internal Medicine or other PCP related specialties?	Yes, if the Eligible Applicant meets the other requirements of Section II. Who May Apply, has a New York State Medical License, and can demonstrate the provision of primary care services.
59	Eligible Applicant	In the RFA #20244 it is stated that "Independent practice associations or <u>organizations</u> with a valid New York Department of State Identification Number" are Eligible Applicants. Should a Clinically Integrated Network then be considered such an Organization?	Yes, if the integrated network meets the other requirements of Section II. Who May Apply, has a valid New York Department of State Identification Number, and can demonstrate the provision of primary care services.
60	Eligible Applicant	Are "multi-specialty medical groups" considered Eligible Applicants or only PCP medical groups or multi-specialty IPA's?	See answer to questions #58 and #59.
61	Eligible Applicant	Are Managed Services Organizations (MSOs) eligible to apply?	No. Refer to Section II. Who May Apply of this RFA to determine eligibility.
62	Eligible Applicant	Are Ambulatory Surgery Centers (ASCs) licensed under PHL Article 28 also considered Eligible Applicants, or only Diagnostic & Treatment Centers?	Federally defined Ambulatory Surgery Centers licensed under PHL Article 28 are considered Diagnostic & Treatment Centers.
63	Eligible Applicant	Are licensed "Portable X-ray supplier" or "Independent Diagnostic Facility" considered Eligible Applicants?	No. Refer to Section II. Who May Apply of this RFA to determine eligibility.
64	Eligible Applicant	The RFA also includes those who provide community-based programs funded under OMH (or OASAS or OPWDD) as eligible providers. We currently provide OMH-funded CFTSS out of a building that is on the same property as the proposed project. The proposed project would house the provision of CFTSS, among other behavioral health and wellness services as well. Are OMH-funded CFTSS programs considered eligible programs under the category of "community-based programs funded under OMH"? (See RFA p. 5 under Eligible Parties and RFA p. 7 Section A. Eligible Projects)	Yes. Per Section II. Who May Apply of this RFA, "community-based programs funded under the Office of Mental Health, the Office of Addiction Services and Supports, the Office for People with Developmental Disabilities, or through local governmental units as defined under Article 41 of the MHL" are Eligible Applicants. Refer to Section II. Who May Apply of this RFA for further eligibility requirements.
65	Eligible Applicant	I am writing to see if my organization is eligible to apply for funding through the Statewide Health Care Facility Transformation Program IV. In a nutshell, Encore has a contract with the NYC Department of Health and Mental Hygiene, which we understand receives funding from the New York State Office of Mental Health.	See answer to question #64.
66	Eligible Applicant	Could you please specify the eligibility requirements for OPWDD program/facilities? Are there any OPWDD programs excluded from eligibility under this RFA?	See answer to question #64.

Questions and Answers

Q#	Category	Question	Answer
67	Eligible Applicant	Are we eligible if our programs are funded under OCFSS, OPWDD, and SED?	See answer to question #64.
68	Eligible Applicant	Can we apply jointly with OPWDD?	<p>If the project requires the involvement of more than one entity:</p> <p>(a) The Eligible Applicant may subcontract with other entities to complete the project. However, the Eligible Applicant is the entity that will enter into a grant contract with the state and will be financially responsible for incurring and paying all costs prior to reimbursement.</p> <p>(b) Alternatively, each entity may submit a separate application characterizing its specific project costs and impacts, so long as each entity meets eligibility requirements specified in Section II, Who May Apply.</p> <p>Where a project involves multiple interdependent applications, each application should reference and discuss these interdependencies.</p> <p>See also answer to questions #64 and #81</p>
69	Eligible Applicant	<p>Are we eligible to apply for the grant? Although we do not have a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, we do have an operating certificate to practice psychotherapy as a nonprofit through the Corporate Practice Waiver Exemption. We also have an operating certificate from NYS OASAS to provide Prevention Education and Other Prevention Services.</p> <p>Additionally, we provide the following eligible services:</p> <ul style="list-style-type: none"> -Strict and Intensive Supervision and Treatment (SIST) funded by the Office of Mental Health -A specialized counseling/psychotherapy program funded by our Local Department of Social Services and Medicaid Managed Care <p>We are also designated by the Office of Mental Health to provide Psychosocial Rehabilitation Services through Children and Family Treatment and Support Services.</p>	See answer to question #64.
70	Eligible Applicant	We have received funding from OMH in the past, and we currently receive funding from NYC's DOHMH. In speaking with others, I've heard of organizations that thought they were eligible who invested a lot of time and energy into their proposal just to find out the state did <u>not deem them eligible</u> .	See answer to question #64.
71	Eligible Applicant	<p>1. Are Day Treatment/853 programs eligible?</p> <p>2. We have a 5 year lease for a site in which we operate a MHTORS. Would this program be eligible?</p>	<p>1. See answer to question #64.</p> <p>2. Eligible Applicants are eligible for capital funding for improvements at sites controlled by the applicant through direct ownership or a long-term lease. If a long-term lease (more than one year) is contemplated, the terms of the lease must be evaluated on a case-by-case basis by the DASNY Bond Counsel and are dependent on the useful life the improvements to be made to the space and the terms of the applicable bonds. The use of the leased space must be in accordance with the award for the Eligible Project.</p>
72	Eligible Applicant	<p>We are an Integrated Residential Community, Certified by OPWDD as a Certified Private School under OPWDD Title 14 Rules and Regulations, Reg 619.2 D4</p> <p>Are we eligible? Can we apply for this grant to fund a capital residential expansion?</p>	Yes, residential facilities or day program facilities licensed or granted an operating certificate under Article 16 of the Mental Hygiene Law are Eligible Applicants.
73	Eligible Applicant	Our organization is a group of facilities <u>licensed by OASAS as follows: Article 32, Part 820 rehabilitative residential services</u> . Are we eligible to apply?	Pursuant to the statute and the RFA, alcohol and substance abuse treatment clinics certified or licensed under Article 32 of the Mental Hygiene Law are Eligible Applicants. Article 32 residential facilities are not clinics, and, therefore, are not Eligible Applicants.

Q#	Category	Question	Answer
74	Eligible Applicant	I would like to know if an OASAS licensed/certified 819 or 820 residential program can apply for this statewide health care facility transformation RFA? I also would like to know if an OASAS/OMH licensed/certified program can apply for this RFA to establish a new program to provide crisis stabilization services and or crisis residential services?	See answer to question #73. Article 31 and 32 clinics and community-based programs funded under the Office of Mental Health, the Office of Addiction Services and Supports, the Office for People with Developmental Disabilities, or through local governmental units as defined under Article 41 of the MHL are Eligible Applicants. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.
75	Eligible Applicant	Are programs like OMH Supportive Housing that flow through the LGU considered an Article 41? Can you provide the regulation or guidance for Article 41 programs.	See answer to question #74.
76	Eligible Applicant	We are a non-profit community based agency in NYC. We provide supportive housing in a SRO funded by DHS and DOHMH, we want to clarify if we would be eligible under any of the categories listed.	See answer to question #74.
77	Eligible Applicant	Regarding eligibility- if a nonprofit agency operated an eligible entity (for example, a residential health care facility or a residence operated under the Office of Mental Health) can that entity apply for SHCFTP for renovation or debt reduction on behalf of the eligible entity?	The lead applicant must meet the minimum eligibility requirements under Section II. Who May Apply in the RFA. See answer to question #74.
78	Eligible Applicant	We have conditional approval on our Article 31 License; we have not yet begun providing services. Does this meet the application criteria of "currently licensed"? Our clinic is listed in the OMH portal as a provider.	No. Please refer to Section II. Who May Apply (c.) which states: An Eligible Applicant must be currently certified and/or licensed under one or more provider organizations as established in accordance with PHL Section 2825-g and the Eligible Applicant must submit all current certifications and/or licensures related to the project at the time of application submission for the project to be deemed an Eligible Project. Provide proof that the applicant meets the minimum eligibility requirements under Section II. Who May Apply. Proof of subsection (b). eligibility includes an uploaded copy of a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, or an uploaded copy of a New York State Medical License for a primary care provider or a filing receipt or copy of Articles of Organization for an independent practice association or organization. Provide proof of all other current certifications and/or licensure related to a project. Proof of subsection (b). eligibility includes an uploaded copy of a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, or an uploaded copy of a New York State Medical License for a primary care provider or a filing receipt or copy of Articles of Organization for an independent practice association or organization. Provide proof of all other current certifications and/or licensure related to a project.
79	Eligible Applicant	Can for profit organizations apply?	For-profit organizations are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply of the RFA.
80	Eligible Applicant	Can you please let me know if a for profit hospital can apply to receive money ?	See answer to question #79.
81	Eligible Applicant	NYS DOH-operated Veterans Homes and Helen Hayes Hospital are considering pursuing this opportunity. I'd like to confirm that there will not be any issues with these facilities submitting applications recognizing that the RFA posting on grants gateway indicates that government entities are eligible to apply.	Publicly operated providers are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply.
82	Eligible Applicant	Can an active parent organization apply on behalf of its Article 28 subsidiary?	Yes, per the additional notes in Section II. Who May Apply of the RFA, an active parent is an Eligible Applicant and can apply on behalf of a subsidiary.
83	Eligible Expenses	Can someone who is looking to purchase an additional home care company, can one apply for funding that would help in the purchase of another Home Care Agency?	An applicant must meet the eligibility requirements set forth in Section II. Who May Apply. Asset acquisition is listed as an eligible expense under this RFA. Please refer to Section III.. B. Eligible and Excluded Expenses and Disallowed Costs.
84	Eligible Expenses	Would acquisition costs of a practice (e.g., a pharmacy practice) be considered an eligible capital expense under RFA #20244? Or are there other aspects of the transaction that would be capitalizable (e.g. purchase of equipment)?	See answer to question #83.

Questions and Answers

Q#	Category	Question	Answer
85	Eligible Expenses	Is the acquisition or purchase of land an allowed expense within the proposed budget? For Example, if an existing operator proposes to purchase an adjacent lot to its existing facility so that the building can be expanded to in order to provide additional services.	See answer to question #83.
86	Eligible Expenses	Are funds awarded through this RFA eligible to be utilized to cover costs related to acquisition costs for property that is not currently owned. Examples of acquisition costs include title insurance fees, recording fees, attorney's fees, bank closing fees, and environmental.	Asset acquisition costs are generally eligible, however review of specific details of acquisition costs would be needed to make a determination. Attorney's fees must be directly related to the closing or real property. Other costs similarly would follow the same rule: the cost has to be directly related to acquisition. Title insurance and environmental fees are likely not bondable. Recording and closing fees may be bondable. As an example, property tax pro rations would not be bondable, nor <u>any fees associated with interest or financing.</u>
87	Eligible Expenses	To expand access to primary care, we are planning to open a new Article 28 clinic in leased space. We will be responsible for all of the design and construction costs to fit out the space for the clinic. Are the capital costs for the fit-out an eligible expense if in leased space?	Capital improvements are eligible at sites controlled by the applicant through direct ownership or a long-term lease. If a long-term lease (more than one year) is contemplated, the terms of the lease must be evaluated on a case-by-case basis by DASNY Bond Counsel and are dependent on the useful life of the improvements to be made to the space and the terms of the applicable bonds. The use of the leased space must be in accordance with the award for the Eligible Project.
88	Eligible Expenses	Is there a required lease length for property we propose to renovate or refurbish (for site control, in the past applicants had to demonstrate at least 7 years for the lease).	See answer to question #87.
89	Eligible Expenses	Can we request funds for renovations if we do not own the building?	See answer to question #87.
90	Eligible Expenses	Would capital improvements for a leased health care facility be an eligible project for this RFA?	See answer to question #87.
91	Eligible Expenses	If the eligible project is a capital project and includes leasing a new space, can the cost of the security deposit be included in the budget as it pertains to asset acquisition? Additionally, can the cost of the monthly rent be included in the budget while the space is under construction since it will not be functional? If the monthly rent cannot be included in the capital eligible project, can the cost of the monthly rent while under construction be included in a separate application for start-up operating costs?	A security deposit on a lease and monthly rent are not bondable costs and are not eligible under this RFA.
92	Eligible Expenses	Can the cost of the security deposit if leasing a new space is part of the proposed project be included in the budget as it pertains to asset acquisition?	See answer to question #91.
93	Eligible Expenses	Our office lease, which is primarily utilized as a Treatment Clinic, is categorized as a capital lease although we have not financed any portion of the lease obligation. Can we request funding to be utilized for all or a portion of the remaining capital lease obligation, despite not being financed? Our request would be based on the utilization percentage of the space attributed to the Treatment Clinic. This would allow us to hire more staff and cover operating costs in order to allow us to serve more uninsured individuals.	No, this would not be bondable and not eligible under this RFA.

Q#	Category	Question	Answer
94	Eligible Expenses	Are cloud-based technologies or conversion to the cloud eligible expenses?	Refer to Section III.B. Eligible and Excluded Expenses and Disallowed Costs which states in part: Excluded expenses include: General ongoing operating costs applicable to day-to-day operations. General ongoing operating costs that are not eligible for funding under SHCFTP IV include expenses such as routine supplies; utilities; operating lease payments, equipment with a useful life of less than three years; ongoing, routine maintenance costs related to health information technology projects including but not limited to training of end-users or any 'help-desk' services or associated costs, costs/services beyond Design, Development, and Implementation and into Operations and maintenance (i.e., the system is operational, supporting health care operations), Software as a Services (SaaS) services post "go-live", recurring licensing costs, cloud consumption and/or hosting post "go-live", subscription costs with telehealth vendors, other non-capital startup expenditures, such as data plans, internet connectivity or voice services; and employees' salaries and benefits, including those of new staff; and Costs related to health information technology and/or telehealth that exceed 15 percent of the total Eligible Project funds requested.
95	Eligible Expenses	Will a mobile health clinic be an eligible expense under this opportunity? We do not see any indication in the RFA that this would be disallowed, but would like to confirm.	Yes.
96	Eligible Expenses	Would the purchase of a mobile testing unit be considered 'asset acquisition'?	Yes.
97	Eligible Expenses	Would a mobile CT unit be an eligible expense under this initiative?	Yes.
98	Eligible Expenses	Would UV disinfection devices that mitigate the spread of diseases through air and surfaces be an eligible use of this grant? It sounds like it would fit under the goals of improving quality of care and pandemic response.	Please refer to RFA Section III.B Eligible and Excluded Expenses and Disallowed Costs. While equipment costs fall under eligible expenses, equipment must have a 3 year or greater useful life.
99	Eligible Expenses	Would equipment such as an ambulance/Stretcher (to transport patients between hospital and nursing home) be an eligible expense under this initiative?	See answer to question #98.
100	Eligible Expenses	Would exercise equipment be an eligible expense if purchased to improve client care and outcomes?	See answer to question #98.
101	Eligible Expenses	Would food pantry supplies be an eligible expense if purchased to improve client care and outcome?	Please refer to RFA Section III.B Eligible and Excluded Expenses and Disallowed Costs.
102	Eligible Expenses	Are funds awarded through this RFA eligible to be utilized for the purchase of furniture and fixtures.	Please refer to RFA Section III.B Eligible and Excluded Expenses and Disallowed Costs.
103	Eligible Expenses	We incurred significant expenses in one of our programs during Covid creating a hardship of over \$2M of extra expenses and maxed out on the LOC. The LOC is currently at its max and locked by the bank until such time we reduce the balance to a more reasonable level. As a breakeven agency, it is extremely difficult to reduce this balance, does this situation qualify for working capital relief? The LOC has not been available for over one year which stresses the organization in meeting its payroll and vendor obligations. Current balance sheet is not strong enough for our bank or other banks to be interested in increasing the LOC.	Eligible expenses include debt retirement and restructuring and other non-capital projects. Debt retirement and restructuring includes cost to reduce, retire, or refinance long-term liabilities such as mortgages, bank loans, capital leases and other liabilities, payments of debt service for long-term liabilities and costs for restricting including professional fees, penalties, and interest. Refer to RFA Section III. Project Narrative/Work Plan Outcomes, B. Eligible and Excluded Expenses and Disallowed Costs.
104	Eligible Expenses	RFA language states: "The planning or design of the acquisition, construction, demolition, replacement, major repair or renovation of a fixed asset or assets, including the preparation and review of plans and specifications including engineering and other services" Question: Are the costs associated with the hiring of a consulting firm to develop and conduct a company-wide capital Feasibility Study and/or develop a Master Plan for prospective capital projects covered under this RFA?	Non-capital, start-up operating expenses, including consultant and other expenses to hire and pay staff associated with a dependent, capital project, must be directly connected to and an incremental cost of the Eligible Project for which funding is being sought under this RFA. Start-up operating expenses are for a limited, brief period until program operating revenue is reasonably anticipated to support operations (case-by-case basis). Refer to RFA Section III. B. Eligible and Excluded Expenses and Disallowed Costs for additional details.

Questions and Answers

Q#	Category	Question	Answer
105	Eligible Expenses	For a capital project that my agency is planning, we would like to hire a consultant to fully assess our site and establish the requirements and specifications for our project, as a first stage. Would the costs of this consultant be an eligible expense?	See answer to question #104.
106	Eligible Expenses	If an Eligible Applicant is applying for a debt reduction grant related to the mortgage on their building, is it appropriate to reduce the Eligible Applicant's rent accordingly? For example, say the Eligible Applicant is awarded \$2M toward their mortgage. The property owner reduces their rent in their long-term lease agreement by \$2M. Is this allowable?	Additional information would be needed to answer this, specifically more information on the relationship between the Eligible Applicant, property owner, and renter.
107	Eligible Expenses	We are considering applying for a capital project to build on the vacant property. How much detail is required for the application? Will site drawings be required, proposed building design, and/or other construction detail?	Per Section III. B. Eligible and Excluded Expenses and Disallowed Costs of the RFA, if applicable to the Eligible Project, it is understood that design plans and specifications are unlikely to be available at this stage of Project development. However, an Eligible Applicant should be able to describe the project elements and their anticipated costs in sufficient detail for the reviewer to make a judgment on the reasonableness of the anticipated costs and how the Eligible Applicant estimated those costs. Site drawings, schematics, and design renderings are not a required requirement of the RFA. If the information is available and the applicant feels that it supports the application, they can be uploaded. The applicant should use their best judgment in determining what completes their application.
108	Eligible Expenses	If costs are incurred for estimates, blueprints, etc. for inclusion in a Capital Project grant application under this RFA, is this expense reimbursable if the grant is approved? If we do not have blueprints and estimates in advance, what is acceptable as justification for a Capital Grant submission.	Per Section IV. Administrative Requirements, G. Term of Contract of the RFA, the estimated start date of the contract is October 1, 2024. Only expenses incurred on or after the start date of the contract (and determined allowable under the contract budget and work plan) may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at-risk. Also, see answer to question #107.
109	Eligible Expenses	On Page 7 of the RFP, Eligible Expenses include "Equipment costs". On Page 8 of the RFP, Excluded Expenses include "equipment with a useful life of less than three years". 1) Does that mean that equipment with a useful life of more than three years would be an eligible expense? 2) Are there any other requirements for equipment expenses to be eligible?	Equipment costs must have a 3 year or greater useful life. Grant funds cannot be used to pay for leased equipment. Equipment must be purchased.
110	Eligible Expenses	Can the budget include a "contingency"?	Yes, capital costs related to the planning and design of a fixed asset, as well as construction costs including standard contingencies, are Eligible Expenses under this RFA. Design contingencies are 10% for new construction or renovation. Construction contingencies are 5% for new construction and 10% for renovation. Any deviation for these would need to be explained in the narrative associated with the Budget and the subsequent CON. There are no limitations on engineering and architectural fees as long as they are reasonable for the proposed project. Any supporting documentation that can be submitted to substantiate the fees should be provided. Eligible costs should be categorized in relevant expense categories (i.e. scoping, design, or construction).
111	Eligible Projects	If an applicant has started construction and has paid for it will the grant cover a construction cost paid in 2023.	No. See answer to question #108.
112	Eligible Projects	Can an organization apply for capital costs incurred by its affiliate as part of a process of renovating space for the purpose of conducting programs and providing services, on a property owned by the affiliate.	Either a subordinate organization or a parent organization may submit an application for an Eligible Project, if they meet the eligibility criteria in Section II. Who May Apply. The proposed project should align with the licensure the applicants using to demonstrate eligibility for this grant funding. Each application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant.

Questions and Answers

Q#	Category	Question	Answer
113	Eligible Projects	Our organization has submitted a Certificate of Need application for a capital project that we are now proposing to seek grant support under the SHCFTP IV solicitation. The project at the time of the SHCFTP IV application filing has not been approved. Would this project be an eligible for this grant funding solicitation?	Please refer to Section III.A. Eligible Projects, which states in part: "Certificate of Need (CON) approval of the Eligible Project from the NYS Public Health and Health Planning Council (PHHC) is not needed at the time of application submission." Please contact cons@health.ny.gov with questions on CON submissions.
114	Eligible Projects	If an applicant has started construction and has paid for it will the grant cover a construction cost paid in 2023.	No. Per Section IV. Administrative Requirements, G. Term of Contract of the RFA, the estimated start date of the contract is October 1, 2024. Only expenses incurred on or after the start date of the contract (and determined allowable under the contract budget and work plan) may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at-risk.
115	Eligible Projects	Looking at the grant process, am I correct that this grant is only for physical space improvements? I assume we are unable to apply for a Grant to hire and pay a Social Worker in our private practice or another Healthy Steps Specialist or Nutritionist? Our physical space doesn't have any room to expand (plus we are still paying off the current building) but resources to help our patients with additional personnel would be of great benefit. Any information would be appreciated	Eligible expenses include capital projects and debt retirement and restructuring, and other non-capital projects directly related to a capital project. Grants shall not be made to support general, ongoing operating costs applicable to day-to-day operations such as staff salaries, except for non-capital start up expenses related to a separate capital project. Please refer to Section III. B. Eligible and Excluded Expenses and Disallowed Costs.
116	Eligible Projects	We are an eligible provider under our Article 31 license, and we are seeking clarity as to if we can apply for a project at a different location which does not currently have an Article 31 clinic. We would provide Article 31 services at the proposed project site, among other behavioral health and wellness services currently provided at that site. Is this an eligible project? (See RFA p. 5 under Eligible Parties and RFA p. 7 Section A. Eligible Projects)	An article 31 organization is considered an eligible applicant. The eligibility of a proposed project would be determined upon review of application.
117	Eligible Projects	Is the applicant required to have a Certificate of Occupancy at the time of application? At what point is a Certificate of Occupancy required?	A Certificate of Occupancy is not required at the time of application submission. If the site has been identified then it should be disclosed in the application. For more information on requirements for licensed health care facility projects, please refer to Certificate of Need guidance listed on the New York State Department of Health web page at https://www.health.ny.gov/facilities/cons/
118	Eligible Projects	Would the build-out of a new, more efficient kitchen for a nursing home be considered an eligible project?	Please refer to RFA Section III.B Eligible and Excluded Expenses and Disallowed Costs.
119	Eligible Projects	Are the capital costs of building of an onsite dental health room an allowable expense for an OPWDD program?	Yes, provided that the Applicant meets the minimum eligibility requirements outlined in Section II. Who May Apply of the RFA. See answer to question #64.
120	Eligible Projects	If an agency is building a OPWDD licensed IRA that is medically equipped to provide health related support, could the capital expenses that exceed the OPWDD rate be eligible for this grant?	Additional information is needed to answer this, specifically more information on current funding of the project.
121	Eligible Projects	When you speak of "transformational goals....patient centered models of care" - are you speaking only to traditional health care services? We are eyeing an opportunity to write for a transformation of our Day Habilitation Center that would look at care from a holistic perspective - including but not limited to mental health, self-care, etc.	Transformational goals to advance patient centered models of care include the integration of essential services such as medical, behavioral, and mental health care.
122	Eligible Projects	Would utilizing grant funds to retire bonds on existing assets be considered an eligible project for this grant?	Debt retirement and restructuring is generally eligible, however review of specific details of the bond retirement would be needed to make a determination. Refer to RFA Section III. Project Narrative/Work Plan Outcomes, B. Eligible and Excluded Expenses and Disallowed Costs.
123	Eligible Projects	Would ADA renovations of an existing building owned by the applicant fulfill the scope of this RFA?	Per Section III.B. Eligible and Excluded Expenses and Disallowed Costs, "...The planning or design of the acquisition, construction, demolition, replacement, major repair or <u>renovation</u> of a fixed asset or assets, including the preparation and review of plans and specifications including engineering and other services..." are considered eligible expenses. All projects proposed by Eligible Applicants will be evaluated by the extent to which they meet the evaluation criteria outlined in Section V.C. Review & Award Process of the RFA.

Questions and Answers

Q#	Category	Question	Answer
124	Eligible Projects	We are an Adult Home model Assisted Living Program licensed under Article 7 and Section 461-1 of the Social Service Law, and will be seeking capital funding for expansion of the current beds/program capacity in order to serve additional eligible Medicare/Medicaid recipients in need of these residential services. While the current regulations permit the expansion of bed capacity for Adult Homes, Enriched Housing programs, certified enhanced or special needs assisted living residence beds, bed expansion is not statutorily available for Assisted Living Program (ALP) beds at this time. To this end, would an Adult Care Facility applicant operating Assisted Living Program seeking capital funding under RFA 20244 for additional adult home beds qualify as an eligible project?	Under existing law, there is currently no legal mechanism to approve new ALP beds. Capital projects for ALP bed expansion would therefore not be eligible until DOH is lawfully permitted to certify new ALP beds.
125	Eligible Projects	We understand that per Section II(b) (Page 4) of the RFA, an Adult Care Facility licensed under title two of Article 7 of the Social Services Law (including an enriched housing program) is an Eligible Applicant under this RFA. Page 26 of the RFA notes that an application must have one Eligible Applicant and the project as proposed in the application must primarily benefit the Eligible Applicant. May building renovations, equipment costs, and other Eligible Expenses that benefit both an Eligible Applicant and a non-eligible independent senior housing residence that is housed in the same physical building structure be considered an Eligible Project under this RFA? <ul style="list-style-type: none"> • For example, would costs associated with installing a roof and siding be an Eligible Expense, if the roof and siding cover beds for an enriched housing program and units of an independent senior housing residence? • For example, would equipment and renovation costs for a theater that will be used for activities for enriched housing and memory care participants, but also used by independent senior housing residents, be an Eligible Expense? 	Capital improvements with equipment costs with a 3 year or greater useful life at sites controlled by the Eligible Applicant through direct ownership or a long-term lease could be deemed Eligible Projects. Refer to Section III.B. Eligible and Excluded Expenses and Disallowed Costs. Per the additional notes in Section II. Who May Apply, an application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant. Per section IV.F. Department of Health's Reserved Rights (3), the Department of Health reserves the right to make an award in whole or in part.
126	Eligible Projects	Section 3 question F asks for "Number of admissions or patient visits during the most recent 12-month cost reporting year." 1. If ambulatory day hab services are provided daily, how do we count them? Is each day that services are received considered a visit? 2. If housing services are provided, how are they counted? Is it considered one admission, is each day considered a visit, or something else?	Additional information would be needed to understand the scope of "ambulatory day hab services" and their relationship, if any, with Eligible Applicants.
127	Evaluation Process	Please provide more information about how applications will be scored. Are there specific numbers of points for each section?	Applications will be evaluated according to the process outlined in the RFA , Section V. Review & Award Process.
128	Financial Distress	In the requirements, it says the facility is to be in severe financial distress or that it demonstrates how the proposed project will strengthen its financial sustainability. What is considered severe financial distress?	Severe financial distress is financial instability requiring extraordinary financial assistance to enable these facilities to maintain operations and provision of vital services. Evidence of financial instability must be reflected in the most recent year-end audited financial statements and interim financial operating statements for the current year and include: -Seven or less days cash and equivalents; -Negative operating margin within the last two years; -No assets that can be monetized other than those vital to the operation; -No resources from other sources to meet financial needs.
129	Financial Distress	Questions 7c, 7ci and 7cii, please identify what is meant by "Supplemental Operating Assistance" and provide examples.	Supplemental Operating Assistance is federal or state funding to financially distressed providers to help fund day to day operational costs. Examples include Directed Payment Template (DPT) programs for safety-net hospitals; Critical Access Hospitals or Sole Community Hospitals; the Vital Access Program (VAP); and the Hospital Vital Access Provider Assurance Program (Hospital VAPAP).

Questions and Answers

Q#	Category	Question	Answer
130	Financial Distress	With respect to Question 7c (Eligible Project Impact on Eligible Applicant Long-term Financial Sustainability), there is reference to Supplemental Operating Assistance. Please <i>specifically define</i> Supplemental Operating Assistance as used in this context	See answer to question #129.
131	Financial Distress	Please define Supplemental Operating Assistance.	See answer to question #129.
132	Financial Stability	Applicants are instructed to upload a copy of their 2022 IRS 990 Form. All pages must be combined into a single PDF no larger than 10MB and uploaded as Attachment 8 via the Grants Gateway in the Pre-Submission Uploads section of the online application. For-Profit Applicants do not file an IRS 990 Form. Please advise what document should be uploaded for attachment 8 if the Applicant is a FOR-PROFIT Licensed Article 28 provider.	If the Applicant is exempt from filing an IRS 990 form, then Attachment 8 does not need to be submitted. Please refer to Section V.A.6.b and include a document indicating exempt status and rationale as part of Attachment 9. Upload Attachment 9 via the Grants Gateway in the Pre-Submission Uploads section of the online application.
133	Financial Sustainability	Regarding Attachment 2 Projected Financial Information, on the Impact-Financial Viability worksheet, should columns C and D reflect the entire applicant organization or just the staffing for the department that is the target of the project (i.e. a health center operated by a hospital)?	Eligible Applicants should present the impact of the project on the entire entity for which certified financial statements are available. Applicants should complete Attachment 2 to reflect the entire applicant organization.
134	Financial Sustainability	For applicants who are eligible to apply, but are part of a larger management agency- do you want attachment 2 (Projected Financial Information) to relate to the applicant/facility only, or to the larger management organization?	See answer to question #133.
135	Financial Sustainability	Attachment 2 – Use of Funds; Impact-Financial Viability Tab; Our organization has several divisions. Should we use the numbers that reflect just the Health Care Division or should we use the numbers for our entire organization?	See answer to question #133.
136	Financial Sustainability	For debt-retirement projects, regarding attachment 2, tab 3: is it necessary to include estimated financial changes related to the debt-retirement only? Or is it <u>also</u> necessary to include projections for the health care transformation activities the applicant will undertake as a result of the debt retirement?	Yes, if the debt relief is to be used to support a transformation initiative then a budget and a description of that initiative are required. If the debt relief is solely for the purpose of financial sustainability, then that should be included in the description and a budget indicating the financial impact should be included.
137	Financial Sustainability	Regarding Attachments: Should the complete Attachment 2 be uploaded both in response to 7a and as pre-submission upload Attachment 2?	Yes, a completed Attachment 2 should be uploaded in the Pre-Submission Uploads section.
138	Financial Sustainability	Can you please clarify the instructions in Attachment 2, Impact-Financial Viability Tab? The instructions say: The projected years of this enterprise budget should only reflect the incremental data associated with the project(s) within this application. Does that mean that the columns for projected years 1, 2 and 3 should show the expected increase or decrease = the amount it will change? For example, row 19 asks for number of FTEs for Management & Supervision. If Current Year Total is 10 FTEs and in Projected 1st Year we expect to have 12 FTEs, would we put 2 in that column or 12?	In columns E,F, and G of the Impact-Financial Viability Tab of Attachment 2, please input the total amounts for each incremental year. This should show the impact of the grant funded project on the organization only. In your example, the 1st year should show the 12 Full Time Equivalents (FTE)s. Only input the incremental increases/decreases related to the grant funded project. If you had expected to do any other hiring in projected years 1-3 that is not specific to this project, please don't input those FTE increases in years 1-3.
139	Financial Sustainability	With respect to the Projected Financial Information workbook, if we are not adding staff should those fields be left blank, or filled in with a zero, and only include projected incremental revenue?	If no staff will be added as a result of transformational activities, please input zero and only include projected incremental revenue.

Q#	Category	Question	Answer
140	Financial Sustainability	We are proposing a project for debt retirement. In Attachment 2 "Projected Financial Info.xls" how do we complete the Projected "Years 1 – 3" in the "Impact – Financial Viability" worksheet? For a debt retirement project do we have to complete the Full Time Equivalents, Expenses, Capital Expenses, inpatient, outpatient, unique patient metric sections? Are there more detailed instructions that can be provided? Is there a sample workbook or worksheet which NYSDOH can share with prospective applicants?	If the debt relief is to be used to support a transformation initiative then a budget and a description of that corresponding transformation initiative is required in the Impact - Financial Viability tab of Attachment 2. If the debt relief is solely for the purpose of financial sustainability then that should be included in the description and a budget indicating the financial impact should be included. Please see answer to question #139.
141	Financial Sustainability	If the applicant is a new start-up, what should they submit in lieu of 3-years of audited financials and annual # of visits?	Per Section V.A. Application Format/Contact, "Entities whose financial statements have not been subjected to an audit should include any additional information available to satisfy this test and appropriate certifications." In lieu of audited financials, provide sufficient financial information to adequately represent the financial position of the applicant. This information should reconcile with Attachment 2 and a narrative should be provided to the extent needed to supplement financial statements and demonstrate financial stability and other utilization data such as anticipated number of visits, etc. Per the same above-mentioned section, "Failure to submit the required copy of a New York State Operating Certificate, New York State Certification, or New York State Medical License, and/or audited financial statements and any other required evidence of applicant's qualifications, will result in disqualification of your application."
142	MWBE & SDVOB Requirements	Are the MWBE & SDVOB related forms required to be submitted with the initial application or after funding is awarded?	Applicants need to upload Attachment 4 - Minority & Women-Owned Business Enterprise Requirement Forms and Attachment 5 - Service- Disabled Veteran Owned Business Requirement Forms in the Pre-Submission Uploads section of the Grants Gateway in order to submit an application in the system. Refer to Section V.A. Application Format/Content. It is encouraged that the applicant identify specific firms, if possible, in their utilization plan at the time of application. <u>However, the identification of specific firms is not required to apply to this RFA.</u>
143	MWBE & SDVOB Requirements	In Grants Gateway Pre-Submission Uploads – Attachment 4 is MWBE Forms and Attachment 5 is SDVOB Forms. We want to apply for a capital project. Since we plan not to incur any expenses before the start date of the contract (so as not to incur any at risk expenses) we are unable to identify MWBE and/or SDVOB vendors at this time. How do we complete the required MWBE and SDVOB forms?	See answer to question #142.
144	MWBE & SDVOB Requirements	If an Applicant cannot get quotes from MWBEs before the deadline, can they still submit an application?	See answer to question #142.
145	MWBE & SDVOB Requirements	Due to the limited timeframe, will applications still be considered if the applicant's unable to outreach and/or obtain price quotes from MWBEs and SDVOBs prior the submission deadline? Or can they wait until DOH decides if their proposed projects are awarded?	See answer to question #142.
146	MWBE & SDVOB Requirements	Can you clarify if 15% of the project work needs to be done by MWBE or is it 15% done MBE and 15% by WBE?	Per Section IV.I Minority & Woman-Owned Business Enterprise Requirements of the RFA, "The goal on the Eligible Expenditures portion of a Grant Contract awarded pursuant to this RFA will be 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified M/WBE firms)."
147	MWBE & SDVOB Requirements	What is the minimum amount of project work that would need to be performed by a MBE, WBE, or SDVOB in order for an applicant not to require a waiver?	See answer to question #145 in regard to MBE and WBE goals. For SDVOB contract goals, refer to Section IV.J Participation Opportunities For New York State Certified Service-Disabled Veteran Owned Businesses of the RFA, which states "NYSDOH hereby establishes an overall goal of 6% for SDVOB participation, based on the current availability of qualified SDVOBs."

Q#	Category	Question	Answer
148	Number of Applications	Do I need to submit a separate application for debt retirement and expansion for the same clinic or can they all be in one application because are related to the same program?	<p>Refer to Section V.A. Application Format/Content, Program Specific Question 4. The Projects, which states: "Applicants can submit more than one Eligible Project. The decision to submit separate applications or one application should be based on whether the Eligible Projects are interdependent.</p> <p>Separate applications must be submitted for non-capital projects or debt retirement and restructuring purposes even if they are part of the same overall purpose for which an application for a capital project(s) is also being submitted.</p> <p>It is preferred that applicants submit separate applications for each Eligible Project. Separate applications will enable the review team to better consider the individual merits of each application. If an Eligible Applicant submits multiple, separate applications for funding under this RFA, the Eligible Applicant must assign a priority to each application.</p> <p>If submitting one application with more than one Eligible Project, the Eligible Projects should be considered interdependent to creating a financially sustainable system of care. If applications are interdependent and the overall Eligible Project cannot be completed unless all are funded, Eligible Applicants should describe this interdependence [Program Specific Questions, 3. Project Description]."</p>
149	Number of Applications	Section 4.c/Separate Applications: this is our first experience submitting several projects under one RFA/NYS GG application - If our organization is considering three (3) potential projects, please confirm that the process will require the activation and submission of three (3) different applications of this RFA in the NYS GG?	Yes, see answer to question #148.
150	Number of Applications	We would like to know if we can apply for capital funds for infrastructure at our Hudson Campus as well as the development of a new Ambulatory Surgery Center at a separate location as part of a master facilities plan that will increase access to care in our healthcare system.	Yes, see answer to question #148.
151	Number of Applications	Is an Eligible Applicant allowed to submit multiple applications for different projects the same facility/program that facilitate furthering transformational goals?	Yes, see answer to question #148.
152	Number of Applications	Regarding the submission of multiple applications, is it possible for more than one project to be funded, or would only one be chosen for funding? If only one can be funded, does this restriction apply to all categories of projects, or only if both are capital, or both are debt restructuring projects?	Yes, it is possible for more than one project to be funded. Also, see answer to question #148.
153	Number of Applications	Would an Eligible Applicant with 2 facilities under same Tax ID#, but separate NPI #s, have to submit separate applications if the proposed project applies to both facilities?	No, one application would be appropriate.
154	Number of Applications	Can one application/award cover two different sites in different counties? Or is a separate application needed for each site?	<p>Refer to Section V.A. Program Specific Question 4.c.ii which states: Within a given application, multiple Eligible Projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. If applications are interdependent and the overall Eligible Project cannot be completed unless all are funded, describe this interdependence.</p>
155	Number of Applications	Section III of the RFA stipulates that Applicants assign priority if submitting multiple projects for consideration. Is this necessary if the projects benefit two entirely different hospitals under the same organizational umbrella?	Per Section III. Project Narrative/Work Plan Outcomes, if an Eligible Applicant submits multiple, separate applications for funding under this RFA, the Eligible Applicant must assign a priority to each application. The rank order of priority for each Eligible Project should be indicated in response to Program Specific Question 4.c.i. Refer to Section V.A. Application Format/Content.
156	Number of Applications	Regarding the submission of multiple applications, I understand that we would need to identify the relative priority of each our applications; where/how should we indicate that?	See answer to question #155.
157	Number of Applications	Section 4.ci/Priority for Each Eligible Project: is there a specific format for this requirement or can we simply assign a sequence (A, B and C or 1, 2 and 3) for this requirement?	There is no specific format. See answer to question #154.

Questions and Answers

Q#	Category	Question	Answer
158	Number of Applications	For agencies submitting applications to both SHCFTPIV and V, is it required to rank the all eligible projects to both these RFAs in priority order under SHCFTPIV question 4ci?	The applicant must assign a priority to each application submitted to RFA 20244 only. See answer to question # 154.
159	Number of Applications	Can 2 or more eligible applicant's submit separate applications for funding portions of the same project?	<p>If the project requires the involvement of more than one entity:</p> <p>(a) The Eligible Applicant may subcontract with other entities to complete the project. However, the Eligible Applicant is the entity that will enter into a grant contract with the state and will be financially responsible for incurring and paying all costs prior to reimbursement.</p> <p>(b) Alternatively, each entity may submit a separate application characterizing its specific project costs and impacts, so long as each entity meets eligibility requirements specified in Section II, Who May Apply.</p> <p>Where a project involves multiple interdependent applications, each application should reference and discuss these interdependencies</p>
160	Organizational Capacity	<p>Under Organizational Capacity, it says: Describe the Eligible Applicant's organization by answering each of the following questions specifically below:</p> <p>d. provide the name, title, salary of all employees in nonclinical titles whose salaries are \$250,000 or more.</p> <p>This appears to be a new item from prior RFPs. Is this as simple as submitting the organizations 990? Any particular reason to add this item?</p>	<p>Applicants should provide the name (if applicant wants the name to remain confidential then the employee name does not need to be reported), title and salary of all employees in nonclinical titles whose salaries are \$250,000 or more in response to Program Specific Question 3. Organizational Capacity, question d. Applicant should also a copy of their 2022 IRS 990 Form, if not exempt. All pages must be combined into a single PDF no larger than 10MB and uploaded as Attachment 8 via the Grants Gateway in the Pre-Submission Uploads section of the online application. Refer to Section V.A. Application Format/Content, Program Specific Question 6. Eligible Applicant Financial Stability.</p>
161	Organizational Capacity	Section 3.d/Organizational Capacity: does this section require disclosure forms/tax reports or will a narrative/description (Name - Title - Salary) suffice for this RFA.	Refer to Section V.A. Application Format/Content, Program Specific Question 6. Eligible Applicant Financial Stability.
162	Organizational Capacity	Can you please provide detail on how nonclinical salary information is reviewed with discretion, as this is largely sensitive information? Who is reviewing this information, how is it shared if at all, and with whom?	Refer to Section V.C. Review & Award Process.
163	Organizational Capacity	Would you please kindly advise as to the rationale for this request, the purpose of the information, and how the information will be utilized and disseminated? We hope to learn why this information is pertinent and how it will be used in the approval process.	See answer to question #161. This information will be used to evaluate the overall financial structure of the Applicant, and will be evaluated with respect to prioritization of Eligible Applicants in severe financial distress or that demonstrate how the proposed use of the grant will strengthen their financial sustainability and protect continued access to critical health services in their community or communities.
164	Organizational Capacity	In the Grants Gateway application, Question 2.b. requires an upload of our operating certificate. However, it does not appear that there is an upload option for this question. Where should we upload our Operating Certificate?	Refer to Section V.A. Application Format/Content, Program Specific Question 2.b. which states: Provide proof that the applicant meets the minimum eligibility requirements under Section II. Who May Apply. Proof of subsection (b) eligibility includes an uploaded copy of a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, or an uploaded copy of a New York State Medical License for a primary care provider or a filing receipt or copy of Articles of Organization for an independent practice association or organization. Provide proof of all other current certifications/licensures related to a project. All documents must be combined into a single PDF no larger than 10MB and uploaded as Attachment 6 via the Grants Gateway in the Pre-Submission Uploads section of the online application.
165	Organizational Capacity	We have been told it can take 2-3 months to obtain any SPARCs data, in that case, how is an organization expected to acquire data on service volume, occupancy and utilization by existing providers?	The Applicant should include organizational data on service volume, occupancy, and utilization such as the number of admissions or patient visits during the most recent 12-month cost reporting year.
166	Partial Award	Can a project be awarded a partial amount of the amount being requested? Is that a likely possible outcome if the request amount is deemed to high – or would the application be declined? Is there any request amount limit?	Per Section IV.F. Department of Health's Reserved Rights (3), the Department of Health reserves the right to, "Make an award under the RFA in whole or in part." In the event of award amount revisions, DOH would work with the awardee on a case-by-case basis. Also, see answer to question #9.

Q#	Category	Question	Answer
167	Prequalification in Grants Gateway / SFS	I was looking at getting our organization prequalified. I notice that much of the information request related to Non-Profit entities. We are a Private Psychiatric facility, but I believe when reading through who qualifies to gain funds from this grant it does not exclude for profits. Do you have any additional guidance for use on how to be pre-qualified as we would not be sending much of the information requested.	For-profit applicants do not need to be prequalified. Per Section IV.E. How to file an application. Not-for-profit Applicants must be prequalified, if not exempt, on the date and time Applications in response to this Request for Applications (RFA)..."
168	Prequalification in Grants Gateway / SFS	Could you advise how individuals can get prequalified in the New York State Grants Gateway or the Statewide Financial System (SFS)?	Refer to Section M. Vendor Prequalification for Not-for-Profits. Additional information can be found at this link: https://grantsmanagement.ny.gov/get-prequalified .
169	Prequalification in Grants Gateway / SFS	We have updated all of our information in SFS and our prequalification is good until 11/2024; is this always applicable within Grants Gateway?	If you are prequalified until 11/2024 in SFS, you will be considered prequalified at the time of application for this RFA.
170	Prevailing Wage	Do the Davis-Bacon laws apply to construction projects funded through this initiative?	Payment of prevailing wage is not a requirement for this RFA. Applicants may be subject to other laws, regulations or policies that could impose a prevailing wage requirement.
171	Previous Awards	We will need more funding for our currently funded Statewide project. What do you recommend in relation to how we request more funding for this project? We do have other infrastructure and capital requests for our main campus but also for the awarded project as it stands now.	Eligible applicants may apply to this RFA to complete or expand a capital project previously awarded through other rounds of the Statewide Health Care Facility Transformation Program. Per Section IV. Administrative Requirements, G. Term of Contract of the RFA, the estimated start date of the contract is October 1, 2024. Only expenses incurred on or after the start date of the contract (and determined allowable under the contract budget and work plan) may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at-risk .
172	Previous Awards	If an entity is currently working on a capital project (expected completion May 2025), would we be eligible to apply for this funding and have any of it paid to cover costs that have already occurred (depending on when the funds are released)?	See answer to question #171.
173	Previous Awards	If an agency has previously received Statewide Health Care Facility Transformation funding under a previous round, and due to cost escalation, the project cost has gone up, are they allowed to request additional funding under SHCFTP IV to enable them to complete the project?	See answer to question #171.
174	Previous Awards	We received an award through the Statewide Health Care Facility Transformation Program III. Given the inflationary conditions post RFA submission, is it possible for additional funding to address increased costs to complete the current project?	See answer to question #171.
175	Previous Awards	If a project was previously awarded funding under SHCFTP III and the project costs have since increased, is it possible to apply under SHCFTP IV to make up the difference in project cost?	See answer to question #171.
176	Previous Awards	Can the geographic area be the same as a previously awarded transformation project if this project will be for a different site and scope?	Yes.
177	Previously Submitted Applications	Regarding Question 1b: If a similar project was proposed under another round and not funded, what should the response to 1b be? If a totally different project was proposed under another round but not funded, what should the response to 1b be?	Projects submitted for funding under the SHCFTP IV RFA #20244 that are substantially the same as those previously submitted under the SHCFTP I RFA (#1607010255), the SHCFTP II RFA (#17648), the SHCFTP III RFA (#18406) or SHCFTP IV-ED RFA (#20224) should be indicated in response to Question 1. b. of the application. Proposed Projects that are substantially the same and were previously funded through a state award can be considered for a SHCFTP IV award if not yet complete; see answer to question #171. If the project is substantially the same and was previously funded and is complete, it is not eligible for additional funding, unless an expansion is proposed. Whether a project is substantially the same will be determined as part of the review process based on a comparison of a previously submitted application for a project to the current submission. If the project submitted for funding under any of the SHCFTP RFAs were not substantially the same, please indicate, "No" in the response to 1. b.

Questions and Answers

Q#	Category	Question	Answer
178	Previously Submitted Applications	If you did not receive an award through the Statewide Health Care Facility Transformation Program III, are you able to resubmit the same application for consideration OR will the same application be automatically considered.	An Applicant must submit a separate application in accordance with the requirements of this RFA. Also, see answer to question #177.
179	Previously Submitted Applications	Regarding applications that were not funded under the statewide III grant, will these be reconsidered for the current grants, or is it required for applicants to reapply?	See answer to question #178.
180	Previously Submitted Applications	Is there a benefit in the award criteria to resubmit the same project that was submitted through the Statewide Health Care Facility Transformation Program III.	No. Unlike other phases of the Statewide Health Care Facility Transformation Programs, there is no priority or evaluation criteria for unawarded, previously submitted projects.
181	Project Budget	While working on the Capital Budget portion we are guided to refer to Attachment A for allowable and unallowable costs. I cannot seem to find an Attachment A and hope that you can give me some guidance.	Attachment A-1 refers to Program Specific Terms and Conditions of the New York State Master Grant Contract. For allowable and unallowable costs, please see Section III. Project Narrative/Workplan Outcomes, B. Eligible and Excluded Expenses and Disallowed Costs.
182	Technical - Application Access	Will the RFA be available on the SFS website after 1/16/24? Grants Gateway is in retirement.	The RFA, Grants Gateway opportunity DOH01-SHCFT4-2023, is available on the NYS Grants Gateway system. Applications need to be submitted through the Grants Gateway system, not SFS. The Grants Gateway will remain open through the due date of this RFA.
183	Technical - Application Access	Can you tell me if the grant application is open already? I am trying to access it on grants gateway with no luck.	See answer to question #182.
184	Technical - Application Access	The RFA indicates applications must be submitted via Grants Gateway (GG). NYS has informed us about the transition from GG to Statewide Financial System (SFS). Where do we submit our application for SHCFTP4, in GG or in SFS? If we are to submit via SFS, how do we do that? (No 'bid events' are appearing in SFS yet.)	See answer to question #182.
185	Technical - Application Access	RFA Section V, Completing the Application, A. Application Format/Content: Is this application to be submitted through Grants Gateway or the SFS system?	See answer to question #182.
186	Technical - Application Access	We understand that there was a transition from Grants Gateway to SFS for providers, however, believe that SFS is not yet fully set up with regards to proposals. For this RFA, we would like to confirm which portal should be used to submit the RFA, Grants Gateway or SFS?	See answer to question #182.

Q#	Category	Question	Answer
187	Technical - Application Access	For some reason when I go into the grant opportunity, there is a button to click "VIEW grant opportunity," but nothing that I can click to actually apply. Can you please advise/let me know what I might be missing?	<p>The RFA announcement and PDF document are located in the NYS Grants Gateway at: https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx?NavItem1=2</p> <p>Refer to Section VI. Attachments, which states in part: "In order to access the online application and other required documents such as the attachments, prospective applicants must be registered and logged into the NYS Grants Gateway in the user role of either a "Grantee" or a "Grantee Contract Signatory". Once logged in, the user should click on the "View Available Opportunities" button available on their home screen and search for the Grant Opportunity by name. On the Opportunity Funding Profile page, click on "Apply for Grant Opportunity" to begin the application. Refer to Section E. How to file an application for instructions on Grants Gateway. If you are having difficulty with Grants Gateway, we recommend consulting the Grants Management website at: https://grantsmanagement.ny.gov/ and reaching out to the Grants Gateway Team.</p> <p>Grants Gateway Team Email: grantsgateway@its.ny.gov Phone: 518-474-5595 Hours: Monday thru Friday 8am to 4pm (Application Completion, Policy, Prequalification and Registration questions)</p> <p>Agate Technical Support Help Desk Phone: 1-800-820-1890 Hours: Monday thru Friday 8am to 8pm Email: helpdesk@agatesoftware.com</p>
188	Technical - Application Access	I do not see a "Apply For Grant Opportunity" button on the bottom left hand side of the opportunity. Please advise where I can start an application.	See answer to question #187.
189	Technical - Application Access	Can you advise on the process to apply. I would like to know where I can find the requirements to be completed for the grant and the supporting documents needed.	See answer to question #187.
190	Technical - Application Access	A hospital has prequalified in SFS, is not prequalified in GG, but says that they cannot access either Statewide application through SFS.	<p>Refer to Section M. Vendor Prequalification for Not-for-Profits which states in part: "Due to system conversion (Transition to SFS) expected on January 16th, 2024, Applicants that are not fully prequalified in the NYS Grants Gateway by close of business (COB) January 9th, 2024, will need to prequalify in the NYS Statewide Financial System (SFS). Additionally, if an applicant's vault expires prior to application submission, applicant will need to prequalify in SFS. "</p> <p>Even if an applicant prequalified in SFS, applications to this RFA must be submitted through the Grants Gateway system, not SFS. The Grants Gateway will remain open through the due date of this RFA.</p>
191	Technical - Application Access	I am having trouble figuring out how to apply. Can you tell me where our answers to the RFP questions will be uploaded?	DOH answers to applicant questions submitted by the due date as specified on the cover page of the RFA will be posted to Grants Gateway. Also, see answer to question #187.
192	Technical - Budget	Section 5, subsections b, c, and d—all appear to require a response. However, no text box corresponding to these subsections is provided in Grants Gateway.	<p>Responses to Section 5., subsections b., and c., should be captured as part of the Capital Budget sections located under the "Forms Menu" in the Grants Gateway. Non-capital funds should be allocated in the "Other" category of the Capital Budget.</p> <p>Responses to the above subsections should also be described in each line item in the Eligible Project's budget under the "Detail of Expenses" section in Attachment 2, Tab 2 "Use of Funds." The incremental projected budgets in Attachment 2 should reflect the 1st, 2nd, and 3rd year of operations after the transformational capital or non-capital, including debt relief project(s) is completed.</p>
193	Technical - Budget	In the Program Specific Questions, Section 5 Project Budget, sub-item 5d notes "If applicable, for non-capital debt retirement and restructuring, provide a detailed description and budget related to the health care transformation activities the Eligible Applicant will undertake as a result of the debt retirement and restructuring." However, there is no place to provide a response in the program specific questions. Where would you like this response to be provided?	See answer to question #192.

Q#	Category	Question	Answer
194	Technical - Budget	Our organization is considering applying for a non-capital expense related to a capital project for start-up support of a proposed new service. On the Project Financial Information form on the Tab Use of Funds, we are unclear where to capture this working capital request.	See answer to question #192.
195	Technical - Budget	In reference to 5a, Is there a "Project Budget" template that will be provided or will Applicants need to develop their own budget template to include as part of the application in Grants Gateway?	See answer to question #192.
196	Technical - Budget	What form or format should be used for the budget and narrative corresponding to 5d? Where should they be uploaded? What time period should this budget cover? What reporting will be required for this if the grant is awarded?	See answer to question #192. Applicants should submit a budget that covers a five-year period that aligns with the expected contract period of October 1, 2024 - September 30, 2029. Please see RFA Section IV. Administrative Requirements, H. Payment & Reporting Requirements of Grant Awardees for what reporting will be required if the Applicant receives an award.
197	Technical - Budget	We understand a detailed budget justification needs to be submitted and applicants are required to check a "completed" box in Attachment 2, Tab 2-Use of Funds that provides an additional instructional note. However, this note also states that the justification should be no more than 5 pages and 12-point font and is to be uploaded as a PDF. (a) Where does this get uploaded as Attachment 2 is submitted as an Excel and therefore, the 5-page justification cannot be combined with it? (b) Should we also include floor plans or other renderings for capital projects, and if so, do these count towards the 5-page limit?	Attachment 2 captures both Project Budget and Financial Sustainability information and a completed version of Attachment 2 should be uploaded in response to both questions 6a and 8a, as well as the Pre-Submission Uploads section. The assumptions for financial projections in question 8c are different than the detail of expenses, cost assumptions in Attachment 2, tab 2. Assumptions to describe the impact of the Eligible Project on the Eligible Applicant's long-term financial sustainability include assumptions made for utilization, revenue and expense, balance sheet and cash uses and sources and should be described in response to question 8c. If needed, Eligible Applicants may submit additional supporting details and PDF uploads to the Grantee Document Folder. Please clearly label any uploaded files. Assumptions related to the cost of each line item in the Eligible Project's budget are described under the "Detail of Expenses" section in Attachment 2, Tab 2 "Use of Funds". Use of Funds assumptions made in this section refer to costs of budget line items such as bids received or research conducted, etc. <u>This detailed description should be uploaded to the Grantee Document folder as separate PDF attachment and should not exceed 5 typed pages at 12 pt. font. Please note at the top right corner of the attachment, "Project Costs - Detail of Expenses".</u>
198	Technical - Budget	Is the completion of Attachment 2 (all tabs) considered fulfilling the requirement related to a budget with cost estimates? In other words, is the first sentence of section 5a one requirement and the reference to attachment 2, another requirement? Or are these both the same requirement?	See answer to question #197.
199	Technical - Budget	Regarding Attachment 7, it appears the green section of Part II relates to implementation costs, which are allowable costs and also capital costs. It appears the orange section is intended to capture non-capital/non-bondable "on-going" costs, which are not allowable for grant funding, but should be reflected in Attachment 2, Financial Viability, Years 1, 2 and 3. Is this correct?	Attachment 7 - IT Questionnaire should be completed only for the Information Technology Expenses related to the Eligible Project, if applicable. The green section of Attachment 7, Part II, relates to implementation costs that would be incurred prior to the "go-live" period of the Eligible Project which may be considered capital costs. The orange section of Attachment 7, Part II, captures on-going IT costs, not eligible for reimbursement. Attachment 2, Financial Viability, Years 1, 2 and 3 must begin on the first day of Operations upon completion of the Eligible Project. The projected years of this enterprise budget should reflect the incremental data associated with the entire project(s) within the application, inclusive of IT expenses.
200	Technical - Budget	Our proposed project involves renovations to an existing health center. The project has very little IT needs, other than a modest amount - \$5,000 – for additional switches and ethernet cables to be installed in an existing IT room. Based on the small amount, will we be required to complete the IT Questionnaire Form – including these modest required hardware and installation costs? They will likely be bundled with other construction needs during installation and purchasing and not stand-alone items. Please advise.	If the IT component of the proposed Eligible Project includes hardware only (e.g. wiring and cabling) and does not include software related costs, then the IT Questionnaire is not needed.
201	Workplan	Is there a minimum number of Objectives, Tasks and Performance Measures required, similar to RFA # 20258?	In the Forms Menu of Grants Gateway, there is a "Work Plan: Grantee Defined" section that an applicant will need to complete with an Work Plan Overview Form and Objectives. The composition of your grantee defined work plan is at your discretion.

RFA # 20244 / Grants Gateway # DOH01-SHCFT4-2023

New York State Department of Health
Office of Primary Care and Health Systems Management

Request for Applications

Statewide Health Care Facility Transformation Program IV

KEY DATES:

Release Date:	January 9, 2024
Questions Due:	February 20, 2024
Questions, Answers and Updates Posted (on or about):	March 5, 2024
Applications Due:	March 26, 2024 by 4:00 PM ET

NYSDOH Contact Name & Address:	Megan Prokorym, MPH Director, Health Care Transformation Group NYS Department of Health Office of Primary Care and Health Systems Management 1805 Corning Tower, ESP Albany, NY 12237 Email: Statewide4transformation@health.ny.gov
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I. Introduction

The New York State Department of Health (NYSDOH) and the Dormitory Authority of the State of New York (DASNY) announce the availability of funds under the Statewide Health Care Facility Transformation Program IV (SHCFTP IV), as established pursuant to Section 2825-g of the Public Health Law (PHL), accompanying capital appropriations, and Section 1680-r of the Public Authorities Law (PAL), to provide grants in support of capital projects and debt retirement and restructuring, working capital or other non-capital projects directly related to a capital project that facilitate furthering transformational goals, including, but not limited to, transforming, redesigning, and strengthening quality health care services in alignment with statewide and regional health care needs and in the ongoing pandemic response, or other activities intended to build innovative, patient-centered models of care, to increase access to care, to improve the quality of care and to ensure financial sustainability of health care providers. Grants shall not be made to support general, day-to-day operating costs.

Priority will be given to Eligible Applicants in severe financial distress or that demonstrate how the proposed use of the grant will strengthen their financial sustainability and protect continued access to critical health services in their community or communities.

Projects shall not receive awards under both this RFA and the Kings County Health Care Transformation Program (PHL §2825-a) or the Oneida County Health Care Transformation Program (PHL §2825-b). An Eligible Applicant may apply for funding under this RFA for a project(s) that is separate, distinct and is not funded in whole or in part through either the Kings County Health Care Transformation Program or the Oneida County Health Care Transformation Program.

Applicants which have also applied for awards under the “Nonprofit Infrastructure Capital Investment Program,” administered by the Dormitory Authority of the State of New York, should be advised that projects may not be funded by overlapping sources of State funding.

To receive funding, the Eligible Applicant must demonstrate how the proposed use of the grant will transform, redesign, and strengthen access to quality health care services in communities. Eligible Applicants should describe:

- i. How the Eligible Project will maintain or improve the long-term financial sustainability of the Eligible Applicant.
- ii. How the Eligible Project will result in improved quality of care, patient outcomes and patient experience, for the populations in the community or communities served by the Eligible Applicant.
- iii. Steps to be taken to integrate, preserve or expand the ongoing availability of essential health care services to the people of the community or communities served by the Eligible Applicant.
- iv. The relationship of the Eligible Project to an identified community need and steps taken to engage the community in the development of the Eligible Project.
- v. How the Eligible Project will advance health equity for populations in the community or communities served by the Eligible Applicant.
- vi. The extent to which the Eligible Project will benefit Medicaid beneficiaries, Medicare beneficiaries and uninsured/underinsured individuals.

- vii. The extent to which the Eligible Applicant has limited access to alternative financing.

Applicants are hereby advised that, in accordance with Public Health Law 2825-g and Chapter 54 of the Laws of 2022, awards made under this RFA are determined on a non-competitive, discretionary basis. Funding will be awarded at the discretion of the Commissioner of Health and approval of the Director of the Division of the Budget for purposes described in this RFA. Without limitation to this authorization, the Commissioner of Health may consult with the Director of the Division of the Budget, DASNY, NYSDOH and DASNY professional staff, and any other internal or external experts or local health care constituents as appropriate from time to time and/or at any time in the evaluation of applications received pursuant to this RFA. The decision to award, or not to award, or to award a grant at a funding level that is less than the amount requested by the applicant, is discretionary and cannot be appealed.

As these awards are discretionary, there is no right of appeal and the decision of the Commissioner of Health, and the approval of the Director of the Division of the Budget is final. As such, applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all the requirements of the RFA.

The decision not to fund an application will be communicated by letter. Based on the number of applicants, NYSDOH shall have the sole discretion of whether or not to provide an opportunity for non-successful applicants to request a debriefing to be conducted after the announcement of awards. Comparisons with other grant applications will not be made during a debriefing.

NYSDOH's determination of applicable terms and conditions of award or a denial of a request to change the terms and conditions is discretionary and not subject to appeal.

II. Who May Apply

Each “Eligible Applicant” must meet all the following criteria to be eligible to receive grant funding under this RFA:

- (a) Eligible Applicants must be a legally existing organization and capable of entering into a binding Master Grant Contract (MGC) with NYSDOH.
- (b) Eligible Applicants must be one of the following types of provider organizations established in accordance with PHL Section 2825-g.:
 - General hospitals licensed under Article 28 of the PHL;
 - Residential health care facilities licensed under Article 28 of the PHL;
 - Adult care facilities licensed under title two of Article 7 of the Social Services Law (SSL);
 - Assisted living programs approved by NYSDOH pursuant to section 461-1 of the SSL;
 - Children's residential treatment facilities licensed pursuant to Article 31 of the Mental Hygiene Law (MHL); and
 - Residential facilities licensed or granted an operating certificate under Article 16 of the MHL.

- Community-based health care providers which, in accordance with statute and for purposes of this RFA, are defined as:
 - Diagnostic and treatment centers certified or licensed under Article 28 of the PHL;
 - Home care providers certified or licensed under Article 36 of the PHL;
 - Hospices licensed or granted an operating certificate under Article 40 of the PHL;
 - Primary care providers with a New York State Medical License; and
 - Independent practice associations or organizations with a valid New York Department of State Identification Number.
- Community-based behavioral health care providers which, in accordance with statute and for purposes of this RFA, are defined as:
 - Mental health clinics licensed or granted an operating certificate under Article 31 of the MHL;
 - Alcohol and substance use disorder treatment clinics licensed or granted an operating certificate under Article 32 of the MHL;
 - Day program facilities licensed or granted an operating certificate under Article 16 of the MHL;
 - Clinics licensed or granted an operating certificate under Article 16 of the MHL; and
 - Community-based programs funded under the Office of Mental Health, the Office of Addiction Services and Supports, the Office for People with Developmental Disabilities, or through local governmental units as defined under Article 41 of the MHL.

and,

- (c) An Eligible Applicant must be currently certified and/or licensed under one or more provider organizations as established in accordance with PHL Section 2825-g and the Eligible Applicant must submit all current certifications and/or licensures related to the project at the time of application submission for the project to be deemed an Eligible Project.

Provide proof that the applicant meets the minimum eligibility requirements under Section II. Who May Apply. Proof of subsection (b). eligibility includes an uploaded copy of a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, or an uploaded copy of a New York State Medical License for a primary care provider or a filing receipt or copy of Articles of Organization for an independent practice association or organization. Provide proof of all other current certifications and/or licensure related to a project. All documents must be combined into a single PDF no larger than 10MB and uploaded as Attachment 6 via the Grants Gateway in the Pre-Submission Uploads section of the online application.

- (d) Eligible Applicants must be prequalified in the New York State Grants Gateway or Statewide Financial System (SFS), if not exempt, on the date and time Applications in response to this Request for Applications (RFA) are due as specified in the “Key Dates” set forth on the Cover Page of this RFA (Please see Section IV.M for additional information).

IMPORTANT NOTE: Due to system conversion ([Transition to SFS](#)) expected on January 16th, 2024, Applicants that are not fully prequalified in the NYS Grants Gateway by close of business (COB) January 9th, 2024, will need to prequalify in the NYS Statewide Financial System (SFS).

Additionally, if an applicant’s vault expires prior to application submission, applicant will need to prequalify in SFS. The first day that the SFS prequalification modules will be available is January 16th, 2024. Please see Section IV.M.4 of this RFA for additional information on SFS Prequalification.

Additional Notes:

An Eligible Applicant must be one of the provider organizations listed as an “Eligible Applicant” above. An Eligible Applicant must meet these minimum eligibility requirements at the time the application is submitted. An application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.

General hospitals licensed under Article 28 of the PHL are further clarified for purposes of this RFA. The following definitions of passive and active hospital parents are used, and their respective eligibility to apply on behalf of their subsidiary is confirmed.

- A passive hospital parent is not an Eligible Applicant. A passive hospital parent is not legally established by the NYS Public Health and Health Planning Council and is not fully accountable for actions by its subsidiary. For purposes of this RFA, a passive hospital parent is not eligible to apply on behalf of a subsidiary.
- An active hospital parent is legally established by the NYS Public Health and Health Planning Council and is fully accountable for the actions of its subsidiary. For purposes of this RFA, an active hospital parent is an Eligible Applicant and can apply on behalf of a subsidiary.

III. Project Narrative/Work Plan Outcomes

Multiple awards will be made under this RFA. An Eligible Applicant can choose to submit a single application or multiple applications.

Separate applications must be submitted for non-capital projects or debt retirement and restructuring purposes even if they are part of the same overall purpose for which an application for a capital project(s) is also being submitted.

Applicants can submit an application or applications to fund more than one Eligible Project. **It is preferred that applicants submit separate applications for each Eligible Project.** Separate applications will enable the review team to better consider the individual merits of each application and fund individual Eligible Projects. **If an Eligible Applicant submits multiple, separate applications for funding under this RFA, the Eligible Applicant must assign a priority to each application.**

The decision to submit separate applications or one application should be based on whether the Eligible Projects are interdependent. If submitting one application with more than one Eligible Project, the Eligible Projects should be considered interdependent to creating a financially sustainable system of care. If applications are interdependent and the overall Eligible Project cannot be completed unless all are funded, Eligible Applicants should describe this interdependence.

The NYSDOH will review applications to determine the appropriate level of public investment needed for the Eligible Project, and the final amount of each Eligible Applicant's total award will be determined based upon the criteria set forth in Section III. C.

A. Eligible Projects

An "Eligible Project" must include Eligible Expenses, as defined herein. Projects shall not receive an award under both this RFA and the Kings County Health Care Transformation Program (PHL §2825-a) or the Oneida County Health Care Transformation Program (PHL §2825-b). An Eligible Applicant may apply for funding under this RFA for a project(s) that is separate, distinct and is not funded in whole or in part through either the Kings County Health Care Transformation Program or the Oneida County Health Care Transformation Program.

An Eligible Applicant must be appropriately certified or licensed to complete all aspects of the proposed project at the time of application. Certificate of Need (CON) approval of the Eligible Project from the NYS Public Health and Health Planning Council (PHHPC) is not needed at the time of application submission.

B. Eligible and Excluded Expenses and Disallowed Costs

Expenditures eligible for funding under SHCFTP IV ("Eligible Expenses") are for capital projects which may include, but are not limited to:

- The planning or design of the acquisition, construction, demolition, replacement, major repair or renovation of a fixed asset or assets, including the preparation and review of plans and specifications including engineering and other services;
- Construction costs;
- Renovation costs;
- Asset acquisitions;
- Equipment costs; and
- Consultants' fees and other expenditures associated with the preparation of Certificate of Need (CON) applications required for the proposed establishment action, construction activity or service expansion (so long as the costs incurred are in connection with original construction and not an ownership transfer).

Expenditures eligible for funding under SHCFTP IV also include debt retirement and restructuring and other non-capital projects. Such expenditures may include:

- Debt restructuring including costs to reduce, retire or refinance long-term liabilities such as mortgages, bank loans, capital leases and other liabilities, payments of debt service for such long-term liabilities and costs for restricting including professional fees, penalties, and interest; and
- Start-up operating expenses directly connected to the Eligible Project for which funding is being sought under this RFA.

Eligible Applicants must include a robust description of the Eligible Project and justification for all expenditures included in the Project Budget as well as a discussion of how the expenditure relates to the Eligible Project.

If Eligible Applicants apply for non-capital debt retirement and restructuring, working capital, and other non-capital projects, a detailed description must be included of how the debt restructuring will enable the Eligible Applicants to conduct specific health care transformation activities aligned with the purpose of SHCFTP IV grant funding.

If applicable to the Eligible Project, it is understood that design plans and specifications are unlikely to be available at this stage of Project development. However, an Eligible Applicant should be able to describe the project elements and their anticipated costs in sufficient detail for the reviewer to make a judgment on the reasonableness of the anticipated costs and how the Eligible Applicant estimated those costs.

If applicable to the Eligible Project, Eligible Applicants may subcontract components of the scope of work. For those Eligible Applicants that propose subcontracting, if known, the Eligible Applicant is expected to state in their application the specific components to be performed through subcontracts as well as the names of the subcontractors. Grantees will need to name subcontractors prior to reimbursement. Applicants should note that the lead organization (that is, the successful Applicant, as Contractor) will have overall responsibility for all Contract activities, including those performed by subcontractors and will be the primary contact for the NYSDOH. All subcontractors and subcontracts will be required to be approved by the Department of Health. When a subcontract equals or exceeds \$100,000, the subcontractor shall submit a Vendor Responsibility Questionnaire.

Excluded expenses are not eligible for funding under SHCFTP IV. Excluded expenses include:

- General ongoing operating costs applicable to day-to-day operations. General ongoing operating costs that are not eligible for funding under SHCFTP IV include expenses such as routine supplies; utilities; operating lease payments, equipment with a useful life of less than three years; ongoing, routine maintenance costs related to health information technology projects including but not limited to training of end-users or any ‘help-desk’ services or associated costs, costs/services beyond Design, Development, and Implementation and into Operations and maintenance (i.e., the system is operational, supporting health care operations), Software as a Services (SaaS) services post “go-live”, recurring licensing costs, cloud consumption and/or hosting post “go-live”, subscription costs with telehealth vendors, other non-capital startup expenditures, such as data plans, internet connectivity or voice services; and employees’ salaries and benefits, including those of new staff; and
- Costs related to health information technology and/or telehealth that exceed 15 percent of the total Eligible Project funds requested.

Disallowed costs include expenditures identified in the Eligible Project Budget that are Excluded Expenses or are not sufficiently described and/or justified in type or amount by the applicant or are considered to be unrelated to the proposed Eligible Project. Disallowed costs will be excluded from the amount considered as the grant request.

Only expenses determined allowable under the contract budget and work plan and incurred on or after the start date of the contract (expected no earlier than October 1, 2024, may be vouchered for reimbursement. Any obligations assumed by an Eligible Applicant prior to execution of the MGC are assumed at risk.

C. Evaluation Criteria

In determining awards for Eligible Projects, the NYSDOH shall consider criteria including, but not limited to:

1. The extent to which the Eligible Project will maintain or improve the long-term financial sustainability of the Eligible Applicant.
2. The extent to which the Eligible Project impacts improved quality of care, patient outcomes and patient experience, for the population in the community or communities served by the Eligible Applicant.
3. The extent to which the Eligible Project contributes to the integration, preservation, or expansion of essential health care services in the community or communities served by the Eligible Applicant.
4. The relationship between the Eligible Project and an identified community need and the extent to which community engagement has helped shape the Eligible Project.
5. The extent to which the Eligible Project advances health equity for the population in the community or communities served by the Eligible Applicant.
6. The extent to which the Eligible Project benefits Medicaid beneficiaries, Medicare beneficiaries, and uninsured/underinsured individuals.
7. The extent to which the Eligible Applicant has limited access to alternative financing.

IV. Administrative Requirements

A. Issuing Agency

This RFA is issued by the New York State Department of Health (hereinafter referred to as NYSDOH or the Department), Office of Primary Care and Health Systems Management. Pursuant to PHL Section 2825-g, Statewide Health Care Facility Transformation Program IV grants may be awarded by the Commissioner of NYSDOH and approval of the Director of the Division of the Budget. The Department is responsible for the requirements specified herein and for the evaluation of all applications. *See*, Section V.C. (Review and Award Process).

B. Question and Answer Phase

All substantive questions by Applicants with respect to any aspect of the RFA must be submitted in writing to Megan Prokorym, NYSDOH, Health Care Transformation Group, at the following email address: Statewide4transformation@health.ny.gov. This includes Minority and Women Owned Business Enterprise (M/WBE) questions and questions pertaining to the M/WBE forms. *See*, Section IV.I. (Minority & Women-Owned Business Enterprise (M/WBE) Requirements). Questions of a technical nature related to formatting or other minor details related to preparation of an Application may also be addressed in writing to the email address noted above. Questions are of a technical nature if they are limited to how to prepare your Application (e.g., formatting) rather than relating to the substance of the Application.

To the degree possible, each question submitted by a potential Applicant pursuant to the terms of this RFA should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the Cover Page of this RFA.

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or applications should be directed to the NYSDOH contact listed on the cover of this RFA.

- <https://grantsmanagement.ny.gov/resources-grant-applicants>
- Grants Gateway Videos: <https://grantsmanagement.ny.gov/videos-grant-applicants>
- Grants Gateway Team Email: grantsgateway@its.ny.gov
Phone: 518-474-5595
Hours: Monday thru Friday 8am to 4pm
(Application Completion, Policy, Prequalification and Registration questions)
- Agate Technical Support Help Desk
Phone: 1-800-820-1890
Hours: Monday thru Friday 8am to 8pm
Email: helpdesk@agatesoftware.com
(After hours support w/user names and lockouts)

Prospective Applicants should note that all responses by the Department to questions submitted with respect to this RFA which result in clarifications of or exceptions to the terms, conditions, and provisions of this RFA and/or the Master Contract for Grants, are to be raised during the Question and Answer Phase. The Applicant must clearly note what exceptions the Applicant is requesting be incorporated should the application result in a funded award. All questions and answers will be published by the Department to ensure equal access and knowledge by all prospective Applicants at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx by the date specified on the Cover Page of this RFA.

This RFA has been posted on the NYS Grants Gateway website at: https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx and a link provided on the Department's public website at: <https://www.health.ny.gov/funding/>.

All Questions must be received by the date and time specified on the Cover Page of this RFA, under “Key Dates”, opposite the heading “Questions Due”.

All questions submitted by email should state the RFA Title and Number set forth on the Cover Page (RFA# 20244, Statewide Health Care Facility Transformation Program IV) in the subject line of the email.

Questions and answers, as well as any updates, addendums to, and/or other modifications of this RFA, will be posted on these websites. All such questions and answers, updates, addendums to, and other modifications to this RFA will be posted by the date identified on the Cover Page of this RFA under “Key Dates”.

C. Letter of Interest

A Letter of Interest is not requested for this project.

D. Applicant Conference

An Applicant Conference will not be held for this Project by way of a webinar.

E. How to file an application

Applications must be submitted online via the Grants Gateway by the date and time posted on the Cover Page of this RFA under the heading “Key Dates”.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Management website at the following web address: <https://grantsmanagement.ny.gov/> and select the “Apply for a Grant” from the Apply & Manage menu. There is also a more detailed “Grants Gateway: Vendor User Guide” available in the documents section under Training & Guidance; For Grant Applicants on this page as well. Training webinars are also provided by the Grants Gateway Team. Dates and times for webinar instruction can be located at the following web address: <https://grantsmanagement.ny.gov/live-webinars>.

To apply for this opportunity (that is, to submit an Application):

1. Log into the [Grants Gateway](#) as either a “Grantee” or “Grantee Contract Signatory”.
2. On the Grants Gateway home page, click the “View Opportunities” button”.
3. Use the search fields to locate an opportunity; search by State agency (NYSDOH) or enter the Grant Opportunity name **Statewide Health Care Facility Transformation Program IV**.
4. Click on “Search” button to initiate the search.
5. Click on the name of the Grant Opportunity from the search results grid and then select the “APPLY FOR GRANT OPPORTUNITY” button located bottom left of the Main page of the Grant Opportunity.

Once the Application is complete, a prospective Applicant is **strongly encouraged** to submit their Application at least **48 hours prior to the Application’s due date** and time specified on the Cover Page of this RFA. This will allow sufficient opportunity for the Applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. **Failure to leave adequate time to address issues identified during this process may jeopardize an Applicant’s ability to submit their Application.** Both NYSDOH and Grants Gateway staff are available to answer an Applicant’s technical questions and provide technical assistance prior to the Application due date and time. Contact information for the Grants Gateway Team is available under Section IV.B. (Question and Answer Phase) of this RFA.

PLEASE NOTE: Although NYSDOH and the Grants Gateway staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time for the submission of an Application, there is no guarantee that they will be resolved in time for the Application to be submitted on time and, therefore, considered for funding.

The Grants Gateway will always notify an Applicant of successful submission of the Applicant’s Application. If a prospective Applicant does not get a successful submission message assigning their Application a unique ID number, it has **NOT** successfully submitted an Application. During the application process, please pay particular attention to the following:

- Not-for-profit Applicants must be prequalified, if not exempt, on the date and time Applications in response to this Request for Applications (RFA) are due as specified in the “Key Dates” set forth on the Cover Page of this RFA. Be sure to maintain prequalification status between funding opportunities. **NOTE:** Three of a not-for-profit’s essential financial documents - the IRS990, its Financial Statement, and its Charities Bureau filing - expire on an annual basis. If these documents are allowed to expire, the not-for-profit’s prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.
- Only individuals with the roles “Grantee Contract Signatory” or “Grantee System Administrator” can submit an Application on behalf of an Applicant.
- Prior to submission, the Grants Gateway will automatically initiate a global error checking process to protect against an incomplete Application. An Applicant may need to attend to certain parts of the Application prior to being able to submit the Application successfully. An Applicant must be sure to allow time after pressing the submit button to clean up any global errors that may arise. An Applicant can also run the global error check at any time in the application process. (see p.68 of the Grants Gateway: Vendor User Guide).
- Applicants should use numbers, letters, and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also, be aware of the restriction on file size (10 MB) when uploading documents. Applicants should ensure that any attachments uploaded with their application are not “protected” or “pass-worded” documents.

The following table will provide a snapshot of which roles are allowed to Initiate, Complete, and Submit the Grant Application(s) in the Grants Gateway.

Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
Delegated Admin	X				
Grantee		X	X		
Grantee Contract Signatory		X	X	X	
Grantee Payment Signatory		X	X		
Grantee System Administrator		X	X	X	
Grantee View Only					X

PLEASE NOTE: Waiting until the last several days to complete your Application online can be dangerous, as you may have technical questions. Beginning the process of applying as soon as possible will produce the best results.

Applications will not be accepted via fax, e-mail, paper copy or hand delivery.

LATE APPLICATIONS WILL NOT BE ACCEPTED.

F. Department of Health's Reserved Rights

The Department of Health reserves the right to:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the Department's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any Applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of applications, in the Department's sole discretion.
6. Use Application information obtained through site visits, management interviews, and 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 Department's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to Application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to Application opening, direct Applicants to submit proposal modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Waive any requirements that are not material.
11. Award more than one contract resulting from this RFA.
12. Negotiate with successful Applicants within the scope of the RFA in the best interests of the State.
13. Conduct contract negotiations with the next responsible Applicant, should the Department be unsuccessful in negotiating with the selected Applicant.
14. Utilize any and all ideas submitted with the Applications received, at the Department's sole discretion.
15. Unless otherwise specified in the RFA, every offer in an Applicant's Application is firm and not revocable for a period of 60 days from the Application opening.

16. Waive or modify minor irregularities in Applications received after prior notification to the Applicant.
17. 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 RFA.
18. Eliminate any term of this RFA that cannot be complied with by any of the Applicants.
19. Award grants based on geographic or regional considerations to serve the best interests of the State.

G. Term of Contract

Any contract resulting from this RFA will be at the discretion of the Commissioner of Health for purposes described in this RFA.

It is expected that contracts resulting from this RFA will have the following time period: October 1, 2024 through September 30, 2029 (consistent with the accepted construction schedule).

Only Eligible Expenses determined allowable under the contract budget and work plan and incurred on or after the start date of the contract (expected no earlier than October 1, 2024), may be vouchered for reimbursement. Any obligations assumed by an Eligible Applicant prior to execution of the MGC contract are assumed at risk.

Continued funding throughout this five-year period is contingent upon availability of funding and State budget appropriations and the Grantee's continued satisfactory performance of its obligations under the Contract. NYSDOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

A sample New York State Master Contract for Grants can be found in the Forms Menu once an application to this funding opportunity is started.

H. Payment & Reporting Requirements of Grant Awardees

1. No advances will be allowed for contracts resulting from this procurement.
2. The Grantee will be required to submit invoices and required reports of expenditures based upon the terms for payment set forth in Attachment A-1 to its Grant Contract to the State's designated payment office (below) or, if requested by the Department, through the Grants Gateway:

Grants Management Bureau
NYS Department of Health
ESP, Corning Tower, Room 2863
Albany, NY 12237
Email: Statewide4transformation@health.ny.gov

A Grantee must provide complete and accurate billing invoices in order to receive payment of the grant funding provided for under the terms of its Grant Contract. Invoices submitted to the Department must contain all information and supporting documentation required by the Contract, the Department, and the Office of the State Comptroller (OSC). Payment for invoices submitted by the Grantee shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner of Health, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with OSC's procedures and practices to authorize electronic payments. Authorization forms are available at OSC's website at: <http://www.osc.state.ny.us/epay/index.htm>, by email at: epayments@osc.state.ny.us or by telephone at 855-233-8363. Each Grantee acknowledges that it will not receive payment on any claims for reimbursement submitted under its Grant Contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such claims for reimbursement by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be: Contractor will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Workplan.

3. The Grantee will be required to submit the following reports to the Department of Health at the address above or, if requested by the Department, through the Grants Gateway:
 - Quarterly reports on the status of the Statewide Health Care Facility Transformation Program IV project. Such reports shall be submitted no later than 30 days after the close of the quarter, and shall be consistent with the provisions of the terms of the grant contractor's State of New York Master Contract for Grants. The reports shall include:
 - Progress made toward Statewide Health Care Facility Transformation Program IV objectives;
 - A status update on Project process and performance metrics and milestones;
 - Information on Project spending and budget; and
 - A summary of public engagement and public comments received.

All payment and reporting requirements will be detailed in Attachment D of the final NYS Master Contract for Grants,

I. Minority & Woman-Owned Business Enterprise Requirements

Pursuant to New York State Executive Law Article 15-A, the Department recognizes its obligation to promote opportunities for maximum feasible participation of New York State-certified minority- and women-owned business enterprises (M/WBEs) and the employment of minority group members and women in the performance of NYSDOH contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and

Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority- and women-owned business enterprises in state procurement contracting versus the number of minority- and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that NYSDOH establish goals for maximum feasible participation of New York State Certified minority- and women-owned business enterprises ("M/WBE") and the employment of minority groups members and women in the performance of New York State contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, the Department of Health hereby establishes a goal of **30%** as follows:

- 1) For Not-for-Profit Applicants: Eligible Expenditures include any subcontracted labor or services, equipment, materials, or any combined purchase of the foregoing under a contract awarded from this solicitation.
- 2) For-Profit and Municipality Applicants: Eligible Expenditures include the value of the total amount of the Budget provided for the Work Plan in the Grant Contract entered into pursuant to this RFA.

The goal on the Eligible Expenditures portion of a Grant Contract awarded pursuant to this RFA will be **15%** for Minority-Owned Business Enterprises ("MBE") participation and **15%** for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified M/WBE firms). A Grantee awarded a Grant Contract pursuant to this RFA must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Grant Contract and Grantee will agree under the terms of its Grant Contract that NYSDOH may withhold payment pending receipt of the required M/WBE documentation required by the Department or the OSC. For guidance on how NYSDOH will determine "good faith efforts," refer to 5 NYCRR §142.8.

The directory of New York State Certified M/WBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found on this page under "NYS Directory of Certified Firms" and accessed by clicking on the link entitled "Search the Directory". Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged and all communication efforts and responses should be well documented by a Grantee to evidence its good faith efforts to encourage M/WBE participation in the performance of its obligations under its Grant Contract.

By submitting an Application, each Applicant and potential Grantee agrees to complete an M/WBE Utilization plan as directed in **Attachment 4** of this RFA. NYSDOH will review the M/WBE Utilization Plan submitted by each Grantee. If a Grantee's M/WBE Utilization Plan is not accepted, NYSDOH may issue a Notice of Deficiency. If a Notice of Deficiency is issued, Grantee agrees that it shall respond to the Notice of Deficiency within seven (7) business days of receipt. NYSDOH may disqualify a Grantee as being **non-responsive** under the following circumstances:

- a) If a Grantee fails to submit a M/WBE Utilization Plan;

- b) If a Grantee fails to submit a written remedy to a Notice of Deficiency;
- c) If a Grantee fails to submit a request for waiver (if applicable); or
- d) If NYSDOH determines that the Grantee has failed to document good-faith efforts to meet the established NYSDOH M/WBE participation goals for the procurement.

In addition, Grantees will be required to certify they have an acceptable Equal Employment Opportunity policy statement.

J. Participation Opportunities For New York State Certified Service-Disabled Veteran Owned Businesses

Article 3 of the New York State Veterans' Services Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses ("SDVOB"), thereby further integrating such businesses into New York State's economy. NYSDOH recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of NYSDOH contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

I. Contract Goals

- A. NYSDOH hereby establishes an overall goal of 6% for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should reference the directory of New York State Certified SDVOBs found at: <https://ogs.ny.gov/veterans/>. Questions regarding compliance with SDVOB participation goals should be directed to the NYSDOH Designated Contacts. Additionally, following Contract execution, Contractor is encouraged to contact the Office of General Services' Division of Service-Disabled Veterans' Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing participation by SDVOBs on the Contract.
- B. Contractor must document "good faith efforts" to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract (see clause IV below).

II. SDVOB Utilization Plan

- A. In accordance with 9 NYCRR § 252.2(i), Bidders are required to submit a completed SDVOB Utilization Plan on Form SDVOB 100 (Attachment 5) with their bid.
- B. The Utilization Plan shall list the SDVOBs that the Bidder intends to use to perform the Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing

information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Contract award and during the term of the Contract must be reported on a revised SDVOB Utilization Plan and submitted to NYSDOH.

- C. NYSDOH will review the submitted SDVOB Utilization Plan and advise the Bidder/Contractor of NYSDOH acceptance or issue a notice of deficiency within 20 days of receipt.
- D. If a notice of deficiency is issued, Bidder/Contractor agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to NYSDOH a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by NYSDOH to be inadequate, NYSDOH shall notify the Bidder/Contractor and direct the Bidder/Contractor to submit, within five business days of notification by NYSDOH, a request for a partial or total waiver of SDVOB participation goals on SDVOB 200. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.
- E. NYSDOH may disqualify a Bidder's bid or proposal as being non-responsive under the following circumstances:
 - (a) If a Bidder fails to submit an SDVOB Utilization Plan;
 - (b) If a Bidder fails to submit a written remedy to a notice of deficiency;
 - (c) If a Bidder fails to submit a request for waiver; or
 - (d) If NYSDOH determines that the Bidder has failed to document good faith efforts.
- F. If awarded a Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.
- G. Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, NYSDOH shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsibility.

III. Request for Waiver

- A. **Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Designated Contacts at NYSDOH for guidance.**
- B. In accordance with 9 NYCRR § 252.2(m), a Bidder/Contractor that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form SDVOB 200, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by NYSDOH at that time, the provisions of clauses II (C), (D) & (E) will

apply. If the documentation included with the Bidder's/Contractor's waiver request is complete, NYSDOH shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.

- C. Contractor shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to NYSDOH, but must be made no later than prior to the submission of a request for final payment on the Contract.
- D. If NYSDOH, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (SDVOB 101) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regards to such non-compliance, NYSDOH may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals.

Waiver requests should be sent to NYSDOH.

IV. Required Good Faith Efforts

In accordance with 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. Evidence of required good faith efforts shall include, but not be limited to, the following:

- (1) Copies of solicitations to SDVOBs and any responses thereto.
- (2) Explanation of the specific reasons each SDVOB that responded to Bidders/Contractors' solicitation was not selected.
- (3) Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by NYSDOH with certified SDVOBs whom NYSDOH determined were capable of fulfilling the SDVOB goals set in the Contract.
- (4) Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- (5) Other information deemed relevant to the waiver request.

V. Monthly SDVOB Contractor Compliance Report

In accordance with 9 NYCRR § 252.2(q), Contractor is required to report Monthly SDVOB Contractor Compliance to NYSDOH during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals. This information must be submitted using form SDVOB 101 available on the NYSDOH website and should be completed by the Contractor and submitted to NYSDOH, by the 10th day of each month during the term of the Contract, for the preceding month's activity to:

Statewide4transformation@health.ny.gov.

VI. Breach of Contract and Damages

In accordance with 9 NYCRR § 252.2(s), any Contractor found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in the Contract, shall be found to have breached the contract and Contractor shall pay damages as set forth therein.

ALL FORMS ARE AVAILABLE AT: <https://ogs.ny.gov/veterans/>

K. Vendor Identification Number

Effective January 1, 2012, in order to do business with New York State, you must have a vendor identification number. As part of the Statewide Financial System (SFS), the Office of the State Comptroller's Bureau of State Expenditures has created a centralized vendor repository called the New York State Vendor File. In the event of an award of a grant to a successful Applicant pursuant to the terms of this RFA and in order to initiate a Grant Contract with the New York State Department of Health, a Grantee must be registered in the New York State Vendor File and have a valid New York State Vendor ID.

If already enrolled in the Vendor File, the Applicant should include the Vendor Identification number in your organization information. If not enrolled, to request assignment of a Vendor Identification number, an Applicant should please submit a New York State Office of the State Comptroller Substitute Form W-9, which can be found on-line at: <https://www.osc.state.ny.us/files/vendors/2017-11/vendor-form-ac3237s-fe.pdf>

Additional information concerning the New York State Vendor File can be obtained on-line at: http://www.osc.state.ny.us/vendor_management/index.htm, by contacting the SFS Help Desk at 855-233-8363 or by emailing at helpdesk@sfs.ny.gov.

L. Vendor Responsibility Questionnaire

The Department strongly encourages each Applicant to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. The Vendor Responsibility Questionnaire must be updated and certified every six (6) months. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <https://www.osc.state.ny.us/state-vendors/vendrep/file-your-vendor-responsibility-questionnaire> or go directly to the VendRep system online at <https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system>.

An Applicant must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at itservicedesk@osc.ny.gov.

Applicants opting to complete online should complete and upload the Vendor Responsibility Attestation (Attachment 3) of the RFA. The Attestation is located under Pre-Submission Uploads and once completed should be uploaded in the same section.

Applicants opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website, www.osc.state.ny.us/vendrep, and upload it with their Application in the Pre-Submission Uploads section in place of the Attestation.

M. Vendor Prequalification for Not-for-Profits

Each not-for-profit Applicant subject to prequalification is required to prequalify prior to submitting its Application in the Grants Gateway.

Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16, 2014, New York State has instituted key reform initiatives to the grant contract process which requires a not-for-profit Applicant to register in the Grants Gateway and complete the Vendor Prequalification process in order for any Application submitted by that Applicant to be evaluated. Information on these initiatives can be found on the [Grants Management Website](#).

An Application received from a not-for-profit Applicant that (a) has not Registered in the Grants Gateway or (b) has not Prequalified in the Grants Gateway or SFS on the Application's due date specified on the Cover Page of this RFA cannot be evaluated. Such Applications will be disqualified from further consideration.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Management Website details the requirements and an [online tutorial](#) are available to walk users through the process. Please see Section M.4, below, for SFS related Grantee User Manual and SFS related prequalification steps.

1) Register for the Grants Gateway

- On the Grants Management Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the NYS Grants Management office at the address provided in the submission instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username, please email grantsgateway@its.ny.gov . If you do not know your Password, please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application

IMPORTANT NOTE: Due to system conversion (Transition to SFS) expected on January 16th, 2024, Applicants that are not fully prequalified in the NYS Grants Gateway by close of business (COB) January 9th, 2024, will need to prequalify in the NYS Statewide Financial System (SFS). Additionally, if an applicant's vault expires prior to application submission, applicant will need to prequalify in SFS. The first day that the SFS prequalification modules will be available is January 16th, 2024. Please see Step 4 below for more on SFS Prequalification.

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the New York State agency from which you have received the most grants. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Application.
- Specific questions about the prequalification process should be referred to your primary New York State agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov.

3) **Submit Your Prequalification Application**

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

All potential Applicants are strongly encouraged to begin Grants Gateway Registration and Grants Gateway/SFS Prequalification process as soon as possible in order to participate in this opportunity.

4) **Complete and Submit your Prequalification in the NYS Statewide Financial System (SFS)**

(Prequalification modules will be available in the NYS Statewide Financial System beginning on January 16th, 2024)

- Applicants will first need to create an account in SFS. Applicants that need to create an account should do so at the following link: <https://www.osc.ny.gov/state-vendors/portal/enroll-vendor-self-service-portal>. Any questions related to SFS accounts should be sent to the SFS Help Desk (HelpDesk@sfs.ny.gov).
- Instructions for SFS Prequalification can be found on Page 20 of the SFS Grantee User Manual entitled, “! Grantee Processing in SFS”. This user manual is accessible to organizations with an SFS account under the SFS Coach Tile/Button in the SFS Vendor Portal. Select “Handbook: User Manual with Screenshots” from the Training Type drop down to locate the manual. If you have any problems accessing the manual please contact HelpDesk@sfs.ny.gov. Please see the section entitled, “Enter and Submit a Prequalification Application”, located on page 20 of the SFS Grantee

User Manual, for complete instructions on how to complete and submit an SFS Prequalification in the NYS Statewide Financial System.

N. General Specifications

1. By submitting the "Application Form" each Applicant attests to its express authority to sign on behalf of the Applicant.
2. Grantees will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of any Contract awarded pursuant to this RFA will possess the qualifications, training, licenses, and permits as may be required within such jurisdiction.
3. Submission of an Application indicates the Applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the Master Contract for Grants. Any exceptions the Applicant would like considered by the Department relating to the terms and conditions of this RFA and/or Master Contract for Grants must have been raised during the Question and Answer Phase of this RFA (See, Section IV.B.).
4. An Applicant may be disqualified from receiving an award if such Applicant or any subsidiary, affiliate, partner, officer, agent, or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts, in the State of New York or otherwise.
5. Provisions Upon Default
 - a. If an Applicant is awarded a grant pursuant to this RFA, the services to be performed by the successful Applicant pursuant to the terms of the Grant Contract entered into with the Department shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the Contract resulting from this RFA.
 - b. In the event that the Grantee, through any cause, fails to perform any of the terms, covenants, or promises of any Contract resulting from this RFA, the Department acting for and on behalf of the State, shall thereupon have the right to terminate the Contract by giving notice in writing of the fact and date of such termination to the Grantee.
 - c. If, in the judgement of the Department, the Grantee acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any Contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Grantee. In such case the Grantee shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Grantee up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Grantee was engaged in at the time of such termination, subject to audit by the State Comptroller.

V. Completing the Application

A. Application Format/Content

Please refer to the Grants Gateway: Vendor User Guide for assistance in applying for this procurement through the NYS Grants Gateway. This guide is available on the Grants Management website at: <https://grantsmanagement.ny.gov/vendor-user-manual>. Additional information for applicants is available at: <https://grantsmanagement.ny.gov/resources-grant-applicants>.

The Grants Gateway works well in most cases with all browsers, including Microsoft Edge, Google Chrome, Safari, and Firefox. However, you will need to use Internet Explorer Compatibility Mode in Microsoft Edge if you need to save 500-character limit fields in the Work Plan. You can access Internet Explorer mode by right-clicking on a tab in Edge and selecting the option “Reload Tab in Internet Explorer Mode”.

Please respond to each of the sections described below when completing the Grants Gateway online application. Your responses comprise your application. Please respond to all items within each section. When responding to the statements and questions, be mindful that application reviewers may not be familiar with the applicant and its services. Therefore, answers should be specific, succinct and responsive to the statements and questions as outlined.

It is each Applicant’s responsibility to ensure that all materials included in its Application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the Application deadline date and time specified on the Cover Page of this RFA.

Failure to submit the required copy of a New York State Operating Certificate, New York State Certification, or New York State Medical License, and/or audited financial statements and any other required evidence of applicant’s qualifications, will result in disqualification of your application.

- Pre-Submission Uploads

As a reminder, the following attachments need to be uploaded under the Pre-Submission Uploads section of the Grants Gateway in order to submit an application in the system.

1. Application Cover Sheet (Attachment 1)
2. Projected Financial Information (Attachment 2)
3. Vendor Responsibility Attestation (Attachment 3)
4. Minority & Women-Owned Business Enterprise Requirement Forms (Attachment 4)
5. Service- Disabled Veteran Owned Business Requirement Forms (Attachment 5)
6. Required Proof of Minimum Eligibility (Attachment 6)
7. IT Questionnaire (Attachment 7)
8. Required 2022 IRS 990 Form (Attachment 8)
9. Required Audited Financial Statements (Attachment 9)

Note: Attachment 7 only needs to be completed and uploaded if the Eligible Project includes Information Technology expenses. Refer to Section III.B.

- Program Specific Questions

Applicants are encouraged to provide a robust response to all Program Specific Questions.

Applicants should be mindful of the Evaluation Plan described in Section V.C. Review and Award Process. The Review Team will assign a rating to each of the “Grant Evaluation Criteria” listed in RFA Section III. C. “Evaluation Criteria”. Questions 4.a. through 4.j., 6 and 7, directly relate to the Evaluation Criteria.

1. Previous Funding Applications

- a. Did your organization apply for funds through the Statewide Health Care Facility Transformation Program I (SHCFTP I RFA #1607010255) or the Statewide Health Care Facility Transformation Program II (SHCFTP II RFA #17648) or the Statewide Health Care Facility Transformation Program III (SHCFTP III RFA #18406) or Statewide Health Care Facility Transformation Program IV – ED (SHC4ED #20224)?
- b. If yes to 1.a., answer the following questions:
 - i. Was the project previously submitted for SHCFTP I and/or SHCFTP II and/or SHCFTP III and/or SHCFTP IV – ED funding substantially the same as the current project being submitted? Indicate the applicant’s name, project name and amount of grant funds requested. If no to question 1a please indicate "no" in response.

2. Applicant Organization Type

- a. Indicate the applicant organization type from the following types of Eligible Applicants:
 - General Hospitals licensed under Article 28 of the PHL
 - Residential Health Care Facilities licensed under Article 28 of the PHL
 - Diagnostic and Treatment Centers certified or licensed under Article 28 of the PHL
 - Adult Care Facilities licensed under Article 7 of the SSL
 - Assisted living programs approved by NYSDOH pursuant to section 461-1 of the SSL
 - Children’s Residential Treatment Facilities licensed pursuant to Article 31 of the MHL
 - Mental Health Clinics licensed or granted an operating certificate under Article 31 of the MHL
 - Alcohol and Substance Abuse Treatment Clinics licensed or granted an operating certificate under Article 32 of the MHL
 - Home Care Providers certified or licensed under Article 36 of the PHL
 - Clinics licensed or granted an operating certificate under Article 16 of the MHL
 - Residential or Day Program Facilities licensed or granted an operating certificate under Article 16 of the MHL
 - Hospices licensed or granted an operating certificate under Article 40 of the MHL

- Independent practice associations or organizations with a valid New York Department of State identification number
 - Primary Care Providers with a New York State Medical License
 - Community-based programs funded under the Office of Mental Health, the Office of Addiction Services and Supports, the Office for People with Developmental Disabilities, or through local governmental units as defined under Article 41 of the MHL
- b. Provide proof that the applicant meets the minimum eligibility requirements under Section II. Who May Apply. Proof of subsection (b) eligibility includes an uploaded copy of a New York State Operating Certificate for an Article 7, 16, 28, 31, 32, 36, 40 or 41 provider organization, or an uploaded copy of a New York State Medical License for a primary care provider or a filing receipt or copy of Articles of Organization for an independent practice association or organization. Provide proof of all other current certifications/licensures related to a project. All documents must be combined into a single PDF no larger than 10MB and uploaded as Attachment 6 via the Grants Gateway in the Pre-Submission Uploads section of the online application.

An Eligible Applicant must meet minimum eligibility requirements at the time the application is submitted. An application must have one Eligible Applicant and the project as proposed in the application must primarily benefit the Eligible Applicant. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.

3. **Organizational Capacity**

Describe the Eligible Applicant's organization by answering each of the following questions specifically below:

- a. The Eligible Applicant's exact corporate name, board composition, ownership and affiliations, and number of employees.
- b. Provide the name, title, email and phone number of the highest-ranking employee in the organization. For example, the Chief Executive Officer of the hospital, diagnostic and treatment center, or clinic; or the Administrator of the nursing home.
- c. Provide the name, title, email, and phone number of the primary contact for routine questions on the application.
- d. Provide the name, title and salary of all employees in nonclinical titles whose salaries are \$250,000 or more.
- e. A discussion of the Eligible Applicant's mission, including the size of the organization and scope of services provided.
- f. Number of admissions or patient visits during the most recent 12-month cost reporting year.

- g. Provide the payer composition of populations served by the Eligible Applicant: Describe the payer mix of the population served and indicate the percent of the population served that is (1) Medicaid, (2) Medicare, (3) uninsured, and (4) commercially insured. The Medicaid category should include both Medicaid Managed Care and Medicaid fee-for-services.
- h. Geographic region served by the Eligible Applicant. The geographic region served is defined as the service area from which the provider draws at least 75 percent of its patients during the most recent 12-month cost reporting period.
- i. Applicant location in relation to like providers. Identify if the Eligible Applicant provides health care services that otherwise would not be available to the population of the geographic region due to transportation infrastructure, distance and/or travel times from other like providers. Specify by name(s) the next closest like provider(s) and the distance or travel time to this provider(s).
- j. Types of health care services provided. Identify if the Eligible Applicant provides any specialized health care services that otherwise would not be available to the population of the geographic region.

4. **The Project(s)**

Describe the Eligible Project(s). Applicants are encouraged to provide a robust, detailed description of the Eligible Project to be funded with SHCFTP IV funding so that it may be fairly evaluated. The description should address the components outlined in questions 4.a. through 4.j. If a specific question is not applicable to the Eligible Project, indicate “Not Applicable.”

Applicants can submit more than one Eligible Project. The decision to submit separate applications or one application should be based on whether the Eligible Projects are interdependent.

Separate applications must be submitted for non-capital projects or debt retirement and restructuring purposes even if they are part of the same overall purpose for which an application for a capital project(s) is also being submitted.

It is preferred that applicants submit separate applications for each Eligible Project. Separate applications will enable the review team to better consider the individual merits of each application. **If an Eligible Applicant submits multiple, separate applications for funding under this RFA, the Eligible Applicant must assign a priority to each application.**

If submitting one application with more than one Eligible Project, the Eligible Projects should be considered interdependent to creating a financially sustainable system of care. If applications are interdependent and the overall Eligible Project cannot be completed unless all are funded, Eligible Applicants should describe this interdependence.

Include in the description of each Eligible Project the following:

- a. A concise summary of the Eligible Project(s).
- b. The purpose of the Eligible Project(s).

- c. Separate applications are required for capital and non-capital debt retirement and restructuring Eligible Projects. If submitting multiple separate applications, address each of the following:
 - i. Indicate the rank order of priority for each Eligible Project.
 - ii. Within a given application, multiple Eligible Projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. If applications are interdependent and the overall Eligible Project cannot be completed unless all are funded, describe this interdependence.
- d. For each Eligible Project:
 - i. As applicable, describe the steps to be taken or that have been implemented to create a financially sustainable system of care. Include actions such as debt retirement and restructuring, a merger, consolidation, acquisition, or other significant restructuring activity and/or partnership or other relationship between the Eligible Applicant and a separate health care facility or system(s) as appropriate.
 - ii. As applicable, for each Eligible Project, identify how it will promote regional consolidation, restructuring or collaboration.
- e. For each Eligible Project, describe how will it impact improved quality of care, patient outcomes and patient experience.
 - i. Identify and describe current metrics that reflect the quality of care, patient outcomes and patient experience, of the Eligible Applicant. Metrics include, but are not limited to, quality ratings, survey findings, health care data, and patient and provider satisfaction surveys.
 - ii. Describe how the Eligible Project will enhance the quality of care, patient outcomes and patient experience using metrics reported in e. i.
- f. For each Eligible Project, describe how it will contribute to the integration, preservation and/or expansion of essential health care services in the community or communities served by the Eligible Applicant.
- g. For each Eligible Project, describe how the needs of the residents of the community or communities that will be served by the Eligible Project were assessed. Eligible Applicants should provide thorough, concise information that demonstrates a comprehensive understanding of the health care needs of the community or communities served.
 - i. The community need assessment should be specific to the Eligible Project. Note that citing general or federally required Community Needs Assessments alone is not satisfactory. The assessment should:

- a. Describe the health status of the community served by the Eligible Applicant and any disparities noted. The assessment should be based on documented information, such as health status indicators, demographics, and insurance status of the population.
 - b. Describe the adequacy of service capacity in the community. The analysis of service capacity should be based on data on service volume, occupancy, and utilization by existing providers.
 - c. Based on the community needs assessment, identify what additional health care services are needed.
- ii. If health care services are proposed to be eliminated or consolidated, provide the rationale and adequacy of service capacity in the community or region after the elimination or consolidation.
- iii. Describe the relationship between the Eligible Project and identified community need for health services.
- iv. Describe the extent to which the Eligible Applicant engaged the community affected by the Eligible Project and how community engagement shaped the Eligible Project.
 - a. Identify the specific stakeholder, patient, family or caregiver, or community groups that were contacted and the manner in which they were engaged (meeting, town hall forum, etc.).
 - b. Describe the extent to which stakeholders and community members were engaged in advance during the planning of the Eligible Project, and how their feedback was incorporated into the Eligible Project.
 - c. Describe how the Eligible Applicant intends to keep the community or communities served informed of the progress of the Eligible Project.
- h. For each Eligible Project, describe how it will advance health equity for populations in the community or communities served by the Eligible Applicant. For this purpose, New York State Public Health Law, Article 2-F definition is used such that “health equity” shall mean achieving the highest level of health for all people and shall entail focused efforts to address avoidable inequalities by equalizing those conditions for health for those that have experienced injustices, socioeconomic disadvantages, and systemic disadvantages, especially for medically underserved groups. Medically underserved groups include low-income people, racial and ethnic minorities, immigrants, women, lesbian, gay, bisexual, transgender, or other-than-cisgender people, people with disabilities, and older adults, among other groups.
 - i. Provide a description of the unintended positive and unintended negative impacts the Eligible Project may have on health equity and medically underserved groups in the community or communities served by the Eligible Applicant. Explain how the Eligible Project could positively or negatively affect medically underserved groups in their ability to access high quality, timely, comprehensive, culturally competent, and accessible service or care.

- ii. Describe the extent to which the Eligible Project reduces or mitigates existing architectural barriers for patients or residents with mobility impairments. If the Eligible Project newly creates or exacerbates existing architectural barriers for people with mobility impairments, describe how construction changes to the facility will help eliminate or mitigate the architectural barriers. If not applicable to the project, write N/A and provide justification.
 - iii. How does the Eligible Applicant intend to convey what is going to happen at the facility to patients/residents and the communities it serves? How will the communication be tailored (or the outreach be unique) to individuals with Limited English Proficiency and/or individuals with speech, hearing, or visual impairments?
 - iv. List existing and potential evidence-based measures and mechanisms (i.e. policies, procedures, internal controls, systems, or accountability measures) that can be put in place with respect to the Eligible Project to help mitigate the unintended negative impacts to medically underserved groups as identified in section h(i).
- i. For each Eligible Project, describe the benefit to Medicaid beneficiaries, Medicare beneficiaries, and uninsured/underinsured individuals. As part of the description, include the following:
- i. Provide data comparing the percent of Medicaid beneficiaries served by the Eligible Applicant in the last calendar year that data is available to the percent of Medicaid beneficiaries in the larger community and/or county.
 - ii. Estimate the anticipated change in the percent of Medicaid beneficiaries served by the Eligible Applicant because of implementing the Eligible Project. If awarded, the Eligible Applicant may be asked to provide follow-up data related to this question.
 - iii. Describe outreach efforts to improve access to services for Medicaid beneficiaries.
 - iv. Provide data comparing the percent of Medicare beneficiaries served by the Eligible Applicant in the last calendar year that data is available to the percent of Medicare beneficiaries and in the larger community and/or county.
 - v. Estimate the anticipated change in the percent of Medicare beneficiaries served by the Eligible Applicant because of implementing the Eligible Project. If awarded, the Eligible Applicant may be asked to provide follow-up data related to this question.
 - vi. Describe outreach efforts to improve access to services for Medicare beneficiaries.
 - vii. Provide data comparing the percent of uninsured/underinsured individuals served by the Eligible Applicant in the last calendar year that data is available to the percent of uninsured/underinsured individuals in the larger community and/or county.
 - viii. Estimate the anticipated change in the percent of uninsured/underinsured individuals served by the Eligible Applicant because of implementing the Eligible Project. If

awarded, the Eligible Applicant may be asked to provide follow-up data related to this question.

- ix. Describe outreach efforts to improve access to services for the uninsured/underinsured.

- j. Describe whether the Eligible Applicant has access to alternative financing other than Statewide Health Care Facility Transformation Program grant funds to finance the Eligible Project. If these grant funds are the only alternative financing available, please describe all actions taken and sources of funds that the Eligible Applicant pursued.

5. **Project Budget**

A Project Budget must be provided for all capital Eligible Projects. See Section III. B. Eligible and Excluded Expenses for a full description of Eligible and Excluded Expenses and Disallowed Costs.

All costs must be related to the provisions of SHCFTP IV, as well as be consistent with the scope of services, reasonable and cost effective. Justification for each cost should be submitted in narrative form. Any ineligible budget items will be removed from the budget prior to contracting. The budget amount requested will be reduced to reflect the removal of the ineligible items.

- a. A budget that includes cost estimates for all components of the Eligible Project must be submitted as part of the application in the Grants Gateway. Applicants are instructed to **also** complete Attachment 2: Projected Financial Information and follow the instructions provided in the attachment. Tab 1, Project Fund Sources, and Tab 2, Use of Funds, need to identify and describe sources of alternative funding for the Eligible Project (funds other than the SHCFTP IV grant funds or “Other Funds”), including cash, borrowed funds, governmental agencies or other grant funds or other sources. Provide evidence of the commitment of these fund sources. A commitment that is contingent upon receipt of the SHCFTP IV Grant applied for is acceptable. Only applications that request grant funding for Eligible Expenditures (as defined in Section III.B. of the RFA) will be funded. Attachment 2 can be found in the Pre-Submission Uploads section of the Grants Gateway application and once completed, Applicants are instructed to upload there.
- b. For each Eligible Project, an estimate of the total cost, including the amount of SHCFTP IV grant funding requested and any other sources and associated amounts of alternative funding necessary to fully fund the Eligible Project, if applicable.
- c. Provide a detailed narrative description of each budgeted item, including the factors used to determine the reasonableness of each budgeted item such as any standard or benchmark used to determine the expenditure, if available. These budget justifications should be specific enough to show what the Eligible Applicant means by each line item and how the line item supports the overall Eligible Project.

- d. If applicable, for non-capital debt retirement and restructuring, provide a detailed description and budget related to the health care transformation activities the Eligible Applicant will undertake as a result of the debt retirement and restructuring.
- e. If applicable, for Information Technology expenses related to the Eligible Project, upload a completed IT Questionnaire as Attachment 7 via the Grants Gateway in the Pre-Submission Uploads section of the online application.

6. Eligible Applicant Financial Stability

- a. Upload a copy of Eligible Applicant's 2022 IRS 990 Form. All pages must be combined into a single PDF no larger than 10MB and uploaded as Attachment 8 via the Grants Gateway in the Pre-Submission Uploads section of the online application.
- b. Upload a copy of the prior three years' annual audited financial statements of the Eligible Applicant and any other evidence of financial stability. Entities whose financial statements have not been subjected to an audit should include any additional information available to satisfy this test and appropriate certifications. All documents must be combined into a single PDF no larger than 10MB and uploaded as Attachment 9 via the Grants Gateway in the Pre-Submission Uploads section of the online application.

DO NOT PASSWORD PROTECT THE DOCUMENT. ENSURE ALL PASSWORDS ARE REMOVED PRIOR TO UPLOADING.

- o **Applicants should submit new financial forms to the Statewide4transformation@health.ny.gov email address if their financial situation significantly changes after application submission. A significant financial change is defined as a situation that may jeopardize the long-term sustainability of the applicant.**
- c. If the applicant has an active or passive parent organization or closely related party, explain the financial relationship of the parent organization or closely related party to the Eligible Project. Will any funds for this Project be provided through affiliates or the parent organization? If this question is not applicable, indicate "Not Applicable."
 - o If the Eligible Applicant has an active or passive parent organization or closely related party, the prior three years' annual audited financial statements of the active or passive parent organization or closely related party, and any other evidence of financial stability, must also be combined into a single PDF no larger than 10MB and uploaded to the Grantee Document folder section of the online application.
- d. If the applicant is an independent practice association or organization and has no audited financial statements, include any other evidence of financial stability by combining information into a single PDF no larger than 10MB and uploaded as Attachment 9 in the Pre-Submission Uploads section of the online application. In addition, if applicable, describe the applicant's related corporations and their ownership and the relationship of these entities to the Eligible Project. If this question is not applicable, indicate "Not Applicable."

NOTE: The following errors may result in disqualification of your application:

- If an applicant does not submit three years' annual audited financial statements or, in the case of an independent practice association or organization, any other evidence of this stability OR
- If an applicant uploads a password protected PDF, the Application PDF will fail.

7. Eligible Project Impact on Eligible Applicant Long-term Financial Sustainability

- a. Using Attachment 2: Projected Financial Information, Tab 3, Impact – Financial Viability, located in the Pre-Submission Uploads section of the Forms Menu, complete the financial feasibility projections for the Eligible Applicant. Attachment 2 can be found in the Pre-Submission Uploads section of the Grants Gateway application and once completed, Applicants are instructed to upload there.
- b. Describe the financial impact or benefit of the Eligible Project(s) on the Eligible Applicant.
 - i. Describe the Eligible Project(s)' financial impact or benefit through incremental revenues and expenses and how it will affect the long-term financial sustainability of the Eligible Applicant.
 - ii. Describe, in detail, all financial projections used to estimate the financial impact of the Eligible Project(s), including assumptions. This narrative should include, if relevant, changes in reimbursement rates, changes in utilization of services, change in payor mix, revenue and expenses, cost savings, balance sheet and cash uses and sources, etc.
- c. If applicable, describe how the Eligible Project will decrease the Eligible Applicant's need for Supplemental Operating Assistance. If these questions are not applicable, indicate "Not Applicable."
 - i. An Eligible Applicant that has received Supplemental Operating Assistance must indicate the amount of Supplemental Operating Assistance received, by year.
 - ii. An Eligible Applicant that has received Supplemental Operating Assistance must also submit as part of this application a Transformation Plan that demonstrates how the proposed use of the SHCFTP IV grant will strengthen their financial sustainability and reduce the need for future State-provided operating subsidies. If selected for an award, the applicant must work with the Department to finalize the Transformation Plan to the satisfaction of the Department before a contract can be executed.

8. Cost Savings

- a. Describe and quantify to the extent possible how the Eligible Project(s) will result in savings to the health care system relative to the Eligible Project(s)' costs.
- b. Quantify the proposed value or return on the State grant investment in the Eligible Project(s) relative to the Eligible Project(s)' costs. Include a discussion of all means by which projected savings can be verified after the Eligible Project(s) are complete.

9. Project Timeline

Describe the timeline anticipated to achieve implementation of the Eligible Project. This timeline should identify specific milestones and approximate dates of completion for each milestone. The application should also provide:

- a. Timeframes for any architectural and engineering design and construction necessary to accomplish each phase of the Eligible Project, if applicable.
- b. Scheduled milestones for the preparation and processing of any application, as required by CON regulations (10 NYCRR Part 710), necessary to secure DOH and/or PHHPC approval for service revisions, changes in governance, relocations, or capital construction that rises to the level of CON review.

10. Workplan

In addition to completing the application questions outlined above, an online Workplan must be completed in the Grants Gateway. The online Workplan will be included in any awarded contract; therefore, it should be sufficiently detailed to allow monitoring of progress toward Project goals.

The online Workplan is essentially an outline/summary of the work associated with the Eligible 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.

Please note that the Work Plan for this RFA is limited to the following: 30 Objectives, 60 Tasks, and 90 Performance Measures. The Grants Gateway does not keep a running count of these; applicants will be responsible for ensuring that they stay within these limits. **If you exceed these limits it will jeopardize your ability to submit your application.**

It is the applicant's responsibility to ensure that all materials to be included in its application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the date and time posted on the cover of this RFA.

B. Freedom of Information Law

All applications may be disclosed or used by NYSDOH to the extent permitted by law. NYSDOH may disclose an application to any person for the purpose of assisting in evaluating the application or for any other lawful purpose. All applications will become State agency records, which will be available to the public in accordance with the Freedom of Information Law (FOIL). **Any portion of an Application that an Applicant believes constitutes proprietary information entitled to confidential handling, as an exception to the general rule regarding the availability to the public of State agency records under the provisions of the Freedom of Information Law, must be clearly and specifically designated in the Application.** If NYSDOH agrees with the Applicant's claim regarding the proprietary nature of any portion of an application, the designated portion of the application will be withheld from public disclosure. Blanket assertions of

proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

C. Review & Award Process

Evaluation Criteria

In determining awards for Eligible Projects, the NYSDOH shall consider criteria including, but not limited to:

1. The extent to which the Eligible Project will maintain or improve the long-term financial sustainability of the Eligible Applicant.
2. The extent to which the Eligible Project impacts improved quality of care, patient outcomes and patient experience, for the population in the community or communities served by the Eligible Applicant.
3. The extent to which the Eligible Project contributes to the integration, preservation or expansion of essential health care services in the community or communities served by the Eligible Applicant.
4. The relationship between the Eligible Project and an identified community need and the extent to which community engagement has helped shape the Eligible Project.
5. The extent to which the Eligible Project advances health equity for populations in the community or communities served by the Eligible Applicant.
6. The extent to which the Eligible Project benefits Medicaid or Medicare beneficiaries and uninsured/underinsured individuals.
7. The extent to which the Eligible Applicant has limited access to alternative financing.

Evaluation Plan

Applications received in response to this RFA will be evaluated as follows:

Phase 1 Initial Review: Pass/Fail

NYSDOH staff shall undertake an initial review of all Grant Applications submitted online via the Grants Gateway by the date and time posted on the cover of the RFA and determine:

- i. If the applicant is a not-for-profit entity, it is registered and pre-qualified in the Grants Gateway (if not exempt);
- ii. Whether the Applicant is Eligible as established in accordance with PHL Section 2825-g; and
- iii. Whether the Application contains all of the components required by the RFA. Applications missing required material elements may be eliminated from further review. Applicants may be contacted by the NYSDOH if additional information is needed.

Applications passing Initial Review will be forwarded to Senior Review Teams for evaluation.

A list of applications proposed to be eliminated in Phase 1 due to not meeting the above requirements shall be compiled by NYSDOH and reviewed for determination of whether a disqualification or clarification letter should be sent to the applicant.

Phase 2 Review: Senior Review Teams

Independent reviews of applications will be conducted by Senior Staff. Selection of members will be based on subject matter expertise.

1. Eligibility Verifications

- i. Verify if an Eligible Project is capital or non-capital in nature.
- ii. Verify Applicant possesses all current certifications and/or licensures (Operating Certificate or other proof of licensure or eligibility) related to Eligible Project.

2. Critical Review

- i. For Eligible Applications, Senior Staff will be asked to provide a critical review that identifies strengths and weaknesses of the application.
- ii. Senior Staff will identify if they recommend or not recommend the application undergo further Executive Review Team review.

Senior Staff Reviews for Eligible Applicants and Projects will be forwarded to Executive Review Team members.

A list of all applications proposed to be eliminated in Phase 2 because they are 1) an Ineligible Applicant based on the proposed Eligible Project(s), 2) Ineligible Project or 3) the application contains incomplete or missing components required by the RFA, shall be compiled by NYSDOH and reviewed for determination of whether a disqualification or clarification letter should be sent to the applicant.

Phase 3 Review: Executive Review Team Discussion and Recommendations

The final eligibility determinations and rating of the evaluation criteria will be conducted by an “Executive Review Team”, which may include NYSDOH, and other State agency staff as determined by the Commissioner. The evaluation of applications by the Executive Review Team will be based on or supported by summaries and other factual analyses prepared for the Executive Review Team by NYSDOH or other State agency staff, or in consultation with other internal or external sources. After receipt of initial application summaries and other factual analyses, the Executive Review Team may request that NYSDOH or other State agency staff perform additional review and analysis of selected applications to assist the Executive Review Team in developing final award recommendations.

Overall Award Methodology:

Stage 1: The Executive Review Team will utilize a “Review Team Evaluation Tool” to assign an overall consensus rating of “Good”, “Acceptable”, or “Poor” to each application. In determining the overall rating, the Review Team will assign one of the aforementioned three ratings to each of the “Grant Evaluation Criteria” listed in RFA Section III. C. “Evaluation Criteria. The overall rating for

an application will be determined by a simple majority count of the rating for each individual criterion. For example, if the sum of individual criterion rated “Good” exceeds that of those rated “Acceptable”, or “Poor” then the overall rating for that application will be “Good”. In the event of an equal count of two consecutive ratings (i.e., “Good” and “Acceptable”), the overall rating shall be the higher one. If there is an equal count of two nonconsecutive ratings (i.e., “Good” and “Poor”), the overall rating shall be the lower one.

Within the “Good” category, recommendations for carve out requirements will be made in accordance with PHL Section 2825-g. Additional recommendations for “Good” applications that exceed carve out requirements may also be made.

Awards for Debt Retirement, Working Capital or Other Non-Capital Projects or Purposes:

Awards for debt retirement, working capital, or other non-capital projects or purposes, defined as those that are not eligible to be funded with the proceeds of bonds issued pursuant to Section 1680-r of the PAL, will be made in accordance with the “Overall Award Methodology” outlined above and considered together with projects or purposes that are eligible to be funded with such bond proceeds.

Stage 2: In the event that available funds are not sufficient to support all Eligible Projects assigned to the highest rating tier (e.g., “Good”), the Review Team will assign a score of 1-10 to the following “Tie Breaker” criterion:

The extent to which:

- i. Applications are determined to be in the best financial interest of the State and/or provide the greatest impact to improve quality of care, patient outcomes and patient experience.

The Review Team will then develop consensus recommendations for project awards in accordance with “Tie Breaker” criterion scores.

Bondability Review

DASNY shall undertake a bondability review of those Grant Applications identified by NYSDOH for an award and determine whether the Grant Application contains a request for a Grant to fund Eligible Project Costs in connection with a capital work or purpose which may properly be reimbursed from Bond Proceeds under the Act.

Phase 4. Commissioner and Director of the Division of the Budget Determination of the Final Awards and Amount:

The final awards will be determined solely at the discretion of the Commissioner and the Director of the Division of the Budget based upon:

- An evaluation of the scope of work presented; and
- The degree to which the Eligible Project meets the goals and priorities of the SHCFTP IV and

- the objectives and requirements of the RFA; and
- Knowledge of regional or community needs; and
- The appropriateness of the expenses to the Eligible Project; and
- The amount necessary to achieve the goals of the Eligible Applicant’s overall transformation activities.

Other Information about Award Determinations:

- The amount of project requests is expected to significantly exceed available funds.
- SHCFTP IV does not require applicants to provide matching funds. However, if an applicant chooses to identify matching funds in support of the full project cost, and the Eligible Project receives a SHCFTP award, a condition of that award will be that all funding sources for the project are verified as available to fund the project.
- However, given that an evaluation criterion is “the extent to which the Eligible Applicant has limited access to alternative financing” and recognizing that the value of project requests is expected to significantly exceed available funds, the capability of an applicant to access debt or institutional funds for all or a portion of the project costs will be an award consideration.

Applicants are hereby advised that, in accordance with Public Health Law 2825-g and Chapter 54 of the Laws of 2022, awards made under this RFA are determined on a non-competitive, discretionary basis. Funding will be awarded at the discretion of the Commissioner of Health and approval of the Director of the Division of the Budget for purposes described in this RFA. Without limitation to this authorization, the Commissioner of Health may consult with the Director of the Division of the Budget, DASNY, NYSDOH and DASNY professional staff, and any other internal or external experts or local health care constituents as appropriate from time to time and/or at any time in the evaluation of applications received pursuant to this RFA. The decision to award, or not to award, or to award a grant at a funding level that is less than the amount requested by the applicant, is discretionary and cannot be appealed.

As these awards are discretionary, there is no right of appeal and the decision of the Commissioner of Health, and the Director of the Division of the Budget is final. As such, applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all the requirements of the RFA.

The decision not to fund an application will be communicated by letter. Based on the number of applicants, NYSDOH shall have the sole discretion of whether or not to provide an opportunity for non-successful applicants to request a debriefing to be conducted after the announcement of awards. Comparisons with other grant applications will not be made during a debriefing.

NYSDOH’s determination of applicable terms and conditions of award or a denial of a request to change the terms and conditions is discretionary and not subject to appeal.

VI. Attachments

Please note that certain attachments are accessed under the “Pre-Submission Uploads” section of an online application and are not included in the RFA document. In order to access the online application and other required documents such as the attachments, prospective applicants must be registered and logged into the NYS Grants Gateway in the user role of either a “Grantee” or a “Grantee Contract Signatory”.

- Attachment 1: Application Cover Sheet*
- Attachment 2: Projected Financial Information*
- Attachment 3: Vendor Responsibility Attestation*
- Attachment 4: Minority & Women-Owned Business Enterprise Requirement Forms*
- Attachment 5: Service-Disabled Veteran Owned Business Requirement Forms*
- Attachment 6: Required Proof of Minimum Eligibility*
- Attachment 7: IT Questionnaire*
- Attachment 8: Required 2022 IRS 990 Form*
- Attachment 9: Required Audited Financial Statements*
- Attachment 10: Statewide Health Care Facility Transformation Program IV Statute (Section 2825-g of PHL)

*These attachments are located/included in the Pre-Submission Upload section of the Grants Gateway online application.