

Questions and Answers
Statewide Health Care Facility Transformation Program (SHCFTP) III
RFA # 18406 / Grants Gateway # DOH01-SHCFT3-2021

Q#	Category	Question	Answer
1	Access to Funding	Explain how the extent to which an applicant has access to alternative funding will impact an award determination? Will applicants with access to alternative funding be viewed more or less favorably than applicants without access to alternative funding?	In determining awards for eligible projects, the extent to which an applicant has access to alternative funding, is one of a number of evaluation criteria outlined on page 8 of the RFA. Preference will be given to applicants who do not have access to alternative funding other than grants to complete the proposed project(s) that meet the other criteria outlined on page 8 of the RFA.
2	Access to Funding	Can you provide further explanation of: #5 under C. Evaluation Criteria, "The extent to which the Eligible Applicant has access to alternative funding"?	See answer to question #1.
3	Access to Funding	The RFA states that "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." Does this indicate that applicants who have access to other funding that can be leveraged as a match will be prioritized, or will applicants without access to other funds to offer as a match be prioritized?	See answer to question #1. Matching funds is not an evaluation criteria in the SHCFTP III RFA. However, a match is not precluded as part of an application. Upon award, it is a condition for those applicants proposing a match, that all sources for the grant funded project are verified as available to fund the project.
4	Access to Funding	Will prospective applicants be scored higher if they have access to alternative sources of funding, or will the reverse be true if the applicant can demonstrate greater financial need for grant funds [RFA Sections V(A)(6) and V(C)?	See answer to questions #1 and #3.
5	Access to Funding	One page 31, under the heading <u>Other Information about Award Determinations</u> , the third bullet speaks to the capability of an applicant to access debt or institutional funds. Does the Department prefer projects which have an array of funding sources, of which DOH would be part, OR do you prefer projects where an applicant has no capability to access debt or institutional funds and DOH would be sole funder?	See answer to questions #1 and #3.
6	Access to Funding	Will an applicant's access to capital be a consideration in evaluation of proposals?	See answer to questions #1 and #3.

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7	Amount of Funding	How will funds be allocated on a regional basis—how much will be distributed to each region and how will that be determined?	The geographic distribution of funds is an evaluation criteria and is used as part of the Tie Breaker criteria as outlined on pages 29 and 30 of the RFA. To the extent practicable, the Review Team will achieve a fair geographic distribution of funds by aligning the total value of projects awarded in a region with the proportion (i.e. percentage) derived from dividing the total value of eligible applications from that region by the total value of all eligible applications received in response to the SHCFTP III RFA. There is not percentage of funds, however, that must be allocated to specific regions of the state.
8	Amount of Funding	Will a percentage of funds be allocated to specific regions in the state?	See answer to question #7.
9	Amount of Funding	Are there geographic priorities for this round of funding?	See answer to question #7.
10	Amount of Funding	If awarded, is there a risk that funding may be withdrawn during the project period of 10/1/2022 to 9/20/2027?	RFA page 13 indicates that continued funding is contingent upon availability of funding and state budget appropriations and that DOH and DASNY reserve the right to revise award amounts as necessary due to changes in the availability of funding.
11	Amount of Funding	Is the minimum amount to be awarded to community based providers (\$529,611) a typo? Seems like it should be more.	The amount of \$529,611 is correct.
12	Amount of Funding	Is the \$21,861,840 for residential facilities a minimum available – can more than that amount be potentially funded?	The correct figure is \$23,138,160 must be awarded to residential health care facilities as part of this RFA. Yes, it is a minimum amount.
13	Amount of Funding	Could you please let me know how much funding out of the \$208M may be made available for debt retirement and other non-capital purposes?	Approximately \$55,417,686 of the remaining \$208,294,869 is currently available for projects that may not be eligible to be funded with the proceeds of bonds.
14	Amount of Funding	Of the \$208.3 million total available, is there a separate suballocation of funds for non-capital projects [RFA Section III(B)]?	See answer to question #13.
15	Amount of Funding	In the Introduction, the following is stated: “Accordingly, pursuant to subdivision 3, of the \$208,294,869 available for Statewide III awards, a minimum of \$529,611 must be awarded to community-based providers...” Is the \$529,611 correct? It seems very low, particularly in relation to the \$23,138,160 minimum for residential health care facilities.	There is no maximum amount of funding that may be awarded to community-based providers. Per PHL 2825-f, a minimum of \$60 million in total funding must be awarded to community-based providers. Nearly \$59.5 million in awards were already made to community-base providers in SHCFTP II Supplemental awards. Therefore, a minimum of \$529,611 of the \$208,294,869 in total funding available as part of SHCFTP III must be awarded to community-based providers.

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16	Amount of Funding	<p>Page 3 of the RFP, paragraph 4, reads as follows: Pursuant to subdivision 3 of Section 2825-f of the PHL, the \$296,705,131 in supplemental awards to the 2018 RFA included \$59,470,389 awarded to community-based health care providers and \$21,861,840 awarded to residential health care facilities. Accordingly, pursuant to subdivision 3, of the \$208,294,869 available for Statewide III awards, a minimum of \$529,611 must be awarded to community-based providers, a minimum of \$23,138,160 must be awarded to residential health care facilities, and up to \$5,000,000 of the total awarded funds may be made to RPCs to establish telehealth applications.</p> <p>Please clarify the maximum amount, out of the total awarded funds, that may be awarded to community-based providers.</p>	See answer to question #15.
17	Amount of Funding	How much of the \$208M in total funding is expected to be awarded to viable projects?	It is anticipated that all of the funding available for SHCFTP III will be awarded.
18	Amount of Funding Request	Is there a minimum and maximum amount of funds that can be applied for per project or per application?	There are no minimum or maximum amounts for funding requests. The strength of an application and the likelihood that it will be evaluated positively is largely dependent on the overall approach taken by the applicant to improve their long-term financial sustainability and/or protect and strengthen access to health care services in the community. Also, per PHL 2825-a, a minimum of \$529,611 of the \$208,294,869 in total funding will be awarded to community-based providers, \$23,138,160 will be awarded to residential health care facilities and up to \$5,000,000 awarded to General Hospitals designated as Regional Perinatal Centers to establish telehealth applications. If an Eligible Applicant submits multiple applications for funding under this RFA, the Eligible Applicant should assign a priority to each application where indicated in the application. DOH 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. Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA.
19	Amount of Funding Request	Is there a limit as to how much we can request?	See answer to question #18.
20	Amount of Funding Request	Will projects over \$10M be considered and reviewed?	See answer to question #18.
21	Amount of Funding Request	Is there a cap to funding requests?	See answer to question #18.

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22	Amount of Funding Request	Are there any parameters regarding the dollar amounts to apply for (will projects exceeding a certain amount not be considered)?	See answer to question #18.
23	Amount of Funding Request	An eligible applicant that operates an Article 31 outpatient mental health clinic in a high need area of NYC has a shovel-ready new construction capital project to expand the facility and add Article 32 outpatient substance use services. The expansion site is owned by the agency, the construction plans are complete and the NYC building permits have already been awarded. Construction is expected to start in early 2022 and will be ongoing until mid 2023. Question: Is there a minimum or maximum amount that a community agency can apply for in this grant opportunity?	See answer to question #18.
24	Award Amounts	At this time, is there a prescribed or projected distribution of total awards by geographic region, and if so, can the Department share that-anticipated distribution?	See answer to question #7.
25	Award Amounts	Is there an amount that cannot be exceeded for community based providers. It appears that the total pool of monies available is \$529,611. Is that for all providers or can this be exceeded as it is only a minimum award per applicant? As stated on page 24 of the RFA "the amount of project requests is expected to significantly exceed available funds." How can the applicant/applicants submit an application that meets the needs of SHCFTP 111 and know they are staying within the monetary award amount? (Question posed on page 40 of the October 14 webinar printout).	There is no maximum amount of funding that may be awarded to community-based providers. Per PHL 2825-f, a minimum of \$60 million in total funding must be awarded to community-based providers. Nearly \$59.5 million in awards were already made to community-based providers in SHCFTP II Supplemental awards. Therefore, a minimum of \$529,611 of the \$208,294,869 in total funding available as part of SHCFTP III must be awarded to community-based providers.
26	Award Amounts	Is there a maximum cap on the total amount awarded to community-based providers?	See answer to question #25.
27	Award Amounts	Is there a limitation on the number of community based health care providers that can be awardees?	There is no limitation of the number of community-based health care providers that can receive awards. See answer to question #25.
28	Award Amounts	Can the Department detail, at this time, the total anticipated minimum funds available for awards to Adult Care Facilities (licensed under Article 7) as well as Assisted Living Programs (Section 461-1)?	There is no amount of funds that are anticipated to be awarded to adult care facilities or assisted living facilities. These provider types are considered community-based health care providers. See answer to question #25.
29	Award Amounts	Does the grant opportunity allocate proportions of the available funds to specific eligible provider organization types; in particular, is an amount allocated for assisted living facilities?	See answer to question #25 and #28.

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30	Award Determination	Will the grant award be made on a first-come, first-serve basis?	No.
31	Award Notification	When will we receive notice of awards?	It is not possible to know the date of award notification. The estimated state date of contracts, however, is October 1, 2022.
32	Capital versus Non-capital projects	If I am including Start up expenses- do I need to complete a separate application from our Construction cost?	Separate applications are required for capital and non-capital projects. The Eligible Applicant should assign a priority to each application if separate applications are submitted. The Eligible Applicant is not required to rank projects within an application. It is important for Eligible Applicants to indicate if the capital and non-capital projects are interdependent and cannot be completed unless both are funded. The Applicant should state this interdependence in Grants Gateway under Program Specific Questions, 3 PROJECT DESCRIPTION.
33	Certificate of Need (CON)	We are planning to submit a CON to the NYS DOH in the next few weeks and want to state grant funding as the source of capital. We will then be submitting a grant application for this same project by the January deadline. The reason we would submit the CON now and not wait until the awards are made is the length of approval time that is needed for our CON. We want to make sure that the timing of CON approval aligns with the announcement of the grant awards. Is this an acceptable approach or would it in any way negatively impact our application? If it turns out that we are not awarded grant funding we will then amend the CON.	An applicant can choose to submit a Certificate of Need (CON) application prior to receiving an award, but such a submission would not impact the evaluation of the project for funding under the RFA. Estimates of grant funds detailed in the CON application should be fully disclosed as subject to award through this funding source. Should the project be awarded funding, 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, 2022), may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at risk. Please contact cons@health.ny.gov with questions on CON submissions.
34	Certificate of Need (CON)	Can a provider be awarded funds for a project for which it has applied for Certificate of Need (CON) approval prior to the SHCFTP III application deadline? Does the response differ if CON approval was received prior to the application deadline [RFA Section III(A)]?	CON approval is not needed at time of application submission. An Eligible Applicant could be eligible for Statewide III funding for a project that is not yet under construction.
35	Certificate of Need (CON)	Will a certificate of need be required for this application?	CON approval is not needed at time of application submission. Please refer to guidance listed on the New York State Department of Health web page https://www.health.ny.gov/facilities/cons/ to determine if a Certificate of Need application is necessary for your project.
36	Certificate of Need (CON)	Recognizing that the Certificate of Need process may affect the build-out of service lines proposed by an SHCFTP III applicant in an eligible project, would the Department please list any active moratorium (including but not limited to the LHCSA moratorium that the Department extended last year)?	Please refer to guidance listed on the New York State Department of Health web page https://www.health.ny.gov/facilities/cons/ to determine restrictions on Certificate of Need applications that may apply to your project.

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37	Certificate of Need (CON)	How do we determine if a Certificate of Need (CON) is necessary for us?	Please refer to guidance listed on the New York State Department of Health web page https://www.health.ny.gov/facilities/cons/ to determine if a Certificate of Need application is necessary for your project.
38	Certificate of Need (CON)	In the event of proposed construction, would an award under this grant application supersede any CON financial restrictions such as bed caps?	No.
39	Community Engagement	The RFP states under evaluation criteria: "The extent to which the Eligible Applicant has engaged the community affected by the proposed Eligible Project and the manner in which community engagement has shaped the Eligible Project". What is "engage the community" defined? Are applicants expected to have explicit discussions with the affected community groups and community leaders about their proposed projects? Are letters of project support expected and/or beneficial to include for this grant application?	All Eligible Applicants are expected to demonstrate that they have engaged the community affected by the proposed Eligible Project and the manner in which community engagement has shaped the Eligible Project. See Section III. C. Evaluation Criteria. It is up to the applicant to determine how best to engage the community they serve. Community engagement should include, however, evidence that the Eligible Applicant has solicited input from community stakeholders who will be impacted by the Project. Letters of Support are not a requirement of the RFA and are not part of the evaluation criteria.
40	Community Engagement	Section V, Subsection 5. If a project chosen is operational (technology-related), is the community engagement requirement/expectation waived?	See answer to question #39.
41	Community Need Assessment	Page 25 of the RFA, prompt 5b indicates, "Based on the community needs assessment, identify what additional health care services are needed to address the health status, disparities, and service needs of the community served." For this prompt, can NYSDOH please indicate its overall definition for "health status"?	For the purposes of this RFA, health status means the state of health of a given community as measured by different health measures that might include, but not be limited to, rates of chronic disease, mortality rates, etc. It is up to the Applicant to determine if the community need assessment satisfies the requirements of this RFA and that the data used is current. The Department of Health makes a wide range of data available, at no cost, to all partners through Health Data NY: https://healthdata.ny.gov/ .
42	Community Need Assessment	RFA Section V(A)(5) discusses identified community need and refers to community needs assessments, which acute care hospitals are periodically required to conduct in order to develop their community service plans [see Public Health Law § 2803-l]. Non-hospital providers are not separately subject to such requirements and are likely to have more limited resources with which to conduct community needs assessments. Will applications from these non-hospital providers be adversely impacted in project scoring in any way as a result?	All Eligible Application will be evaluated according to the process outlined in the RFA, V. Completing the Application, C. Review and Award Process. The Review Team makes recommendations to the Commissioner of Health based on these criteria. Final awards and the amount of awards are determined by the Commissioner.

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43	Contract Date	<p>Can we apply for the grant and if awarded, be able to use it for expenses incurred previous to the contract date?</p> <p>We are working hard to open the adolescent residential eating disorder program in May 2022. This is well before the October 2022 contract date though. By adding the CREDIT component to the current continuum of care for adolescents with EDs in Western NY, we are closing the gap on this missing piece in the continuum and help keep the residential treatment of these adolescents in upstate NY vs at locations at great geographic distance, and often, out of state. We expect this addition to the continuum of care will meet the goals of the grant.</p>	Per the RFA, the estimated start date of the contract is October 1, 2022. 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.
44	Contract Date	<p>An eligible applicant that operates an Article 31 outpatient mental health clinic in a high need area of NYC has a shovel-ready new construction capital project to expand the facility and add Article 32 outpatient substance use services. The expansion site is owned by the agency, the construction plans are complete and the NYC building permits have already been awarded. Construction is expected to start in early 2022 and will be ongoing until mid 2023.</p> <p>Questions: Can the agency apply for the portion of the construction costs estimated to be unexpended at the time the contract is expected to be signed?</p>	See answer to question #43.
45	Contract Date	If the project has started before the funding is awarded, can that funding be backdated to the start of the grant timeline?	See answer to question #43.
46	Contract Date	<p>RFA III. Project Narrative/Work Plan Outcomes, B. Eligible and Excluded Expenses and Disallowed Costs states “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, 2022), may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at risk.” Can you please clarify what you mean by “incur?” For example, if eligible equipment is ordered prior to the start date of the contract (before October 1, 2022), but not paid for until after the contract, would it be eligible for reimbursement?</p>	See answer to question #43.

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47	Contract Date	Is there any requirement to retain space or assets after the contract period? (Section III A., pg. 6)	No, there is no requirement to retain assets or space after the contract period. To the extent that the eligible project will provide health care services to community, the Department would need to understand how letting acquired assets or space go would continue to provide those benefits to the community.
48	Debt Relief	<p>Page 6 of the RFA indicates, "Expenditures eligible for funding under SHCFTP III also include non-capital projects. Such non-capital expenditures may include:</p> <ul style="list-style-type: none"> o Debt restructuring including costs to reduce, retire or refinance long-term liabilities such as mortgage, bank loans, capital leases and other liabilities, payments of debt service for such long-term liabilities, and costs for restructuring professional fees, penalties, and interest; and o Start-up operating expenses directly connected to the Eligible Project for which funding is being sought under this RFA." <p>Two related questions to the above: (1) Can NYSDOH please provide any example of what it means by eligible "start-up operating expenses" in connection to a non-capital project such as a debt restructuring eligible project? (2) The Introduction on p3 of the RFA states the purpose of this funding opportunity is to provide grants in support of capital projects, debt retirement, working capital or other "non-capital projects directly related to a capital project that facilitate health care transformation activities..." Question: Is a debt restructuring project (such as retiring a mortgage or other long-term liability) eligible as a stand-alone project if it aligns with the overall purpose of the RFA/funding as stated in the "Introduction" on RFA p3? That is: if the debt retirement is not "directly related to a capital project" but if it does facilitate healthcare transformation activities by creating financially sustainable systems of care and preserving / expanding essential healthcare services, is such a debt-retirement project considered to be an eligible non-capital project under this grant's rules?</p>	<p>(1) There is no start up expenses associated with Debt Restructuring. The Department would like to see the financial benefit of the debt restructuring in Attachment 2 of the application.</p> <p>(2) Yes.</p>
49	Debt Relief	If the debt restructuring or specifically the payoff of a construction loan carries a seven-year no prepay period; is this considered an eligible under this RFO?	Debt service payments are not considered eligible for this Grant issuance as they are considered operational costs. If there is a debt restructuring that is favorable to the entity, that could be considered eligible for Grant funding.
50	Debt Relief	Is debt restructuring, consistent with the RFP language, an eligible expense for a project that has previously received OMH capital funding for one of several health care transformation activities in the same building?	To the extent that the project has been funded with State funds already, those costs would not be eligible for this RFA. If there is debt associated with the project above what has already been funded then those costs would be considered eligible for debt restructuring.

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51	Debt Relief	<p>We are submitting a non-capital debt restructuring project and have a question.</p> <p>“Question 4.h. For the purpose of this RFA, risk to patient safety and welfare relates to the condition of the facility’s physical plant and infrastructure. The applicant should include the following in their description:</p> <p>i. For each Eligible Project, how it will address potential risk to patient safety and welfare.</p> <p>ii. As applicable, how the Eligible Project(s) will modernize obsolete facility physical plants and/or infrastructure.” (p. 24)</p> <p>If our debt is due in part to previous renovations to our health care facility (“facility’s physical plant and infrastructure”), do we respond to question 4.h.i and 4.h.ii in the past or present tense instead of future tense because the work has already been completed? If our debt is not related to “facility’s physical plant and infrastructure” do we simply note “not applicable” to 4.h.i. and 4.h.ii?</p>	<p>1) If the debt being carried is from previous renovations then it should be referenced as a project that was completed in the past.</p> <p>2) Not applicable is an acceptable answer. We would want to understand how the debt relief would help the organization become/ remain a financially viable organization.</p>
52	Debt Relief	<p>A question tied to the debt restructuring. The RFA states on page 7, first bullet point under "Expenditures eligible..." that “costs to reduce, retire or refinance long-term liabilities such as mortgage or bank loans...” could be captured in the proposal. Does the proposed cost to retire include principal payments or simply the costs associated with addressing the need to restructure or retire the debt, such as the professional fees, penalties and interest?</p>	<p>The proposed restructuring could include a reduction in the principle balance.</p> <p>Monthly financing repayments would be considered general operating expenses and would not be considered eligible for reimbursement.</p>
53	Debt Relief	<p>Context-Our agency has debt related to the purchase and renovation of a building that houses both eligible mental health care and ineligible government and philanthropy-funded Health Home care management staff, OPWDD services, older adult services and other social programs (OHEL Service Center). If our agency applies for a SHCFTP III grant for debt reduction, would the amount of debt eligible for reduction be calculated on the percentage of square feet in the facility occupied by the eligible program(s)?</p>	<p>Yes.</p>

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54	Debt Relief	In order to remain financially sustainable and preserve the essential services of the skilled nursing facility for its community, an Eligible Applicant seeking an award for Debt Restructuring finds it necessary to downsize its current bed complement significantly, prior to the 10/1/2022 grant contracting award. This downsizing would result in timely and significant savings to the system. To this end, although the decertification would occur prior to the initiation of the contract period, would consideration be given in recognition of this downsizing in this grant application?	The overall financial sustainability plan will be evaluated as part of the application. If right sizing your bed compliment is part of the overall financial sustainability plan then it should be included in your application as such.
55	Debt Relief	Can a health care entity with Housing Development Subsidiaries that carry debt be folded into the health center's application for debt relief?	<p>Section II. Who May Apply, specifies who are Eligible Applicants. An Eligible Applicant must be a legally existing organization and capable of entering into a binding Master Grant contract with DOH, be one of the types of provider organizations listed, and be prequalified, if not exempt, in the NYS Grants Gateway. An Eligible Applicant must meet these minimum eligibility requirements at the time the application is submitted. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.</p> <p>An application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant.</p> <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>
56	Debt Relief	Do mortgages that are provided through City/State agencies qualify for debt relief e.g. NYC HPD?	Yes. The Eligible Applicant must also be the entity directly liable for the debt identified in the application and must meet the eligibility requirements specified in Section II, Who May Apply.
57	Eligible Applicant	I am writing on behalf of the Voluntary Foster Care Agencies that operate Article 29-I health care facilities. Article 29-I health care facilities became operational since Round 2 of this program. Article 29-Is are not included as part of the listing of primary care providers eligible to apply. Is there a mechanism to quickly remedy this?	An Article 29-I health care facility operated by a Voluntary Foster Care Agency 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.

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58	Eligible Applicant	On page 5 [Section II Who May Apply (b)] it lists “Primary care providers with a New York State Medical License” as eligible to submit for funding under the Transformation initiative. Our organization has a New York State Office of Children and Family Services (OCFS) certified 29i clinic that provides primary care services for children in the foster care system. Would our primary care providers within that program be eligible to submit a project for consideration? If so, would we list the providers license or the license of the clinic to demonstrate eligibility?	Section II. Who May Apply, specifies who are Eligible Applicants. Eligible Applicants should not apply for projects to benefit affiliates that are ineligible applicants. Pursuant to the statute and RFA, 29-I clinics are not an Eligible Applicant.
59	Eligible Applicant	Can government entities apply?	Publicly operated providers are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.
60	Eligible Applicant	Can only nonprofit organizations apply for this grant?	Not-for-profit and for-profit (proprietary) providers are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply of the RFA.
61	Eligible Applicant	May for-profit and public eligible applicants apply, under separate applications, for Start-up operating expenses, when presumably these entities have potential sources of revenues that are outside the financial statement of the Eligible Applicant.	Not-for-profit, for-profit (proprietary), and publicly operated providers, are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply of the RFA, and start up costs are considered an eligible expense under this RFA.
62	Eligible Applicant	Is a Government-State sponsored RHC licensed under Article -28 an Eligible Applicant for this RFA?	Publicly operated providers are eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply. Residential health care facilities licensed under Article 28 of Public Health Law are also Eligible Applicants. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.

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63	Eligible Applicant	<p>I am the grant writer for the Buffalo City Mission in Buffalo, NY. We recently built and opened a 75,000 square foot building that includes a Jericho Road Community Health Center, a Spectrum Health Behavioral Health Center and a medical respite for homeless people. We did not charge Jericho or Spectrum anything to build their clinics and we are not charging them rent.</p> <p>When I read the RFA, it did not look like the Buffalo City Mission, a 501c 3 community partner qualifies for the grant. However, we are the only one in the area doing anything like this, especially medical respite (only 2 others in the state). Could we be considered for this?</p>	<p>Section II. Who May Apply, specifies who are Eligible Applicants. An Eligible Applicant must be a legally existing organization and capable of entering into a binding Master Grant contract with DOH, be one of the types of provider organizations listed, and be prequalified, if not exempt, in the NYS Grants Gateway. An Eligible Applicant must meet these minimum eligibility requirements at the time the application is submitted. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.</p>
64	Eligible Applicant	<p>I work for The Trevor Project, the world's largest LGBTQ youth suicide prevention program. I'm interested in this NYS grant opportunity but I'm not sure we are eligible.</p> <p>Our mission is easy to understand but incredibly complex to solve. Since day one, Trevor's holistic approach has included both crisis intervention (offered first via TrevorLifeline and later, via TrevorChat and TrevorText) and suicide prevention (driven primarily by our advocacy, education, and public awareness programs).</p> <p>Our vision is to be the world's largest and best-in-class provider of suicide prevention and crisis intervention services for LGBTQ youth, and serve as a leading voice in education, advocacy, and research related to LGBTQ youth and mental health.</p>	<p>See answer to question #63.</p>
65	Eligible Applicant	<p>My organization, Amwell, is very interested in your Request for Applications for the Statewide Health Care Facility Transformation Program. After viewing the document, I noticed your interest to " increase the quality of resident care or experience for residential health care facilities, or improve health information technology infrastructure, including telehealth, to strengthen the acute, post-acute and long-term care continuum".</p> <p>Amwell is a telehealth company that offers a broad spectrum of telehealth services including acute, post-acute, behavioral health, psych, and primary care. Although we are not in accordance with PHL Section 2825-F, I wanted to reach out and ask if you are willing to accept a bid from my organization. I believe that our services and solutions align very well with this request for proposal. Would you consider a bid from Amwell?</p>	<p>See answer to question #63.</p>

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66	Eligible Applicant	Can an Applicant with a Public Health and Health Planning Council approval apply for grant?	See answer to question #63.
67	Eligible Applicant	Can an Applicant such as a LHCSA request to establish an Adult Home or Enriched Housing or outpatient D&TC?	See answer to question #63.
68	Eligible Applicant	At the time of the grant application, the proposed fund request would be for the startup costs for a new licensure level (Assisted Living Program) for which the applicant has received CON approval, but not final certification/licensure. Would this project be eligible to receive grant funds?	See answer to question #63.
69	Eligible Applicant	As a Residential Health Care Facility, the applicant is considering adding a new level of service (Assisted Living Program) for which the applicant does not currently possess licensure. Would this project be eligible for grant funding?	See answer to question #63.
70	Eligible Applicant	How long does an article 28 be in existence before it could apply for this RFA?	The length of time in meeting the requirement is not part of the eligibility criteria as long as the applicant has an active operating certificate. See also answer to question #63.
71	Eligible Applicant	<p>We are wondering whether NYS Health Homes, including Care Coordination Organization Health Homes (CCO/HHs) serving individuals with Intellectual and developmental disabilities (I/DD) are eligible to apply for SHCFTP III funding.</p> <p>CCO/HHs provide comprehensive care management services for people with I/DD in NYS and were launched in 2018 as a precursor to managed care for this population. CCOs are in a good position to address the State's goal of facilitating health care transformation through projects that would fall under several of the transformation activities/categories suggested in the RFA.</p>	See answer to question #63.

Q#	Category	Question	Answer
72	Eligible Applicant	Our agency has recently received a SAMHSA CCBHC grant that requires our Article 31 mental health clinic to expand to include addiction treatment services. We expect to receive an OASAS Article 32 outpatient treatment program certification either before we submit the SHCFTP proposal or shortly thereafter, so that we are in full compliance with CCBHC requirements. We are also far along in our application for an Article 28 Diagnostic and Treatment Center (DTC) license and expect to be awarded the license in the winter or spring of 2022. Both the Article 32 and 28 programs will be co-located in the same building as our current Article 31 mental health clinic so OHEL can offer integrated care to our underserved community. Question - Can Ohel as an Article 31 eligible provider apply for a SHCFTP grant to renovate and equip raw space in OHEL's Service Center for an Article 32 Outpatient program and Article 28 DTC even if the NYS certification and license are still in process at the time we submit the application?	See answer to question #63.
73	Eligible Applicant	Are Article 32 Part 820 (residential treatment) and Part 816.7 (Medically Supervised Inpatient Withdrawal and Stabilization) programs 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.
74	Eligible Applicant	I am writing from Innovative Resources for Independence. We are an agency that is funded under the auspices of OPWDD. We operate an ICF on Jerome Avenue in Brooklyn that is turning into two IRA's and there is a lot of building alterations that will need to be completed. We have completed the initial architectural plans and we feel that this opportunity would be excellent to help us with construction costs. But we are unsure if we fit under the listing of agencies who would qualify for this opportunity.	See answer to question #63. Pursuant to the statute and the RFA, mental health clinics certified or licensed under Article 31 of the Mental Hygiene Law are Eligible Applicants. Article 16 Clinics are OPWDD-certified treatment facilities that operate pursuant to Mental Hygiene Law, and are, therefore, Eligible Applicants. Individualized Residential Alternative and/or Intermediate Care Facilities (IRAs and ICFs), or other residential facilities are not clinics, and, therefore, are not Eligible Applicants.
75	Eligible Applicant	Can you please tell me if programs (specifically residential programs or IRAs) under the OPWDD umbrella would meet the eligibility requirements of Statewide 3?	See answer to question #63 and #74.
76	Eligible Applicant	We are a nonprofit agency offering innovative programs and services for individuals with intellectual and developmental disabilities or other challenges. We operate 16 residential homes throughout Ontario County, and we are interested in installing new windows throughout these homes. If you could please let me know if we are eligible it would be greatly appreciated.	See answer to question #63 and #74.

Q#	Category	Question	Answer
77	Eligible Applicant	I represent ACLD as a nonprofit provider of residential and day services to people with intellectual and developmental disabilities. Is this type of provider eligible for this grant?	See answer to question #63 and #74.
78	Eligible Applicant	In Section II “Who May Apply” Paragraph (b) second Paragraph ‘Community Based Providers the fourth bullet reads “clinics licensed ... operating certificate under Article 16 of the MHL’ does this include OPWDD certified providers with programs operating with an operating certificate pursuant to Article 16 of the MHL (i.e. day Hab programs or HCBS waiver programs)?	See answer to question #63 and #74.
79	Eligible Applicant	Our agency has a location licensed under Article 16 of the Mental Hygiene Law; Given this certification for operation under this Article, would we qualify? We think we might be eligible as a community health care provider operating ICFs and IRAs certified and authorized under Article 16 of the Mental Hygiene Law, but would like to confirm.	See answer to question #63 and #74.
80	Eligible Applicant	I work for a not for profit long term care provider organization capable of entering into a binding Master Grant Contract (MGC) with NYSDOH. As a long term care provider organization, we operate an intermediate care facility (ICF II/D) granted an operating certificate by NYS under Article 16 and congregate care facilities granted operating certificates by NYS OPWDD under Article 16. We would like to submit an application, and believe we fit the letter and spirit of the opportunity. Do we meet the eligibility criteria listed on RFA?	See answer to question #63 and #74.
81	Eligible Applicant	Are residential or dayhab programs licensed under Article 16 eligible to participate in this RFP?	See answer to question #63 and #74.

Q#	Category	Question	Answer
82	Eligible Applicant	Can a nonprofit agency (article 31 license) apply for this grant if they are building an Eating Disorder Residential Treatment Facility for adolescents which will be technically licensed (at least currently) as a Community Residence for Eating Disorder Integrated Treatment program (CREDIT program) (vs an adolescent RTF)? We noted in the slide presentation re: the grant that residential treatment facilities and community article 31 providers can apply. So we assumed We (The Healing Connection Inc. – a non profit Eating Disorder facility licensed under article 31) could apply. But we wanted to be sure that this was true. If we are launching a capital campaign to build a CREDIT vs RTF.	Please see Section II. Who May Apply, for the full list of Eligible Applicants. The list of Eligible Applicants includes: <ul style="list-style-type: none"> - Children's residential treatment facilities licensed pursuant to Article 31 of the Mental Hygiene Law. - Mental health clinics certified or licensed under Article 31 of the Mental Hygiene Law. <p>PLEASE NOTE: An Eligible Applicant must meet all minimum eligibility requirements at the time the application is submitted.</p>
83	Eligible Applicant	Children's Crisis Residence included as eligible for operations funding?	Children's residential treatment facilities licensed pursuant to Article 31 of the Mental Hygiene Law are an eligible Applicant. See also answer to question #63.
84	Eligible Applicant	BryLin Hospital is the only behavioral health facility in Western New York licensed to treat children, adolescents, adults and geriatric patients. Are we eligible to apply for any of these grant monies?	An Article 31 licensed hospital is not an Eligible Applicant. However, an Article 31 hospital that is dually licensed under Article 28 of PHL is an Eligible Applicant under Section II(b) of the RFA as long as they meet the other minimum eligibility requirements of Section II of the RFA. See also answer to question #63.
85	Eligible Applicant	We are an Article 32 residential detox and stabilization facility. 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.
86	Eligible Applicant	Can you clarify eligibility under the “Mental health clinics certified or licensed under Article 31 of the MHL” category? Does a Congregate Community Residence or Apartment Program licensed by OMH under Article 31 of the MHL meet eligibility?	See answer to question #85.
87	Eligible Applicant	Are OASAS licensed Supporting Living part 819 residential programs able to apply?	See answer to question #85.

Q#	Category	Question	Answer
88	Eligible Applicant	Section III.B. The Applicant is an Article 31 that is part of a larger parent organization. The parent organization established a separate legal entity (“legal entity”) within the organization to purchase real estate on behalf of the Article 31. This legal entity purchased the building that houses the Article 31 clinic. This legal entity is not a part of the organization that holds the Article 31 license. The legal entity is affiliated with the organization that holds the Article 31 license since they are both affiliated with the parent organization. The Article 31 is responsible for paying the mortgage on the property through a lease agreement. In this scenario, could the Article 31 apply for debt reduction for the mortgage in the building that houses the Article 31 clinic?	Pursuant to the statute and RFA Section II Who May Apply, mental health clinics certified or licensed under Article 31 of the Mental Hygiene Law are eligible provider organizations if the requirements listed in Section II are met at the time of application. The proposed project should align with the certification or licensure the applicant is using to demonstrate eligibility for this grant funding. An application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant.
89	Eligible Applicant	Context-Our agency has debt related to the purchase and renovation of a building that houses both eligible mental health care and ineligible government and philanthropy-funded Health Home care management staff, OPWDD services, older adult services and other social programs (OHEL Service Center). Question- (a) In addition to our Article 31 mental health clinic that clearly is an eligible program, would our OMH-licensed PROS Program be considered an eligible Article 31 program for purposes of this funding opportunity?	Pursuant to the statute and the RFA, mental health clinics certified or licensed under Article 31 of the Mental Hygiene Law are Eligible Applicants. PROS Programs are certified or licensed under Article 31 of the Mental Hygiene Law and operate as outpatient clinics and, therefore, are Eligible Applicants. Individualized Residential Alternative and/or Intermediate Care Facilities (IRAs and ICFs), or other residential facilities are not clinics, and, therefore, are not Eligible Applicants.
90	Eligible Applicant	Are PROS programs eligible to apply for funds? The grant specifies “Article 31 Mental Health Clinics”. While PROS is a program authorized by the general Article 31 statute in NYCRR, the phrase “A31 Mental Health Clinic” usually refers to that specific program-type, an outpatient psychiatric clinic. Please clarify.	See answer to question #89.
91	Eligible Applicant	Do Article 36 home care providers include Licensed Home Care Services Agencies?	Home care providers licensed under Article 36 are Eligible Applicants.
92	Eligible Applicant	Are Article 28 and Article 7 entities that exist/are licensed solely as part of an Article 46 Continuing Care Retirement Community eligible applicants? For instance, could an Article 28 nursing home that solely serves residents of its Article 46 community apply to retire its allocated portion of debt held by the Article 46 entity?	Article 28 Nursing Homes and Article 7 Adult Care facilities that are part of Continuing Care Retirement Community (CCRC) are eligible applicants if they meet the eligibility requirements of Section II. Who may Apply. Being part of a CCRC would not be a basis for exclusion under the qualified license. The proposed project should align with the certification or licensure the applicant is using to demonstrate eligibility for this grant funding.

Q#	Category	Question	Answer
93	Eligible Applicant	Can you clarify whether Article 7 ACFs, that are further licensed and operating as a “market rate” (non-Medicaid) Assisted Living Residence, are eligible to receive awards under this RFA?	Adult care facilities licensed under title two of Article 7 of the Social Services Law (SSL) are eligible provider organizations listed under Section II Who may Apply. Applicants must also meet other eligibility criteria listed in Section II. The proposed project should align with the certification or licensure the applicant is using to demonstrate eligibility for this grant funding.
94	Eligible Applicant	I'm wondering if our nursing home would be eligible for this grant? It is owned and ran by Cattaraugus County. So would the application be submitted under Cattaraugus County or by the individual nursing home? Cattaraugus County already has a Grants Gateway account.	Residential health care facilities licensed under Article 28 of Public Health Law are also Eligible Applicants. Publicly operated providers are also eligible to apply, as long as they meet the minimum eligibility criteria outlined in Section II. Who May Apply. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding.
95	Eligible Applicant	Does your definition of "residential health care facilities" include Residential Treatment Centers (which is what we are)? And secondly, roughly how many organizations do you anticipate funding from the \$23M allocated towards the residential health care facilities?	Residential health care facilities are licensed under Article 28 of the PHL and receive an operating certificate. A facility that defines itself as a residential health care facility for purposes of qualifying would be required to have an active Article 28 residential health care facility operating certificate at the time of application. There are no minimum or maximum number of residential health care facilities that are anticipated to receive awards.
96	Eligible Applicant	Are Adult Day Health Care programs not co-located with their sponsoring residential health care facility licensed under Article 28 of the PHL eligible?	Adult Day Health Care Programs are operated by Article 28 facilities. 10 NYCRR Part 425 are the regulations for programs in residential health care facilities, and 10 NYCRR Part 759 are the regulations for programs for registrants with HIV in Diagnostic and Treatment Centers. An Adult Day Health Care Program is a residential health care facility that is not a nursing home. See also Social Services Law §2(21), 10 NYCRR Part 425. Thus, an eligible Article 28 applicant could apply on behalf of its Adult Day Health Care Program.
97	Eligible Applicant	If Adult Day Health Care programs are eligible, should they indicate their organization type as their sponsoring Article 28 Residential Health Care Facilities?	See answer to question #96.
98	Eligible Applicant	Are projects including Adult Day Health Care programs operated by and located on-site of a residential health care facility licensed under Article 28 of the PHL eligible?	See answer to question #96.
99	Eligible Applicant	Are stand-alone projects for Adult Day Health Care programs operated by and located on-site of a residential health care facility licensed under Article 28 of the PHL eligible?	See answer to question #96.
100	Eligible Applicant	Do social model adult day care programs qualify for grants under the Statewide Health Care Facility Transformation Program III RFA?	See answer to question #96.

Questions and Answers

Q#	Category	Question	Answer
101	Eligible Applicant	Are non-RPC hospitals eligible to apply for telehealth projects?	Yes, but they will not be eligible for award amounts reserved for RPCs to establish telehealth applications.
102	Eligible Applicant	We have two SNF's that are affiliated and we have always applied for both organizations under one application. Would it be better to apply for only one organization?	Section II. Who May Apply, specifies Eligible Applicants. An Eligible Applicant must be a legally existing organization capable of entering into a binding Master Grant contract with DOH, and be prequalified, if not exempt, in the NYS Grants Gateway. An Eligible Applicant must meet these minimum eligibility requirements at the time the application is submitted. The proposed project should align with the licensure the applicant is using to demonstrate eligibility for this grant funding. An application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant. If the project requires the involvement of more than one entity: (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. (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.
103	Eligible Applicant	We are part of a larger hospital system that serves as the active parent for two NY hospitals. The active parent hospital system is located in Pennsylvania. Would the active parent be able to put in an application for a telehealth project that encompasses both NY hospitals? If they are eligible to do that, would the application from the active parent have to be prioritized with any other applications put in for of the two NY hospitals?	See answer to question #102. An active parent of a hospital is legally established as a cooperator by the NYS Public Health and Health Planning Council and is fully accountable for the actions of its subsidiary. Per RFA Section II Who May Apply, an active parent of a hospital is an Eligible Applicant and can apply on behalf of a subsidiary. One organization must be selected to serve as the Eligible Applicant. With respect to multiple applications: a. Separate applications are required for capital and non-capital projects. b. Applicants submitting multiple applications must assign a priority to each application. c. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application. d. Within a given application, multiple projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. e. There is no limit on the number of applications an Eligible Applicant can submit. It is up to the applicant to determine whether to submit a project as its own application or as part of a broader application. Projects will be evaluated according to the criteria set forth in RFA Part III, Section C. Evaluation Criteria.

Q#	Category	Question	Answer
104	Eligible Applicant	If an organization maintains multiple licensures (article 28, 31, 32, etc.) should the application be submitted under a specific licensure? Or include multiple demonstrations of licensure?	See answer to question #102 and #103.
105	Eligible Applicant	If the provider organization meets more than one criterion such as Mental health clinics certified or licensed under Article 31 of the MHL and Alcohol and substance abuse treatment clinics certified or licensed under Article 32 of the MHL, which criteria should be used in the application? What criteria should be used if the provider operates services under both licenses in the same proposed project?	See answer to question #102 and #103.
106	Eligible Applicant	Can "collaborative" applications be submitted from more than one eligible applicant? If so, does there need to be a lead applicant? What information would need to be provided concerning the "flow" of grant funding to the collaborating providers?	See answer to question #102 and #103.
107	Eligible Applicant	Section V Competing the Application, subsection 3 Organizational Capacity. A description of the eligible applicant's organization is requested. If a funding request is submitted on behalf of multiple affiliated agencies, what is the preferred method for providing applicable information and data? How should data be aggregated for all applicable affiliated agencies (i.e., number of admissions or payor mix) if data is requested?	See answer to question #102 and #103.
108	Eligible Applicant	RFA Section II indicates that an application must have one Eligible Applicant and the proposed project must "primarily" benefit the Eligible Applicant. For prospective applicants that seek to undertake projects that would benefit more than one Eligible Applicant type (e.g., improvements to a building or campus that houses multiple service types), how will the term "primarily" be defined?	See answer to question #102 and #103.
109	Eligible Applicant	I see that community providers, including Article 16/28/31/36/40-licensed facilities as well as primary care providers, may apply. I want to clarify: can an organization through which multiple facilities/providers contract, like an Independent Practice Association (IPA) or Accountable Care Organization (ACO) also submit an application, on behalf of/in partnership with the group of eligible facilities/providers they represent?	See answer to question #102 and #103.

Questions and Answers

Q#	Category	Question	Answer
110	Eligible Applicant	Is this program only for facilities? Or is it for individual physicians as well?	To be an Eligible Applicant, primary care providers must have a New York State Medical License. Primary care providers include individual or group primary care providers, as long as the primary care provider meets the minimum eligibility criteria outlined in Section II. Who May Apply. A primary care provider must be certified under title eight of the education law or a lawful combination of such health care practitioners, such as an independent practice association (IPA).
111	Eligible Applicant	Please confirm that an independent practice association (IPA) organized and owned by a network of independent physician practices is an eligible applicant as a primary care provider.	See answer to question #110.
112	Eligible Applicant	How does DOH define "Primary Care Providers" as eligible applicants? Can you please provide the exact definition? SOMOS is a community-based organization who is NOT currently registered in grants gateway, and we need to first be certain they are eligible before going through the GG enrollment process. Specifically, SOMOS as an IPA does not have a SED license as a provider but all of our members are PCPs with their own SED licenses.	See answer to question #110.
113	Eligible Applicant	Per the RFA page 5, II. Who May Apply, eligible applicants include community-based health care providers such as primary care providers with a New York State Medical License. What is the definition of primary care provider? Does primary care provider include a private practice physician with services for OBGYN? Internal Medicine? Family Medicine? Cardiology? Psychiatry? Allergy and Immunology?	See answer to question #110.
114	Eligible Applicant	Are only physicians eligible as a provider or also a Nurse practitioner?	See answer to question #110.
115	Eligible Applicant	Can an individual chiropractor with a NYS License apply for the grant?	See answer to question #110.
116	Eligible Applicant	Please confirm that an independent practice association (IPA) organized and owned by a network of independent physician practices may submit an application on behalf of the physician practices of the association.	See answer to question #110.

Q#	Category	Question	Answer
117	Eligible Applicant	<p>In the Statewide II Q&A, NYSDOH stated that IPAs were deemed as eligible applicants. “Answer: Primary care providers include individual or group primary care providers, as long as the primary care provider meets the minimum eligibility criteria outlined in Section II. Who May Apply. <i>A primary care provider must be certified under title eight of the education law or a lawful combination of such health care practitioners, such as an independent practice association (IPA).</i>”</p> <p>1. Are IPA still considered to be eligible applicants for Statewide 3? 2. If IPAs are eligible applicants, how exactly should an IPA apply through Grants gateway? Specifically, what is the proper structure for the application to reflect an IPA since the IPA itself does not have its own SED license?</p>	<p>1. See answer to question #110. 2. See answer to question #102 and #103.</p>
118	Eligible Applicant	<p>Two behavioral health IPAs (both recipients of OMH/OASAS Behavioral Health Care Collaborative funding) are developing health information technology to facilitate one of the purposes of this grant opportunity, specifically facilitating the transition to value based contracting for community agencies that operate Article 31 and 32 clinics. The project would benefit close to 100 community agencies in this regard, many with multiple Article 31 and 32 clinics.</p> <p>Question: Is there a way that a behavioral health IPA can apply for a SHCFTP III grant, perhaps through a lead agency that is an eligible applicant and is a member of the IPA? (We raise the question because, though the lead agency would derive a clear benefit, many eligible organizations would benefit equally from this investment.</p>	<p>See answer to questions #102, #103 and #110.</p>
119	Eligible Applicant	<p>If there is healthcare system that is comprised of several not-for-profit 501c3 sub-entities (each sub-entity having its own unique 501c3 tax identification number), and one of the sub-entities was previously awarded a Transformation grant for a project, would one of the other sub-entities in this healthcare system be allowed to apply for an identical project?</p>	<p>Yes, see answer to question #102 and #103.</p>

Q#	Category	Question	Answer
120	Eligible Expenses	RFA Section II, pages 4 – 5: Must the project expenses be strictly related to applicant’s licensed function or can these funds be used to create additional eligible services at a licensed facility i.e.. Adding space to incorporate Physical Health services in the facility where we operate an Article 31 Mental Health Clinic?	An Eligible Applicant creating additional eligible services would be considered an eligible expense.
121	Eligible Expenses	Can grant funds be used to hire a consultant/expert to assist in the programmatic design as well as the facility design for an innovative clinical service?	Yes, capital costs related to the planning and design of a fixed asset, as well as construction costs, are Eligible Expenses under this RFA.
122	Eligible Expenses	For facility projects, should standard contingency costs (construction and design) be included in the grant funding requests?	Yes, capital costs related to the planning and design of a fixed asset, as well as construction costs, are Eligible Expenses under this RFA.
123	Eligible Expenses	Pre-Submission Attachment 2, Projected Financial Information. What is the contingency requirement for the design and construction categories? Are there any limitations on the engineering and or architectural fees as a percentage of the overall project?	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).
124	Eligible Expenses	Is there minimum cost/minimum useful life to use grant funds for initial outfitting for a facility (Furniture, medical equipment, computers, fixtures, etc.). Must the 3 year minimum useful life guideline be adhered to for all initial outfitting items?	Equipment costs have a 3 year or greater useful life. Grant funds cannot be used to pay for leased equipment. Equipment must be purchased.
125	Eligible Expenses	How does the State define "operating lease" costs not eligible for reimbursement? What lease costs are eligible for grant support? Can grant funds be used for leasehold improvements performed by a landlord on behalf of the eligible applicant?	Grant funds cannot be used to pay for leased equipment. Equipment must be purchased. 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 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.

Q#	Category	Question	Answer
126	Eligible Expenses	Are HVAC systems an eligible expense?	Yes, the proposed expense is consistent with RFA capital funding objective to modernize obsolete facility physical plants and infrastructure.
127	Eligible Expenses	Advantage Care's Freeport Health Center is located in a flood zone. Therefore, having generators and also re-paving and re-grading the outside front entrance area and parking lot would help with flooding issues. Would these be eligible expenses?	See answer to question #126.
128	Eligible Expenses	We are thinking of applying for SHCFTP III funding to install high efficiency air handling systems in two clinical buildings that house Article 31 and 32 clinical services. This is a requirement of the HEROS Act. Is this something that the grant funds could be used for?	Additional information is needed to answer this. For example, additional information on how the project would impact patient care.
129	Eligible Expenses	Does construction include in house labor costs?	Yes. Eligible Expenses for funding include capital projects construction costs.
130	Eligible Expenses	Is there a minimum or maximum of bids that are required to be submitted as part of the application?	Bids for services to support the project are not required as a part of the application.
131	Eligible Expenses	If submitting a request solely for planning funds to support a capital project (to be constructed following planning phase with funds not contained in this RFA), what level of detail must be provided to assure reviewers that capital portion is likely to be funded/come to fruition? Additionally, shall 3-year incremental projections reflect time once capital is projected to be complete and available for public use?	The Department would need to understand the proposed financing mechanism and the project that is being planned. Yes, the incremental projected budgets should reflect the 1st, 2nd, and 3rd year of operations after construction is completed.
132	Eligible Expenses	The Intent and Purpose section of the RFA includes, (d) Foster participation in alternative payment arrangements, and f. improve health information technology infrastructure, including telehealth, to strengthen the healthcare continuum. However, during the information session, it didn't appear that any expenses directly related to these two items were included under eligible expenses. If an organization is looking to focus on these two areas - what kind of expenses would be allowable?	Eligible and Excluded Expenses and Disallowed Costs are listed in Section III. B. of the RFA. The list of Eligible expenses is noted as "which may include but are not limited to" in the RFA. Applicants should review this list and the examples of Excluded Expenses provided on page 15 of the DOH webinar presentation to identify Eligible Expenses.

Q#	Category	Question	Answer
133	Eligible Expenses	If an Eligible Applicant has received contingent CON approval only on an applicable project, but has not yet finalized financing, would the applicant be eligible to utilize a portion of SHCFTP funding, if awarded, to supplement either the applicant's equity contribution and/ or a portion of the anticipated financing of the total project cost?	Expenses that have not been incurred related to an approved CON project are eligible expenses under this RFA. Per the RFA, the estimated start date of the contract is October 1, 2022. 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.
134	Eligible Expenses	Would "start-up expenses" be an eligible expense if an Eligible Applicant has an approved CON and has secured financing for the project but has not yet commenced construction or other project activities of any kind?	See answer to question #133.
135	Eligible Expenses	Would construction expenses be an eligible expense if an Eligible Applicant has an approved CON and has secured financing for the project but has not yet commenced construction? Grant funding in lieu of a portion of financing the proposed eligible project would sustain the financial stability of the organization.	See answer to question #133.
136	Eligible Expenses	Would "start-up expenses" be an eligible expense if an Eligible Applicant has an approved CON, with the construction portion of the project underway and funded?	See answer to question #133.
137	Eligible Expenses	Can a nonprofit article 31 apply for non-capital funds to pay off outstanding mortgage for its facilities?	Debt restructuring including costs to reduce, retire, or refinance long-term liabilities are Eligible Expenses.
138	Eligible Expenses	Can a nonprofit article 31 request noncapital funds to acquire a for profit article 28 to create an integrated system of care including the cost to submit a CON for change of ownership and outstanding debt?	Yes, the SHCFTP III program provides funding in support of capital projects, debt retirement, working capital, or other non-capital projects that facilitate health care transformation activities including mergers, consolidation, and acquisition.
139	Eligible Expenses	Is unfunded lost revenue an eligible claim?	No. Revenue loss is not an eligible capital expense.
140	Eligible Expenses	If funds are awarded for a capital project to a voluntary (not for profit) RHCF, is the related depreciation eligible for reimbursement?	No.
141	Eligible Expenses	Would the temporary phase down of beds during the construction process, and the resulting loss in revenue in preparation for a proposed eligible construction project be an eligible expense?	No, unrealized revenue as a result of a temporary phase down of beds is not an Eligible Expense under this grant.

Questions and Answers

Q#	Category	Question	Answer
142	Eligible Expenses	Section K, Limits on Administrative Expenses and Executive Compensation. Administrative expenses are limited by Executive Order 38 at 15%. Would the same approved administrative categories in this executive order be used for this RFA?	Yes. Section IV. Administrative Requirements, K. Limits on Administrative Expenses and Executive Compensation, page 17 of the RFA states, "Applicants agree that all state funds dispersed under this procurement will, if applicable to them, be bound by the terms conditions, obligations and regulations promulgated by the Department.
143	Eligible Expenses	RFA Section IV(K) refers to the Limits on Administrative Expenses and Executive Compensation (Executive Order #38), and links to a guidance document published in Nov. 2015. However, elements of this guidance have been superseded by an October 13, 2021 revision to the Department of Health's regulations at 10 NYCRR § 1002.3. Will prospective applicants be instructed to comply with these regulations as they currently exist?	See answer to question #142.
144	Eligible Expenses	Can a for profit LLC article 28 clinic apply for noncapital funds to cover outstanding debt of startup cost for example getting the CON approved, equipment, and private equity to sustain financial stability?	Start-up operating expenses 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 limited brief period until program operating revenue is reasonably anticipated to support operations (case by case basis).
145	Eligible Expenses	I would like to inquire if an organization is eligible for funding for a multi-year loan obtained this year for the establishment of a School-Based Health Center. While we have been awarded a contract with the Health & Human Services Administration (HRSA) to expand health care services at a school-based site, the funds are not sufficient cover start up operational costs and do not include the costs of outfitting. The funds would cover the cost involved in outfitting the site to meet the Article 28 standards: planning, design, renovation, and equipment costs.	See answer to question #144.
146	Eligible Expenses	What are allowable "start-up" non-capital expenses? Would that include staff costs during the initial "ramp-up" of a new service, until service volume yields revenue sufficient for the ongoing operation of a project?	Start-up operating expenses 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). As stated in the RFA, page 6, "...an Eligible Applicant should be able to describe 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 these costs". Such detail should be provided under RFA, Section V. Completing the Application, 5. Project Budget, a and b.

Q#	Category	Question	Answer
147	Eligible Expenses	Do allowable start-up operating expenses include incremental operating costs associated with a capital project for an existing provider [RFA Section III(B)]? Would it include incremental operating costs for a capital project involving a new service offered by an existing provider?	See answer to question 146.
148	Eligible Expenses	Is there an upper limit on start-up operating expenses directly connected to an Eligible Project funded under a separate application? For example, 2% of an Eligible Project's capital cost or two months of Year 3 operating expenses.	There is no upper limit, however, the start up expenses will be considered during the review of the application against the stated criteria in the RFA. Costs not sufficiently described and/or justified in type or amounts will be disallowed. Grants will not be made to support general day-to-day operating costs not related to the start-up expenses of the Eligible Project.
149	Eligible Expenses	Pertaining to allowed and excluded expenses in section IIIB of the RFA: The RFA states that for non-capital projects, startup operating expenses directly related to the Eligible Project is allowed. Does this include personnel salary/benefits that are specific to project startup, and will not be ongoing after the grant period has ended? For example, Project Director, Sustainability Analyst, Patient Advisory Board compensation, etc.?	Yes.
150	Eligible Expenses	Are start-up staff and IT training costs (no ongoing operational staffing costs) related to a new telehealth program Eligible Expenses under the RFA?	Yes.
151	Eligible Expenses	Can the funding be used to upgrade health care system technology – such as MEDITECH?	Information technology expenses that are capital in nature are Eligible Expenses per this RFA. Cloud-based and certain software expenses, however, are not Eligible Expenses because they are considered a general operating expense. Terminals and laptops used to access a cloud based system would be Eligible Expenses as long as they have an expected useful life of three years or more. Staff training to implement an Eligible Project, such as "train the trainer" costs, is an Eligible Expense, as opposed to general staff training costs that are not Eligible Expenses.
152	Eligible Expenses	Would an EMR transition be an allowable cost for that funding source?	See answer to questions #151.
153	Eligible Expenses	Regarding Section III(B) – Eligible and Excluded Expenses and Disallowed Costs, can you confirm whether purchase and implementation of a new Electronic Medical Record system by an Eligible Applicant would be considered an eligible capital expense?	See answer to questions #151.

Q#	Category	Question	Answer
154	Eligible Expenses	Section III. Project Narrative/Work Plan Outcomes, B Eligible and Excluded Expenses and Disallowed Coats. For a technology-based Capital Project that is a cloud-hosted environment and not an “asset,” would the implementation/hosting costs/training/consulting costs involved in implementation be considered the capital for this application? Given that consultation would be a large component, would travel and expenses be covered if onsite (post-COVID)?	See answer to questions #151.
155	Eligible Expenses	What costs are eligible for grant support for telehealth? Telehealth IT equipment? Would costs to renovate facility space to create provider telehealth equipped offices be eligible for grant support?	See answer to question #151. 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.
156	Eligible Expenses	Wondering if the funds can be used for research purposes, or if it needs to go to existing products. I live in NY and have a Small Business Innovation Research (SBIR) grant from the Nat'l Institute for Nursing Research - we are developing a novel bedside commode to provide a self-transfer toileting device for adults aging with mobility disabilities that is safer than trying to get to a bathroom toilet, more convenient than waiting for someone to assist.	Eligible expenses may not be used solely for research purposes. Expenditures eligible for funding under the SHCFP III are expected to be for capital and non-capital projects related to the purpose and evaluation criteria of the RFA.
157	Eligible Expenses	Regarding Section IV(H)(2) of the Request for Applications, do all submitted invoices need to be previously paid by the contractor in order to receive grant funds for those costs? Or can unpaid invoices be submitted for payment using grant funds?	This RFA is a reimbursement RFA, so all invoices submitted should have back up documentation that demonstrates that the expenses were incurred.
158	Eligible Projects	If we were approved for funding from Transformation II but were awarded less than the requested amount will we be considered for the funding we weren't awarded from that application?	Applicants that received SHCFP I or II funding may apply for SHCFP III funds for projects not funded under the SHCFP I or II RFA initiative and not currently under construction. Per the RFA, the estimated start date of the contract is October 1, 2022. If awarded under SHCFP III, 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.

Q#	Category	Question	Answer
159	Eligible Projects	What is the relationship between Round I applications and the current round? Can we apply for funding to extend work that was done in Round I?	See answer to question #158.
160	Eligible Projects	Our agency was funded in the Statewide Transformation Program II for capital funding for our existing Article 32 Clinic. Are we eligible to apply for Transformation Program III and “stack” that funding with the award we received from Transformation II Program?	See answer to question #158.
161	Eligible Projects	If an organization was previously awarded a Transformation grant for a telehealth project, would that organization be eligible to apply for another telehealth project if this new telehealth project would be utilizing different technology than the technology used in the first project?	Applicants that received Statewide funding may apply for SHCFP III funds for projects not previously funded and not currently under construction.
162	Eligible Projects	If an Eligible Applicant received a Transformation 2 grant but has now determined that additional funding is needed in order to move forward with the Transformation 2 project, for instance, due to cost increases related to COVID, would the submission of a Transformation 3 request for additional funding for the Transformation 2 project be an Eligible Project?	See answer to question #161.

Q#	Category	Question	Answer
163	Eligible Projects	<p>1) Can an organization apply for more than one capital project even if they are unrelated?</p> <p>2) As a regional perinatal center, can we apply for a capital project related to the RPC and then a separate telehealth project?</p> <p>3) As a regional perinatal center, can we apply for a RPC telehealth project and then a separate unrelated capital project?</p> <p>4) If awarded, will this be a reimbursement grant (work/items need to be paid for first and then will be given the funding once invoices are submitted)?</p>	<p>1) Yes, an organization can apply for more than one capital project, even if unrelated. With respect to multiple applications:</p> <p>a. Separate applications are required for capital and non-capital projects.</p> <p>b. Applicants submitting multiple applications must assign a priority to each application.</p> <p>c. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application.</p> <p>d. Within a given application, multiple projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care.</p> <p>e. There is no limit on the number of applications an Eligible Applicant can submit.</p> <p>It is up to the applicant to determine whether to submit a project as its own application or as part of a broader application. Projects will be evaluated according to the criteria set forth in RFA Part III, Section C. Evaluation Criteria.</p> <p>2) Yes, see 1) above.</p> <p>3) Yes, see 1) above.</p> <p>4) Yes, this is a reimbursement grant. The awardee must incur eligible expenses and submit a Claim for Payment/Voucher and supporting documentation for reimbursement. Only expenses determined allowable under the contract budget and work plan and incurred on or after the start date of the contract, may be vouchered for reimbursement. Any obligations assumed by the contractor prior to execution of the contract are assumed at-risk. Per the RFA, the estimated start date of the contract is October 1, 2022.</p>
164	Eligible Projects	<p>1) If submitting a project to acquire new property, does a specific property have to be identified in the application? Can we propose the concept to acquire property, why the property is needed and researched, anticipated expenses?</p> <p>2) When making lease hold improvements to a rented property, does the landlord have to make any agreements with NYS in the event the project is approved for funding? In this instance, the grant would come to our organization, a nonprofit, to physically renovate a rented property where we provide services to the community. Our organization would be responsible for design, contracting and overseeing the renovations. Does the landlord have any responsibilities to NYS regarding this grant funding?</p>	<p>1) If the property has been identified then it should be disclosed in the application. If no property has been identified please provide the reason the property is needed and characteristics of the site (general location, size, estimated land cost, use) relative to the project proposed for funding.</p> <p>2) Capital costs associated with the renovation of leased space are eligible expenses. 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.</p>

Q#	Category	Question	Answer
165	Eligible Projects	For a capital grant for facility improvements, does the property need to be owned by the applicant? If the facility is leased, what parameters need to be in place concerning the lease (minimum number of years for the lease, etc.)?	Capital improvements are eligible at sites controlled by the Eligible 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.
166	Eligible Projects	If an applicant wants to address an outstanding issue by establishing a new provider site, would costs associated with establishing or leasing a new site be eligible for grant funding support? Would the grant be accepted for a facility that would be purchased or leased if the grant was awarded, but the applicant did not have site control yet?	Grant funds can be used for capital costs at sites controlled by the Eligible Applicant through direct ownership or a long-term lease. An application without a pre-defined location could be considered for an award. See also answer to question #165.
167	Eligible Projects	Can a noncapital proposal be submitted to establish a risk pool? (Section III B., pg. 7)	No, it must be debt that is currently on the books of the Eligible Applicant.
168	Eligible Projects	Can applications for non-capital start-up operating expenses be submitted for a project that falls under the eligibility criteria but for which no capital proposal is being submitted? (Section III A. and B., pg. 6-7)	Start-up operating expenses must be directly connected to an 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.
169	Eligible Projects	Are projects proposing decertification of nursing home beds and converting nursing home beds to adult care facility beds or assisted living program beds contemplated by this RFA? Are projects involving nursing home bed decertification encouraged?	All projects proposed by eligible applicants will be evaluated by the extent to which they meet the criteria outlined on page 8 of the RFA.
170	Eligible Projects	Will decertifying skilled nursing beds be funded? If so, at what amount per bed?	Yes. An application to decertify skilled nursing beds would be considered in the context of the project's objective and consistency with the RFA funding objectives and evaluation criteria listed in the RFA Introduction and Section III. C., respectively.
171	Eligible Projects	Our agency operates several programs, one of which is an Article 31 clinic, which makes us eligible for this grant. Does the project(s) we apply for need to be associated only with the Article 31 clinic, or can they be focused on other programs we operate that are not on the eligibility list? To summarize, does having an Article 31 clinic make the entire agency eligible for any projects, or must it focus on the eligible program?	The proposed project should align with the program licensure the applicant is using to demonstrate eligibility for this grant funding.

Questions and Answers

Q#	Category	Question	Answer
172	Eligible Projects	If an Article 28 nursing home or an Article 7 Adult Home/Enriched Housing Program proposes to purchase and operate a financially distressed Article 46 entity, is that an Eligible Project?	Section II. Who May Apply, specifies who are Eligible Applicants. Eligible Applicants should not apply for projects to benefit affiliates that are ineligible applicants.
173	Eligible Projects	Can a proposal to change the operator of an existing Article 7 ACF or an existing Article 36 home care agency (which proposal would include a commitment to serve a significant percentage of low income individuals) qualify as an Eligible Project under the RFA, assuming all other elements of the RFA are satisfied?	Assuming all other elements of the RFA are satisfied, this could be considered an Eligible Project as it would fall under III (b) asset acquisition. The Department would need to understand the financial implications and community benefit of an application of this nature. Also, we would need to understand the willingness of both parties to a potential change in ownership before an award could be considered.
174	Eligible Projects	If an ACF construction application recently was approved by NYSDOH, but has not yet been constructed or funded by the existing ACF, can that project qualify as an Eligible Project under the RFA, assuming all other elements of the RFA are satisfied?	Expenses that have not been incurred related to an approved project are eligible expenses under this RFA. Per the RFA, the estimated start date of the contract is October 1, 2022. 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.
175	Eligible Projects	As a Residential Health Care Facility, the applicant is considering adding a new level of service --a Diagnostic& Treatment Center (D&TC) to provide Outpatient Hemodialysis, neither of which the applicant currently possesses licensure to provide as yet. Would this project be eligible for grant funding?	Yes, if the Eligible Applicant meets the minimum eligibility requirements in RFA Section II Who May Apply at the time of submission to receive grant funding under this RFA.
176	Eligible Projects	In order to preserve the essential services of the skilled nursing facility, a merger/consolidation of providers is under consideration. As such would the costs for restructuring including the professional fees (legal and consulting), potential contract penalties and interest be eligible expenditures for this non-capital project?	Creation of a financially sustainable system of care can be associated with a merger, consolidation or significant restructuring activity and are Eligible Expenses. Restructuring activities encompass a broad array of approaches. The Department is using a broad interpretation of Corporate restructuring for the purposes of this Grant. Corporate Restructuring for the purpose of this grant could include, but is not limited to: Rightsizing services across a region or at a specific location; Conversion of Services to better align service delivery in a region along DSRIP goals; and, Traditional Corporate Restructuring.
177	Eligible Projects	An eligible RHC applicant is proposing significant downsizing of skilled nursing home beds and a construction project for the development of senior housing. This independent housing project would serve low to middle income seniors. Would this project be eligible for grant funding?	Section II. Who May Apply, specifies who are Eligible Applicants. Eligible Applicants should not apply for projects to benefit affiliates that are ineligible applicants.

Q#	Category	Question	Answer
178	Eligible Projects	Would NYSDOH consider an application in which a community-based provider offered and delivered services within the hospital's physical plant to increase access to those services in the community?	Yes, if the applicant qualifies as an Eligible Applicant per RFA Section II.
179	Eligible Projects	In the event an awardee elects not to pursue a proposed project, will DOH use the funds associated with that approval to fund other projects not previously awarded or possibly increase an award that was funded at a level below the requested amount?	To date the Department has not re-awarded any declined capital awards.
180	Eligible Projects	If an applicant proposed to modernize an obsolete facility by building a new hospital, does the site for the new facility need to be owned by the applicant at the time of application submission, as acquisition costs are eligible expenses? Does the site need to be identified or can a market area suffice? If a specific site has not been identified yet, does any supporting documentation (i.e., a letter of intent) need to be submitted?	If the property has been identified then it should be disclosed in the application. If no property has been identified please provide the reason the property is needed and characteristics of the site (general location, size, estimated land cost, use) relative to the project proposed for funding.
181	Eligible Projects	Section 4cii on page 23 of the RFA indicates, "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." Are applicants correct in understanding that the broad term "overall Eligible Project" in this context is an umbrella that can include subordinate, related "Eligible Projects"?	Yes.
182	Eligible Projects	Will the NYSDOH favorably consider entire facility replacement projects as well as projects that modernize existing physical plants? Does the NYSDOH have in mind a ballpark maximum award for such projects, considering the amount of available funds?	The strength of an application and the likelihood that it will be evaluated positively is largely dependent on the overall approach taken by the applicant to improve their long-term financial sustainability and protect and strengthen continued access to essential health care services in the community, and other evaluation criteria. There is no amount of funds that are specifically targeted to modernize existing physical plants.
183	Eligible Projects	Are there key transformational projects that are desired in the grant applications?	The strength of an application and the likelihood that it will be evaluated positively is largely dependent on the overall approach taken by the applicant to improve their long-term financial sustainability and protect and strengthen continued access to essential health care services in the community, and other evaluation criteria.

Questions and Answers

Q#	Category	Question	Answer
184	Eligible Projects	If any preliminary design drawings or sketches are available for a capital project, should they be included in the application?	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.
185	Eligible Projects	How much architectural information (Narrative), will need to be submitted with the applicant?	See answer to question #184.
186	Eligible Projects	For facility improvement grant projects, what is the level of design work and documentation required for the grant? Are schematic renderings and/or DSG level drawings required? What is the level of specificity required to describe in the grant concerning the undertaking of a facility project (i.e. time for design, to submit a CON, obtain permits, estimated construction period, etc.)?	See answer to question #184.
187	Eligible Projects	Can an Applicant submit architectural proposal sketch, (one page) of the project with the applicant?	See answer to question #184.
188	Eligible Projects	Would an off-campus hospital Article 28 extension clinic be deemed as a hospital project or a community-based provider project for this grant?	It would be a hospital project.
189	Eligible Projects	Can an individual Primary care provider with a New York State Medical License request a grant to establish an organization of a network of primary health care providers, (Physicians), to deliver Primary Medical Care and related specialty medical services to residents that are homebound or have limited access to care.	Yes. An application must have one Eligible Applicant and the project as proposed in that application must primarily benefit the Eligible Applicant. If the project requires the involvement of more than one entity: (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. (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. Where a project involves multiple interdependent applications, each application should reference and discuss these interdependencies.

Q#	Category	Question	Answer
190	Evaluation Process	Is there an expectation of a geographical distribution of funds (i.e. only one awardee per county)?	Tie Breaker criteria are outlined on pages 29 and 30 of the RFA. Consensus recommendations will be made by the Review Team in accordance with the tie breaker criteria that include geographic distribution as one of the criteria: "... to the extent practicable, the Review Team will achieve a fair geographic distribution of funds by aligning the total value of projects awarded in a region with the proportion (i.e., percentage) derived from dividing the total value of eligible applications from that region by the total value of all eligible applications received in response to the SHCFTP III Request for Applications. The Commissioner may, in his sole discretion, modify the method by which "fair geographic distribution" is determined." See also answer to question #7 .
191	Evaluation Process	Stage 2.2 Tie Breaker Criteria: Does the "fair geographic distribution" criterion carry more weight than the seven other criteria?	See answer to question #190.
192	Evaluation Process	Stage 2.2 Tie Breaker Criteria: Bullet 1 Geographic Distribution: will the determination of "fair geographic consideration" be made within categories of funding, i.e., separately for community-based providers, residential health care facilities, RPCs for telehealth, and other, or will applications subject to the Tie Breaker criteria be considered together for the purpose of determining "fair geographic distribution"?	See answer to question #190.
193	Evaluation Process	How important is the 4M Age-Friendly Care Model for hospital capital projects?	As applicable, Eligible Applicants should describe how the Eligible Project creates a patient-centered approach to achieve better quality of life outcomes for older adults that reflect the 4M Age-Friendly Care Model. The 4M Model may not be relevant to Article 31 Children's residential treatment facilities.
194	Evaluation Process	RFA Pages 28-30 Section C. Review and Award Process: Stage 1 Review Page 28, Bullet 1: the RFA states that applications missing "material elements" required by the RFA may be eliminated from further review. What components required by the RFA are "material elements"? Based on what criteria or considerations will NYSDOH determine if applications missing "material elements" will be eliminated from further review?	Material elements include all portions of the Application itself and Attachments.

Q#	Category	Question	Answer
195	Evaluation Process	RFA Pages 28-30 Section C. Review and Award Process: Stage 1 Review Page 28, Bullet 1: the RFA states that applicants "may be contacted by NYSDOH if additional information is needed". If NYSDOH chooses to contact one such applicant, will it contact such applicants? That is, would NYSDOH contact some applicants from whom additional information is needed, but not all such applicants?	This is a discretionary program. All Eligible Applications will be evaluated according to the process outlined in the RFA, V. Completing the Application, C. Review and Award Process.
196	Evaluation Process	RFA Pages 29-30 Stage 2 Review: What other "factual analyses" will be performed by NYSDOH or other State Agency staff in support of the Review Team's evaluation of applications? Can NYSDOH provide some examples of the types of "other factual analyses" envisioned? Will the types of "other factual analyses" be different based upon provider type or type of project?	Other factual analyses could include analyses of financial projections and financial audits. The types of analyses could differ by provider type or project.
197	Evaluation Process	RFA Pages 29-30 Stage 2.1: Can NYSDOH please explain how the Review team will distinguish among ratings of "Good", "Acceptable", "Poor", and "Not Responsive" when reviewing each of the Evaluation Criteria? How will interrater reliability be assured across application reviews?	This is a discretionary program. All Eligible Application will be evaluated according to the process outlined in the RFA, V. Completing the Application, C. Review and Award Process. 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", "Poor" or "Not Responsive" 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 highest one. If there is an equal count of two nonconsecutive ratings (i.e., "Good" and "Poor"), the overall rating shall be the lowest one. The Review Team makes recommendations to the Commissioner of Health based on these criteria. Final awards and the amount of awards are determined by the Commissioner.
198	Evaluation Process	RFA Pages 29-30 Stage 2.1: The RFA states that if the Review Team evaluation results in an equal count of two non-consecutive ratings, e.g., "Good" and "Poor", the overall rating should be the lowest of the two. There are nine Evaluation Criteria listed in RFA Section III. C. So, if the evaluation of an application results in 4 ratings of "Good", 1 rating of "Acceptable", and 4 ratings of "Poor", it seems the overall rating would be "Poor". Is that correct and if so, can NYSDOH please explain why the overall rating would be "Poor" when 5 of the 9 ratings were higher than "Poor"?	See answer to question #197.

Q#	Category	Question	Answer
199	Evaluation Process	Stage 2.2 Tie Breaker Criteria: Will the Review Team reach "consensus recommendation" on the Tie Breaker criteria by scoring the seven criteria for each application subject to the Tie Breaker determination? In not, how will the Review Team reach "consensus recommendation"?	This is a discretionary program. All Eligible Application will be evaluated according to the process outlined in the RFA, V. Completing the Application, C. Review and Award Process. The Review Team makes recommendations to the Commissioner of Health based on these criteria. Final awards and the amount of awards are determined by the Commissioner.
200	Evaluation Process	Stage 2.2 Tie Breaker Criteria: Bullet 2 Other: the RFA lists seven other Tie Breaker criteria. Are the criteria listed in degree of importance to priority? Do all seven carry the same weight of importance or do one or more criteria more important than others?	See answer to question #199.
201	Evaluation Process	All seven criteria may not be relevant to every application. For example, certain capital projects may not meet criterion 2.iv. fostering alternative payment arrangements. Can NYSDOH please speak to the relative importance of certain criteria compared to the rest and how it will consider the relevance of each criterion to specific applications when achieving its consensus recommendations?	See answer to question #199.
202	Evaluation Process	If an application includes ineligible budget items [RFA Section V(A)(6)], will this have a bearing on project scoring?	Disallowed costs will be excluded from the amount considered as part of the grant request. A Review Team makes award recommendations to the Commissioner of Health based on the evaluation criteria and consideration of any other summaries or other factual analyses prepared by the Department or other state agency staff, or in consultation with other internal or external sources.
203	Evaluation Process	Concerning DSRIP, does a project need to demonstrate how it advances the overall DSRIP goals, or should specific DSRIP projects be cited in the application?	The extent to which the Eligible Project or purpose is aligned with Delivery System Reform Incentive Payment (DSRIP) goals and objectives is an evaluation criteria. See Section III. C. Evaluation Criteria. It is up to the applicant to determine and describe how the Eligible Project is consistent with DSRIP Program principles.

Q#	Category	Question	Answer
204	Evaluation Process	Will applying for associated non-capital costs have any bearing on how a capital project application is scored [RFA Section III(B)]?	With respect to multiple applications: a. Separate applications are required for capital and non-capital projects. b. Applicants submitting multiple applications must assign a priority to each application. c. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application. d. Within a given application, multiple projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. e. There is no limit on the number of applications an Eligible Applicant can submit. It is up to the applicant to determine whether to submit a project as its own application or as part of a broader application. Projects will be evaluated according to the criteria set forth in RFA Part III, Section C. Evaluation Criteria.
205	Evaluation Process	Are the nine review criteria [RFA Sections III(C) and V(A)] equally weighted, or are one or more of these criteria prioritized? If one or more of these criteria are not relevant to a particular project, would the scoring of that project be adversely affected in any way?	This is a discretionary program. All Eligible Application will be evaluated according to the process outlined in the RFA, V. Completing the Application, C. Review and Award Process. The Review Team makes recommendations to the Commissioner of Health based on these criteria. Final awards and the amount of awards are determined by the Commissioner.
206	Evaluation Process	Are there priority beneficiary populations of New York residents for this funding? It is clear that Medicaid enrollees and uninsured individuals are a priority. Are there others?	Projects will be evaluated in accordance to the criteria listed on page 8 of the RFA, III. Project Narrative/Workplan, C. Evaluation Criteria.
207	Feedback on Previous Application	Our organization has applied for the transformation grant twice. Once in 2016 and again in 2018. Both times we were denied and would be curious to know if we are at liberty to know the reasons or any suggestions as to how to we might better position ourselves for the next application.	Feedback will not be provided to applicants regarding previously submitted applications. As stated in the Statewide I, II and III RFAs, "Based on the number of applicants, DOH shall have the sole discretion of whether or not to provide an opportunity for non-successful applicant to request a debriefing to be conducted after the announcement of awards. Comparisons with other grant applications will not be made during a debriefing." Given the large number of applications received as part of Statewide I and II, DOH exercised its option to not offer debriefings.
208	Financial Stability	7a. 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. Is a narrative response required for this section?	In this instance we are looking for audited financials or sufficient financial information to be able to adequately assess the financial position of the applicant. This information should reconcile with Attachment 2 so that the financial impact of the proposed project can be measured. Narrative should be provided to the extent needed to supplement financial statements and demonstrate financial stability.

Q#	Category	Question	Answer
209	Financial Sustainability	<p>The instructions for question-prompt 8c in Grants Gateway indicates, "Provide a narrative detailing all financial projections including assumptions made for utilization, revenue and expense, balance sheet and cash uses and sources. (If additional space is needed upload narrative doc)."</p> <p>Is this instruction requesting the same or different documentation/upload as the instruction that appear on the bottom of the Excel spreadsheet called Attachment 2, Tab 2, ("Use of Funds"), which indicate, "Detail 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."?"</p> <p>If the expected response to 8c and the Attachment 2-requested "Project Costs – Detail of Expenses" PDF are the SAME, is this the only space in Grants Gateway where NYSDOH would like applicants to upload this 5-page narrative PDF? If these are two different documents, then what are the distinctions between the two requests, and where would NYSDOH prefer applicants to upload the PDF that NYSDOH would like labeled in the top right corner "Project Costs - Detail of Expenses"? (Would NYSDOH prefer applicants to name the FILE with that same name 5-word hyphenated label that is prescribed to appear in the upper right?)</p>	<p>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.</p> <p>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.</p> <p>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. 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".</p>
210	Financial Sustainability	<p>The instructions for question-prompt 8a in Grants Gateway indicate, "Using Attachment 2: Projected Financial Information, Tab 3, Impact -Financial Viability, located in the Pre-Submission Uploads section of the Forms Menu, upload the financial feasibility projections for the Eligible Applicant."</p> <p>Does NYSDOH prefer that applicants upload a completed version of Attachment 2 here, even if such completed Attachment has also been uploaded in response to question-prompt 6a? (Are we correct that NYSDOH does not wish applicants to extract and upload only Tab 3 of Attachment 2, since it's part of an integrated multi-tab sheet?)</p>	See answer to question #209.
211	Financial Sustainability	Is an applicant's current financial condition or viability a factor that DOH will consider during an evaluation of this application process? If yes, What criteria will be used in this evaluation?	See answer to question #209.

Questions and Answers

Q#	Category	Question	Answer
212	Financial Sustainability	8a. Using Attachment 2: Projected Financial Information, Tab 3, Impact – Financial Viability, located in the Pre-Submission Uploads section of the Forms Menu, upload the financial feasibility projections for the Eligible Applicant. There is a required upload for this section. What document should be uploaded here given that Attachment 2 is required to be uploaded in the Pre-Submission Uploads? Is a narrative response required for this section?	See answer to question #209.
213	Financial Sustainability	In the Attachment 2 ‘Impact-Financial Viability’ tab, is the information requested in ‘Current Year Total’ the applicant’s audited numbers as of 12/31/2020 or fiscal period ending 9/30/21, or some other reporting period? (Our inclination is to use the period ending 12/31/20, so the figures tie to directly the audited financial statements.) We do not anticipate having all data compiled for the period ending 12/31/21 with adequate time in advance of the 01/12/22 grant submission deadline.	Eligible Applicants should present the impact of the project on the entire entity for which certified financial statements are available. The projected years of the enterprise budget should only reflect the incremental data associated with the project(s) within the application. Eligible Applicants may submit additional supporting details and PDF uploads to the Grantee Document Folder. Applicants that wish to supply internal financial information should feel free to upload that documentation as part of the overall grant submission. Please clearly label any uploaded files.
214	Financial Sustainability	In the Attachment 2 ‘Impact-Financial Viability’ tab, in the “OUTPATIENT-Visits” section: for individuals served by programs such as Personalized Recovery-Oriented Services (PROS), Assertive Community Treatment (ACT), Congregate Residences, and/or other services, does NYSDOH prefer that “Visits” (or “units”) be tallied as bundled codes, or rather as individual services that occur during the day? Or is this definition left to the discretion of each applicant?	See answer to question #213.
215	Grants Gateway	In Grants Gateway Program-Specific Questions, what does an asterisk (*) signify following a question?	An asterisk (*) signifies the question requires a response to submit an application.
216	Grants Gateway	Regarding the application on Grants Gateway, questions 6a and 8a both provide space for a narrative response and an attachment. 1. What is expected to be provided in the narrative response? 2. Both of these attachments are requested in the Pre-submission Uploads section - do the same documents get uploaded in both places?	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 in the Pre-Submission Uploads section. Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA. If there is no specific project associated with the application a reference to 6 D would be acceptable. See answer to question #209.

Q#	Category	Question	Answer
217	Grants Gateway	In grants gateway Program-Specific Questions, do questions that begin with "As applicable," (such as 4h through 4o) mean that an "N/A" or "Not applicable" response is allowed in the event that the particular project proposed does not include aspects related to such questions?	Yes.
218	Grants Gateway	Please confirm that attachments submitted in addition to and in support of statements made within the character limits of any given section will be considered as part of an Eligible Applicant's proposal and as part of the scoring of the Eligible Applicant's proposal.	The response option limit is provided below each text box includes characters with spaces. Graphic elements (tables, charts, maps, etc..) may not be placed in the narrative text boxes for the Program Specific Questions in Grants Gateway. If an applicant would like to submit additional documentation such as tables, charts, graphs and maps to support the narrative response, such documentation may be uploaded in a PDF document into the "Grantee Document Folder" in the Forms Menu of the online application. Please clearly label any uploaded files.
219	Letters of Support	Are Letters of Support required from any entity?	Letters of Support are not a requirement of the RFA and are not part of the evaluation criteria.
220	Matching Funds	All other factors being equal, will NYSDOH prefer / score applicants higher for projects in which "Other funds" from one or more non-State sources will contribute to the project? Or will NYSDOH look equally favorably on projects that will be funded solely through this initiative?	Matching funds is not an evaluation criteria in the SHCFTP III RFA. However, a match is not precluded as part of an application. In determining awards for eligible projects, the extent to which an applicant has access to alternative funding is one of a number of evaluation criteria outlined on page 8 of the RFA. Preference will be given to applicants who do not have access to alternative funding other than grants to complete the proposed project(s) in the application. Upon award, although match funding is not required, it is a condition precedent to executing and approving the grant contract, that all sources for the grant funded project are verified as available to fund the project.
221	Matching Funds	Will there be a matching requirement for funding?	See answer to question #220.
222	Matching Funds	If an Eligible Applicant has access to non-grant funds (cash and/or financing) to fund all or a portion of the cost of the Eligible Project, how that will be factored into the scoring/evaluation of an RFA response?	See answer to question #220.
223	Matching Funds	What documentation and/or back-up will be deemed acceptable as a demonstration of matching funds should an applicant be awarded funding and voucher against a Facility Transformation contract?	See answer to question #220.

Q#	Category	Question	Answer
224	Matching Funds	Even though there is no requirement for matching funds, will applications that show contributions from other funders or from the organization itself, be viewed more favorably?	See answer to question #220.
225	Medicaid Data	Page 24 of the RFA, prompt 4g indicates "Provide data comparing the percent of Medicaid enrollees and uninsured individuals served by the Eligible Project to the percent of Medicaid enrollees and uninsured individuals in the larger community and/or county." Beyond any information we are seeking from our local County, can NYSDOH point applicants to a current state database or table that provides the number/percent of Medicaid enrollees and uninsured individuals for each county in New York state?	NYS Medicaid Enrollment data is available at: health.ny.gov/health_care/Medicaid/enrollment
226	MWBE & SDVOB Requirements	If submitting the MWBE Form (Attachment 4) and SDVOB (Attachment 6) or an alternative waiver statement is required for every applicant, where specifically in Grants Gateway does NYSDOH wish Eligible Applicants to upload such forms?	Please refer to RFA Section 5 Completing the Application and more specifically the bullet under 5A. Application Format/Content entitled, "Pre-submission Uploads".

Q#	Category	Question	Answer
227	MWBE & SDVOB Requirements	<p>The uploads include a template for MWBE forms. For a non-capital project such as debt restructuring with no subcontractors or purchases, are each of these forms applicable and if not, how should they be submitted?</p> <p>M/WBE Form 1 MWBE utilization goals. What would the goal be for this RFA with respect to debt restructuring as the debt is not owed to a MWBE entity (bank). Because the only expense will be restructuring the loan, there is no mechanism to use MWBE vendors. Are MWBE utilization goals applicable.</p> <ul style="list-style-type: none"> o MWBE Waiver Request. Should this form be completed prior to contract? And if there are not MWBE eligible expenses, how should this be handled in the application? o MWBE utilization plan – For a debt restructuring project, there will be no subcontractors in support of meeting MWBE goals. In that case, will the MWBE utilization plans be applicable? <p>M/WBE Form 2 -MWBE Waiver Request. Should this form be completed prior to contract? And if there are not MWBE eligible expenses, how should this be handled in the application?</p> <p>M/WBE Form 3 – Online Compliance System Payment Confirmation. Is this form applicable for the application? And is it applicable if there are no subcontractors in the case of debt restructuring?</p> <p>M/WBE Form 4 – M/WBE Staffing Plan. To confirm, this should be completed for the non-capital project, not the entire agency.</p>	<p>1) Please submit all MWBE and SDVOB forms with the application as this is a goal carrying procurement. Please note: Debt restructuring is considered exempt from MWBE Goal Setting so you will be waiving the goal by providing related information. If the project has eligible expenses and you are working towards meeting goals you would not fill out and sign the waiver at time of application but all MWBE/SDVOB Forms should still be submitted.</p> <p>2) For a debt restructuring project MWBE Form 1 would be filled out as follows: Complete the top portion of the form identifying information. Add the description of "Debt Restructuring - No opportunities for subcontracting". Lines 1, 2,3 and 4 would all have \$0.</p> <p>3) MWBE Form#2 Waiver Request is only applicable for submission at the time an entity is attempting to waive their MWBE goals due to documented good-faith efforts or in the case that there are no MWBE eligible expenses such as a project that is for debt restructuring.</p> <p>4) MWBE Form#3 Although it may not be applicable for a debt restructuring project, please sign and submit the form as the overall SHCFT III RFA has goals and a waiver has not yet been reviewed and/or approved for the specific project.</p> <p>5) Yes, this should be completed for the specific contract (project). It should include any staff working on the project as well as any subcontracted staff working on the project.</p>
228	MWBE & SDVOB Requirements	<p>The uploads include a template for SVDVB. For a non-capital project such as debt restructuring with no subcontractors or purchases, is this form applicable and if not, how should it be submitted?</p>	<p>Yes, MWBE and SDVOB requirements do apply for non-capital expenses that are not applicant salary, applicant benefits or debt retirement.</p>

Q#	Category	Question	Answer
229	MWBE & SDVOB Requirements	<p>P15 of the RFA indicates: "The goal on the eligible portion of this contract will be 15% for Minority-Owned Business Enterprises ("MBE") and 15% for Women-Owned Business Enterprises (WBE").</p> <p>If a non-capital project's focus is on debt retirement or if a capital project's focus is on land/building acquisition, neither of which include "any subcontracted labor or services, equipment, materials, or any combined purchase of the foregoing under a contract awarded from this solicitation," does NYSDOH still require the Eligible Applicant to submit MWBE Forms (Attachment 4) and SDVOB Utilization Form (Attachment 6)? If yes, what is the guidance for filling out such forms if utilization of minorities, women, and veterans, respectively is not relevant to such projects? If not required, will Grants Gateway consider the application complete and allow submission of the project without a resulting in a technical error? Would the Eligible Applicant need to upload a one-sentence statement in the place of each, indicating that such form is not applicable?</p>	See answer to questions #227 and #228.
230	MWBE & SDVOB Requirements	Attachment 6, SDVOB utilization plan, uploaded in the pre-submission uploads seems to be missing a portion of page 1. Would it be possible for DOH to re-upload page 1 (appears page is landscape but uploaded as portrait orientation)?	See RFA Addendum #2 for revised SDVOB forms.
231	MWBE & SDVOB Requirements	RFA #18406, Section I and Section K Minority/Women/Disabled Veteran Business Contracting. Should the bids for these categories of services exceed the WMBE & SDVOB category bids, what is the consideration toward overall contract cost and request for a waiver to stay within overall budget levels? Are there penalties or future negative implications in contracting if these goals are not met?	Please work with the DOH MWBE Team (MWBE@health.ny.gov) to discuss the specific details of your concerns. See Attachment M in the Pre-submission uploads section of the NYS Grants Gateway and specifically General Provisions and Liquidated Damages.
232	MWBE & SDVOB Requirements	Would engaging external resources to assist in the vendor selection process be considered an allowable cost? Would our decision to select the best vendor (vendor selection matrix criteria) be subject to any conditions specified in the grant, such as the lowest bid? Given the WMBE & SDVOB consideration, does this preclude us from engaging qualified consulting resources?	<p>1) Yes, consulting services to support an eligible project are an eligible expense. 2) How an awardee selects their subcontractor's is their decision but that decision could impact budget.</p> <p>3) This does not preclude you from engaging MWBE Consulting Resources or others.</p>

Q#	Category	Question	Answer
233	MWBE & SDVOB Requirements	If an applicant submits a request for funding for project that is a discreet sub-set of a much larger project, will the MWBE and Veteran's goals apply only to the discreet portion of the larger project for which funds were requested or will the goals apply to the entirety of the larger project?	The MWBE and SDVOB goals would apply to the NYS funded portion of the project.
234	MWBE & SDVOB Requirements	Regarding Section IV(I) and Attachment 4, does a completed proposed MWBE utilization plan need to be included in the application?	The applicant should commit to MWBE and SDVOB participation goals and complete all relevant forms. It is encouraged that the applicant identify specific firms, if possible, in their utilization plan at the time of application. However, the identification of specific firms is not required to apply to this RFA.
235	MWBE & SDVOB Requirements	Regarding Section IV(J) and Attachment 6, does a completed SDVOB utilization plan need to be included in the application?	See answer to question #234.
236	Number of Applications	We operate both an acute Article 28 hospital and also an Article 28 hospital-based RHCF. They both rollup under the same tax ID number, but have different operating certificate numbers. If we put in an application for each one, would they be considered as separate applicants or coming from the same applicant (Guthrie Cortland Medical Center) and therefore would have to be prioritized?	In accordance with the definition of an applicant as defined in the RFA subsection II, these facilities would be considered separate applicants. However, a parent entity may file an application for itself and a related entity in the same system.
237	Number of Applications	Will applications submitted by member hospitals in a system with an active parent be considered as part of a system submission, where there would need to be the assignment of a priority number for each application, or will the individual hospital applications be considered separately?	<p>Either a subordinate organization or a parent organization may submit an application for an Eligible Project.</p> <p>Subordinate organizations may apply individually if they meet the eligibility criteria in Section II. Who May Apply. They must also have distinct financial statements and a unique Vendor ID. A subordinate entity would only need to rank its own applications, not those of related entities.</p> <p>A parent organization co-operator may apply on behalf of its subordinate entities. The parent would need to rank each application it submits.</p> <p>See answers to questions #102 and #103.</p>
238	Number of Applications	May one agency apply twice – once for its Article 31 Mental Health Clinics and once for its Article 32 Alcohol and Drug Clinics?	See answer to question #237.

Q#	Category	Question	Answer
239	Number of Applications	In Grants Gateway, questions such as 4hi begin with "For <u>each</u> Eligible Project...". Can NYSDOH please clarify under what circumstances it is expecting to receive responses to <u>more than one</u> Eligible Project to such question(s) <i>WITHIN</i> a <i>single application</i> (vs. when NYSDOH would prefer to see only <i>one</i> such response (i.e., only one Eligible Project) per <i>application</i>)?	See answer to question #237.
240	Number of Applications	How many applications can one health system submit, and/or, be awarded?	See answer to question #237.
241	Number of Applications	Question: If an organization is requesting non-capital funds to support debt retirement for two different liabilities (one a liability to a government source another a liability to a mortgage lender), would NYSDOH expect/require two separate applications (one for each debt) or could both debts be clearly detailed, described, and broken out within a single Non-Capital application, if shown to be interdependent toward creating a financially sustainable system of care, under this initiative?	<p>With respect to multiple applications:</p> <ul style="list-style-type: none"> a. Separate applications are required for capital and non-capital projects. b. Applicants submitting multiple applications must assign a priority to each application. c. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application. d. Within a given application, multiple projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. e. There is no limit on the number of applications an Eligible Applicant can submit. <p>It is up to the applicant to determine whether to submit a project as its own application or as part of a broader application. Projects will be evaluated according to the criteria set forth in RFA Part III, Section C. Evaluation Criteria.</p>
242	Number of Applications	We are potentially interested in applying for both a capital and non-capital project. Will that require two separate applications?	See answer to question #241.
243	Number of Applications	Does each proposal have to be for one specific geographic location, or can like locations be included in one proposal? For example, could a project encompassing two different RTF locations be submitted as one proposal, or would it need to be submitted as two separate proposals?	See answer to question #241.
244	Number of Applications	If a proposed eligible capital project would be dependent on another higher priority capital project, should those proposals be submitted together or separately? (Section III A. and B., pg. 6-7)	See answer to question #241.
245	Number of Applications	For qualified applicants that seek grant funds from more than one funding stream, should they submit separate applications based on specific funding pool?	See answer to question #241.

Q#	Category	Question	Answer
246	Number of Applications	<p>Section III. Project Narrative/Work Plan Outcomes. Would two applications be required if the overall project is capital with non-capital components from an accounting standpoint (i.e., first years' software maintenance fees or hosting fees)? Or could it be included in the capital projects related to the start-up of the eligible project?</p> <p>Additionally, could the requested funding cover the hosting costs for the existing and new EHRs (or early termination of the agreement) during the multi-year project and transition? What if, in our due diligence, we are unable to find a suitable solution? Can we terminate the project?</p>	See answer to question #241.

Q#	Category	Question	Answer
247	Number of Applications	For qualified applicants that operate in multiple regions of the state, should they submit separate applications in that awards are being made with a focus on geographic distribution?	See answer to question #241.
248	Number of Applications	If our organization is one entity but with several distinct properties in various locations do we still prioritize assuming we are one entity?	Yes, an Eligible Project can include more than one location. Separate applications by the same Eligible Applicant for each location is not required. If the Projects are considered interdependent to creating a financially sustainable system of care, they can be submitted as one capital or non-capital related application. If the projects are not interdependent, they do not need to be submitted as one application. Applicants submitting multiple applications must assign a priority to each application. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application.
249	Organizational Capacity	For question-prompt 3e, should “the most recent 12-month cost reporting year” be 2020 if that is the year that corresponds with the applicant’s most recent audited financials OR should it be through September 30, 2021, even if it is mis-aligned with the audit?	Question 3e asks for the number of admissions or patient visits during the most recent 12-month cost reporting year.
250	Organizational Capacity	The instructions for question-prompt 3f in Grants Gateway regarding “payer mix” indicates, “The Medicaid category should include both Medicaid Managed Care and Medicaid fee-for-services.” Question: For clients/patients who are dual Medicaid/Medicare, would NYSDOH prefer applicants to include such patients within the “Medicaid” category or within the “Medicare” category?	Applicants should classify patients by primary payer such that the total-payer-max tally should equal 100% for the health care provider.
251	Partial Award	If an application is submitted with separate components, which are related but not entirely dependent, would there be a possibility that an award could be made for only portion(s) of the project but not the entire request?	See answer to question #241. The RFA, page 12, indicates that the Department of Health Reserved Rights include "Make an award under the RFA in whole or part." In the event of award amount revisions, DOH would work with the awardee on a case-by-case basis.
252	Partial Award	In the interest of including a maximum number of awardees, would DOH make partial awards?	See answer to question #251.
253	Partial Award	If a grant award is less than the requested amount, can the applicant negotiate the scope of the project to stay within the grant funding award?	In the event of award amount revisions, the Department would work with the awardee on a case-by-case basis.
254	Partial Award	RFA Section IV(F) provides that an award can be made under the RFA in whole or in part. Is there some minimum percentage of the requested amount that would be considered for award?	No. See answer to question #253.

Q#	Category	Question	Answer
255	Pre-Submission Uploads	<p>The Pre-submission Upload section of Grants Gateway indicates, "Attachments 1 through 6 (Except #5) are required and must be uploaded here [on the Pre-Submission Uploads page] in order to submit your application."</p> <p>If Attachment #2 (Projected Financial Information) is uploaded in the Pre-Submission Uploads area, per this instruction, is NYSDOH also wanting applicants to upload this same Attachment #2 in response to Program-Specific question-prompt 6a (focused on Excel Tab 1), and again in response to question-prompt 8a (focused on Excel Tab 3) both of which reference Attachment #2 and both of which provide an upload button? Just want to verify: should applicants upload the multi-tab Attachment #2 three times total (once in each of three spots on Grants Gateway)?</p>	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 in the Pre-Submission Uploads section.
256	Prequalification in Grants Gateway	I represent an article 36 Licensed Home Care Provider. We have previously submitted applications to the Statewide Health Care Facility Transformation Programs 1 and 2. Are we still required to prequalify in order to submit an application?	Yes, per the RFA, page 11, not-for-profit applicants must be prequalified on the due date for this application submission. Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit's essential financial documents - the IRS990, Financial Statement and 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 reinstated.
257	Prevailing Wage	Does the SHCFTP III grant have a prevailing wage requirement for renovation and construction?	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.
258	Previous Awards	We are considering applying for the NYSDOH Statewide Health Care Facility Transformation Program III for a capital project for which we previously received DSRIP CRFP funding. Is it allowable to use the NYSDOH Statewide Health Care Facility Transformation Program III funding as the match on our DSRIP CRFP project?	Only eligible projects beginning 10/1/22 or later are eligible for funding.

Q#	Category	Question	Answer
259	Previous Awards	Per the RFA page 8, C. Evaluation Criteria, in determining awards for eligible projects, the NYS DOH shall consider criteria including but not limited to ...2. The extent to which the eligible project or purpose is aligned with DSRIP Program goals...5. The extent to which the Eligible Applicant has access to alternative funding. The question is, if an eligible applicant proposes an eligible project that has already obtained <u>some</u> funding through NYS DSRIP, would that portion of funding already obtained be a benefit, neutral, or negative in the evaluation of the proposed project for Statewide III?	See answer to question #258.
260	Previous Awards	Would receipt of operating funding by a prospective applicant for a project under the Vital Access Provider program [see Public Health Law § 2826] preclude access to funding for the associated capital costs of the project under SHCFTP III?	See answer to question #258. Recipients of VAP may apply for SHCFTP III funding to support eligible projects not supported with VAP funding.
261	Previous SHCFTP Awardees	Will previous awards of SHCFTP funding be considered when determining individual provider awards, geographic distribution of funds and distribution by provider type? If so, how?	There is no prohibition on a provider receiving awards in more than one SHCFTP RFA.
262	Previous SHCFTP Awardees	Are organizations that received funding through the Statewide Health Care Facility Transformation Program II eligible to apply for a small amount of additional funding through this SHCFTP III?	See answer to question #261. Eligible Applicants that received funding in response to the SHCFTP I RFA (#1607010255) or SHCFTP II (#17648) are eligible to apply and there is no minimum or maximum restriction on the amount of funding they can be awarded if they are evaluated positively. There are no guarantees of award. Proposed Projects that are substantially the same and were previously funded through a state award cannot be considered for a Statewide III award. 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.
263	Previous SHCFTP Awardees	Can applicants who have received funding in past Statewide rounds, apply for additional funding in Round 3?	Yes, see answer to question #262.
264	Previous SHCFTP Awardees	If we have received a grant through the Statewide 2 program that runs through April 2024, can we apply for funding for Statewide3?	Yes, see answer to question #262.

Q#	Category	Question	Answer
265	Previous SHCFTP Awardees	If our organization received funding through Statewide Health Care Facility Transformation Program II , are we eligible to receive funding for additional support for the same project, in a different category of funding? For example, if we received capital funding for construction costs in SHCFTP II, can we request debt restructuring or start-up funding for the same project in SHCFTP III?	Yes, see answer to question #262.
266	Previously Submitted Applications	Is an Eligible Applicant eligible for funding under this RFA cycle if they received an award under a previous funding cycle?	Yes, see answer to question #262.
267	Previously Submitted Applications	What is the process for resubmitting a Round II application?	SHCFTP III is a separate RFA and a new grant application must be submitted to satisfy all applicable SHCFTP III RFA requirements. If the Eligible Project proposed by the Eligible Applicant under this Statewide III RFA is substantially the same as that was submitted under the previous Statewide I and/or II RFAs, the Applicant must complete their application in accordance with the purpose and requirements of this RFA. If the Applicant identifies that changes are needed to the unfunded, previous submission in order to strengthen the viability of the Project and the overall success of the application, they should do so. Projects submitted for funding under the SHCFTP III RFA that are substantially the same as those previously submitted under the SHCFTP I RFA (#1607010255) and the SHCFTP II RFA (#17648) 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 cannot be considered for a SHCFTP III award. If the project is substantially the same and was previously funded, it is not eligible for additional funding. 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.

Q#	Category	Question	Answer
268	Previously Submitted Applications	<p>We were rejected in the award for SHCFTP II and our 2019 notification letter included this language: <i>The Governor’s 2019-20 Executive Budget would authorize the Department of Health to allocate up to \$300 million of the \$525 million of Health Care Facility Transformation Funds III (SHCFTP III), authorized in the 2018-19 Enacted Budget, to support project applications from health care providers that were not awarded grants during this round of SHCFTP II. If this authorization is included in the 2019-20 Enacted Budget, your application will be automatically reconsidered for this funding and no further action is required on your part. Please note that your application will be reconsidered as originally submitted and cannot be amended.</i></p> <p>For applicants who received a non-award letter for SHCFTP II and want to be reconsidered for III, BUT would like to update budget numbers and adjust the scope to reflect more current needs, should they leave the SHCFTP II alone in Grants Gateway, or cancel that application and resubmit? If we cancel and resubmit with changes, do we lose our place in the “reconsideration pool” of applicants from SHCFTP II as had been described in the language from the 2019 letter above?</p>	See answer to question #267.
269	Previously Submitted Applications	Can Round II grants be updated prior to re-submission?	See answer to question #267.
270	Previously Submitted Applications	If an organization applied for funds through SHCFTP I or SHCFTP II for a project that is substantially the same as the current project being submitted, and was denied, will this have any bearing on the project scoring [RFA Section V(A)]?	No. SHCFTP III is a separate RFA and a new grant application must be submitted to satisfy all applicable SHCFTP III RFA requirements. Whereas the Eligible Project proposed by the Eligible Applicant under this Statewide III RFA may be substantially be the same as that was submitted under the previous Statewide I and/or II RFAs, the Applicant must complete their application in accordance with the purpose and requirements of this RFA. Projects submitted for funding under the SHCFTP III RFA that are substantially the same as those previously submitted under the SHCFTP I RFA (#1607010255) and the SHCFTP II RFA (#17648) should be indicated in response to Question 1. b. of the application. 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. However, if the Applicant identifies that changes are needed to the previous submission in order to strengthen the viability of the Project and the overall success of the application, they should do so.

Q#	Category	Question	Answer
271	Previously Submitted Applications	Regarding Evaluation of Applications: Can you advise whether any priority points or special consideration will be given to applications that were submitted but unfunded during the SHCFTP Round II awards?	SHCFTP III is a separate RFA and a new grant application must be submitted to satisfy all applicable SHCFTP III RFA requirements. Priority consideration for previously submitted but unfunded projects is not part of the SHCFTP III evaluation process.
272	Previously Submitted Applications	Will preference be given to round 2 applicants who did not receive funding? If so, must the same project submitted for II be submitted for III?	The Review and Award Process does not include priority consideration be given to projects that were not funded in whole or part in response to the SHCFTP I RFA (#1607010255) or SHCFTP II (#17648) RFAs issued by the Department. The strength of an application and the likelihood that it will be evaluated positively is largely dependent on the overall approach taken by the applicant to improve their long-term financial sustainability and protect and strengthen continued access to essential health care services in the community, and other evaluation criteria.
273	Previously Submitted Applications	Is any priority given to applicants that submitted previous applications (in rounds I and II) and were rejected?	See answer to question #272.
274	Priority Consideration	Will Round 2 applicants who were not selected be given any preference in Round 3?	No, SHCFTP II applicants will be treated the same as applicants who did not apply for funding.
275	Priority Consideration	Will applicants experiencing financial distress be given preference over applicants who are not?	All projects proposed by eligible applicants will be evaluated by the extent to which they meet the criteria outlined on page 8 of the RFA. In determining awards for eligible projects, the extent to which an applicant has access to alternative funding is one of a number of evaluation criteria outlined on page 8 of the RFA. Preference will be given to applicants who do not have access to alternative funding other than grants to complete the proposed project(s) in the application.
276	Priority Consideration	Is there any preference if one applied for the CRFP grant through DSRIP?	No, CRFP applicants will be treated the same as applicants who did not apply for CRFP funding.
277	Priority Consideration	Do you consider "green" projects to replace antiquated equipment a priority in funding if the replacement of the equipment is due to a potential risk to patient safety and welfare?	All projects proposed by eligible applicants will be evaluated by the extent to which they meet the criteria outlined on page 8 of the RFA.

Q#	Category	Question	Answer
278	Project Budget	Section I(iii) of the Request for Applications says Eligible Applicants should describe “[a]n estimate of the total costs of carrying out health care transformation activities (other than the Eligible Project as hereafter defined) and the sources of funding for such costs.” Does this mean that Eligible Applicants must propose to carry out health care transformation activities in addition to the Eligible Project?	The Department is looking to understand how the eligible project as defined in the RFA will improve health care outcomes for the community served and any sources of funding that may be needed to complete those changes.
279	Project Budget	Our facility has identified three (3) potential projects for this RFA. We understand that each project should be ranked by priority and requires a separate budget upload. In addition, the Program Information Section appears to be the complete application required for this RFA. Therefore, our inquiry is regarding with the Capital Budget Section in the NYS GG. Is this section required? Should applicants complete the Capital Budget Section? It appears to be applicable for one project and not for several as in our case.	<p>With respect to multiple applications:</p> <ul style="list-style-type: none"> a. Separate applications are required for capital and non-capital projects. b. Applicants submitting multiple applications must assign a priority to each application. c. If applications are interdependent and the overall project cannot be completed unless all are funded, the Applicant should describe this interdependence (in Grants Gateway under Program Specific Questions, 3. Project Description), in each related application. d. Within a given application, multiple projects and multiple locations may be included if they are considered interdependent to creating a financially sustainable system of care. Applicants do not need to assign a priority rank to multiple projects within an application. e. There is no limit on the number of applications an Eligible Applicant can submit. <p>It is up to the applicant to determine whether to submit a project as its own application or as part of a broader application. All capital and noncapital projects require the Capital Budget to be completed. All noncapital expenses are captured in the "other" category of the Capital Budget.</p>

Q#	Category	Question	Answer
280	Project Budget	<p>The Pre-Submission Uploads page of Grants Gateway indicates, "Attachment 2: Project Financial Information. Applicants must submit additional financial information beyond what is captured in the Capital-Based Budget, using Attachment 2: projected Financial Information."</p> <p>1) Can NYSDOH please verify that the referenced "Capital-Based Budget" refers strictly to the fields (e.g., Scoping and Pre-development, Design... Working Capital Reserves... etc.) in Grants Gateway listed under "Capital Budget" in the Forms menu)? Or if not, please define the preferred content/format of such "Capital-Based Budget" and where it should be uploaded.</p> <p>2) If an applicant is submitting a "Non-Capital" project request (such as debt retirement), does the term "Capital-Based Budget" relate to: (a) the cost of repaying the debt and/or (b) the cost of the health care transformation activities that applicant will undertake as a result of the debt retirement?</p>	<p>1) See answer to question #209.</p> <p>2) Yes.</p>

Q#	Category	Question	Answer
281	Project Budget	<p>The instructions for question-prompt 6a in Grants Gateway regarding budget indicate, “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.” It then indicates, “Using Attachment 2: Projected Financial Information, Tab 1, Project Fund Sources, identify and describe sources of alternative funding for the Eligible Project (funds other than the SHCFTP III grant funds or “other Funds”)... Provide evidence of the commitment of these fund sources. A commitment that is contingent upon receipt of the Grant is acceptable.”</p> <p>Related Questions:</p> <p>1) If a non-capital Eligible Project (such as debt retirement) does not have any alternative funding sources, is it acceptable/expected that all cells pertaining to “Other Funds” and “Other Funds’ Components” in Attachment 2, Tab 1 will be zero?</p> <p>2) If a capital Eligible Project (such as building acquisition) does not have any alternative funding sources, is it acceptable/expected that all cells pertaining to “Other Funds” and “Other Funds’ Components” in Attachment 2, Tab 1 will be zero?</p> <p>3) Will applicants be penalized for failing to “provide evidence of the commitment of [other funding sources]” if there are no available other funding sources for the project?</p> <p>4) Beyond completing and uploading Attachment 2, Tab 1, in response to this question 6a, is NYSDOH requesting that applicants also write narrative content (e.g., in the 4,000-character textbox accompanying this question-prompt)?</p>	<p>1) Yes.</p> <p>2) Yes.</p> <p>3) No.</p> <p>4) Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA. See answer to question #209.</p>

Q#	Category	Question	Answer
282	Project Budget	<p>The instructions for question-prompt 6c in Grants Gateway indicate, "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 expenditure, if available. These budget justifications should be specific enough to show what Eligible Applicant means by each line item and how the line item supports the overall Eligible Project." At the same time, the instructions for the SUBSEQUENT question-prompt 6d in Grants Gateway indicate, "If an Eligible Applicant applies for non-capital debt restructuring, a detailed description and budget, if applicable, related to the health care transformation activities they will undertake as a result of the debt restructuring must be provided."</p> <p>Question: if an applicant is applying for funds for non-capital debt retirement, does NYSDOH expect the applicant to respond to both 6c and 6d? If yes, how would NYSDOH prefer the responses to each question be different from each other. Or would NYSDOH prefer such applicants to respond in 6c, "Please see response to 6d, as this request is a non-capital debt retirement project."</p>	Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA. If there is no specific project associated with the application a reference to question 6d would be acceptable.
283	Project Budget	Is completion and uploading of Attachment 2 (all tabs) plus the 5-page PDF narrative that is requested in the instructions embedded within Attachment 2 considered to be sufficient for responding to question-prompt 6a? Or does NYSDOH wish to see further narration input into the 4,000-character textbox associated with 6a?	Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA. See answer to question #209.
284	Project Budget	Related to Attachment 2, where in Grants Gateway would NYSDOH prefer applicants to upload the 5-page separate attachment (PDF) that will be called "Project Costs - Detail of Expenses", per instruction in cell A36? (Would this be uploaded as a stand-alone document in the Grantee Document folder, or elsewhere?)	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. 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". See answer to question #209.

Q#	Category	Question	Answer
285	Project Budget	Since only one attachment per question-prompt is allowed in Grants Gateway, does NYSDOH wish applicants to COMBINE the multi-tab Attachment 2 EXCEL sheet and the required accompanying 5-page PDF "Project Cost – Detail of Expenses" narrative into a single PDF file... and upload that combined file in response to prompt 6a?	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 in the Pre-Submission Uploads section. See answer to question #209.
286	Project Budget	<p>There are several sections in the Program Specific Questions within Grants Gateway where it is not clear what is to be uploaded or if a narrative response is required in addition to the upload. Could you please provide clarification on the following?</p> <p>6a. 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. Using Attachment 2: Projected Financial Information, Tab 1, Project Fund Sources, identify and describe sources of alternative funding for the Eligible Project (funds other than the SHCFTP III 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 Grant is acceptable. Only applications that request grant funding for Eligible Expenditures (as defined in Section III.B. of the RFA) will be funded.</p> <p>There is a required upload for this section. What document should be uploaded here given that Attachment 2 is required to be uploaded in the Pre-Submission Uploads? Is a narrative response required for this section?</p>	See answer to question #285.
287	Project Budget	6b. For each Eligible Project, provide an estimate of the total cost, including the amount of SHCFTP III grant funding requested and any other sources and associated amounts of alternative funding necessary to fully fund the Eligible Project, if applicable. There is an optional upload for this section. What, if anything, should be uploaded here?	See answer to question #285.

Q#	Category	Question	Answer
288	Project Budget	<p>For the Attachment 2, "Projected Financial Information" Excel sheet, tab 2 "Use of Funds," can NYSDOH please indicate what the "Interim Interest" cells G16-G18 should contain?</p> <p>For example 1: if an applicant is requesting non-capital funding to support retirement of mortgage debt, what (if anything) would NYSDOH expect the applicant to fill in under "Interim Interest: Amount Borrowed, Months, and Interest Rate"?</p> <p>For example 2: if an applicant is requesting capital funding to support, in its entirety, the purchase/acquisition of a building, what (if anything) would NYSDOH expect the applicant to fill in under "Interim Interest: Amount Borrowed, Months, and Interest Rate"?</p> <p>Under what circumstances would it be appropriate to type "N/A" or "not applicable" into cells such as G16-G18 (about Interim Interest) or G23-G25 (about Construction Date milestones)? Or would NYSDOH prefer that applicants leave such fields blank if they are not applicable?</p>	<p>If a cell in the referenced attachment does not apply to your particular project, the cell should be left blank. If an applicant was going to borrow funds for a project, interim interest would be any interest incurred during the construction period where no principal payments were made.</p>
289	Project Budget	<p>RFA p26, Section 6 indicates, "A Project budget must be provided for all capital and non-capital Eligible Projects." ... and... "Justification of each cost should be submitted in narrative form."</p> <p>Question: If an applicant completes and uploads Attachment 2 (all tabs) and includes the required "Project Costs – Detail of Expenses" PDF (up to 5 pages) referenced on the bottom of Tab 2 ("Use of Funds"), and if the applicant fills in the relevant categories of the "Capital Budget" form in Grants Gateway, do these actions fulfill the requirement to provide the required "project budget"... or is NYSDOH expecting an additional document or spreadsheet to serve as the required project budget? (If NYSDOH is expecting an additional budget, in what form or file format should such budget be created?)</p>	<p>If the applicant completes and uploads Attachment 2 with required Project Costs-Details of Expenses attachment and fills in the relevant categories of the Capital Budget then no additional related document or attachment is required to provide the project budget.</p>
290	Project Budget	<p>For Attachment 2, Tab 2 ("Use of Funds"), can NYSDOH please clarify if the dollar amounts placed in column D ("Source of Funds: Grant Funds") and column E ("Source of Funds: Other Funds") for any given row between Row 12 and Row 21 should -- when added together -- TOTAL the dollar figure included in Column B ("Use of Funds") in that same row?</p>	<p>Yes, how the funds are going to be used to accomplish the project should be reported in column B, " Use of Funds", and the source of those funds, "Grant" or "Other" should be reported in columns D and E, respectively.</p>

Q#	Category	Question	Answer
291	Project Budget	<p>Page 26 of the RFA, prompt 6d indicates, "If an Eligible Applicant applies for non-capital debt restructuring, a detailed description and budget, if applicable, related to the health care transformation activities they will undertake as a result of the debt restructuring must be provided."</p> <p>Can NYSDOH please further define "If applicable" in this context. For example, if an Eligible Applicant is requesting funds for debt retirement, would NYSDOH want the applicant to provide a budget for the grant-aligned transformation activities to be funded by the extra funds that will become available to the organization over the 5 years post-grant-award as a result of it no longer needing to be make payments on that debt (e.g., activities related to creating financially sustainable systems of care; and/or preserving or expanding essential health care services")?</p>	Yes, if the debt relief is to be used to support a transformation initiative then a budget and a description of that initiative is 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.
292	Project Budget	Referencing page 7 of the RFA, paragraph 3 after the last bullet point on this page ("... under this RFA."), states that the proposed budget is expected to change after award. Can the State provide more details regarding the amendment process under this grant would be like?	Ideally, the project budget would not change after the award is made. However, if there was a change to the project budget the applicant would work with the Grants Management Bureau (GMB) to document the proposed scope, use and/or budget changes to the awarded project and GMB with DOH would determine if the project change is acceptable.
293	Project Costs	If an applicant plans to utilize the requested funding to purchase a building needed to deliver services central to the purpose of this grant, but the exact building to be purchased will not be known until the funding is received, based on the real estate market availabilities at that time, is it acceptable that the applicant creates a cost estimate based on looking at comparable buildings available at the time of developing this application--and use such comparisons as the basis for estimating the cost (to be included in the "Project Costs - Detail of Expenses" 5-page narrative being requested)?	Yes.
294	Reimbursement	How does reimbursement work for capital projects? For example, will the reimbursement be in the form of progress payments as the work progresses? Or will reimbursement be one lump sum upon completion of the entire project?	The reimbursement would be invoiced as progress is made on the project. The awardee will submit a voucher package and then a payment would be made to the applicant after the package was reviewed and approved.
295	Spending Requirements	For nursing home applicants, would receipt of SHCFTP III funding have any bearing on a facility's compliance with minimum direct resident care spending requirements [see Public Health Law § 2828] and, if so, how?	DOH cannot answer this question at this time. The related regulation will be proposed on Nov. 17, 2021, and there will be a public comment period.

Q#	Category	Question	Answer
296	Statewide I & II Awardees	I am looking to see what has been previously awarded for the transformation grants? Is there a web page that has this information?	Link to SHCFTP I Award Announcement: https://www.health.ny.gov/press/releases/2017/2017-07-18_funding_to_strengthen_health_care.htm Link to SHCFTP II Awards and Supplemental Awards Announcements are no longer available.
297	Statewide I & II Awardees	Is there a way that I can learn about the projects that have been funded previously through the SHCFTP?	See answer to question #296.
298	Statewide I & II Awardees	Is there a resource which lists projects funded by this grant in prior years?	See answer to question #296.
299	Statewide I & II Awardees	Is there an announcement of the awards for the first Statewide Health Care Facility Transformation Program RFP that is publicly available?	See answer to question #296.
300	Subcontracts	If an applicant proposes to collaborate or use the services of an entity that is headquartered or licensed in another state, but not New York, would that preclude the applicant from receiving approval or would the out of state entity be considered a subcontractor with the applicant having the sole responsibility for the award and contract?	If applicable to the Eligible Project, Eligible Applicants may subcontract components of the scope of work and are expected to state the specific components of the scope of work to be performed through the subcontract(s). It is preferable to identify the subcontracting entities in the application. Subcontracts of \$100,000 or more requires vendor responsibility documentation, see Section IV. M. Vendor Responsibility Questionnaire. If selected for an awarded under this RFA, all subcontractors must be approved by the Department of Health. Eligible Applicant will have overall responsibility for all contract activities, including those performed by subcontractors, and will be the primary contact for the DOH.
301	Subcontracts	Suppose an agency has previously worked with an architect and/or general contractor. Would that agency be allowed to have a single-source contract with these vendors and bid out subcontracts?	See answer to question #300.
302	Subcontracts	Regarding Section III(B) of the Request for Applications, if the applicant intends to engage a general contractor ("GC") to perform grant funded construction or renovation activities, is the GC considered a subcontractor that must be identified during the application process?	See answer to question #300.
303	Subcontracts	What expectations, if any, should the Grantee expect with subcontracts for funds to be awarded and approved? For example, are there guidelines/requirements for construction workers/engineers hired to construct a \$300,000 building?	See answer to question #300.

Q#	Category	Question	Answer
304	Technical - Application Access	I am logged into grants gateway and I am not able to view the application. Is it available yet?	<p>The announcement and PDF of the RFA document are located in the NYS Grants Gateway at: https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx?NavItem1=2</p> <p>In order to access attachments and apply for the grant opportunity, a user must first be registered and logged into the Grants Gateway as a Grantee, Grantee Contract Signatory, or Grantee System Administrator. 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. If you are having difficulty, we recommend consulting the Grants Management website at: https://grantsmanagement.ny.gov/</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 (After hours support w/user names and lockouts)</p>
305	Technical - Application Access	Is the application for the above grant available to start completing in the Grants Gateway? I am registered in the system as an Administrator and Signatory and have submitted other grants. When I log in and find this grant, it doesn't have a link to Apply for Grant Opportunity in the bottom left, only to see the Opportunity, which takes me to the RFA.	See answer to question #304.
306	Technical - Budget	In Grants Gateway is the "Capital Budget à OTHER" category the sole appropriate location for applicants who are requesting funds for NON-capital eligible projects (such as DEBT RETIREMENT) to indicate the dollar amounts of the debt retirement that the requested funds would enable? Would an applicant applying for funds for debt requirement be required to fill out any additional cost-categories (besides "OTHER") in the "Capital Budget" in Grants Gateway?	Yes, non-capital funds should be allocated in the "Other" category of the Capital Budget.
307	Technical - Budget	If an application is strictly for a building acquisition, is it correct that the applicant can LEAVE BLANK all fields in the Capital Budget Form in Grants Gateway related to Scoping and Pre-Development, Design, Construction, Administration, Other and/or Working Capital Reserves? (e.g., the applicant would fill in data ONLY in the "Acquisition" category of costs/input fields?)	Yes, but the application should describe how the acquisition is going to meet the RFA evaluation criteria.

Q#	Category	Question	Answer
308	Total Costs	<p>The RFA "Introduction" on p 3-4 indicates, "Eligible applicants should describe... "iii. An estimate of the total costs of carrying out healthcare transformation activities (other than the Eligible project as herein defined) and the sources of funding for such costs."</p> <p>Question about the parenthetical phrase above: for non-capital projects, such as debt retirement, in which the healthcare transformation activities to be supported are: (a) creating financially sustainable systems of care; and (b) preserving essential health care services, what does NYSDOH mean by asking for the total costs of carrying out healthcare transformation activities "(other than the Eligible project as herein defined)"? We request clarity about the parenthetical part of this definition of total costs, since both "a" and "b" are the core healthcare transformation activities that such a debt retirement, non-capital project will carry out—but both of those are central to the "Eligible Project", rather than "other than" the Eligible Project. Please clarify what is meant by "other than the Eligible project as herein defined," and what TOTAL COSTS NYSDOH would like to see in response to this question.</p>	<p>Page 4 of the RFA states, "iii. An estimate of the total costs of carrying out health care transformation activities (other than the Eligible Project as hereafter defined) and the sources of funding for such costs."</p> <p>In this reference the Department is looking to understand the cost of the transformation effort and the sources to be used to fund those costs. As further described in the RFA, debt restructuring is considered an Eligible Project, and this parenthetical section in the introduction is a reference to those Eligible Projects where there may not be an explicit transformation activity.</p>
309	Work Plan	<p>Is there a minimum number of objectives, tasks or performance measures that must be included in the work plan?</p>	<p>In the Forms Menu there is a Work Plan: Grantee Defined section to complete with an Work Plan Overview Form and Objectives. The composition of your grantee defined work plan is at your discretion.</p>