



**Department
of Health**

OFFICE OF PRIMARY CARE AND HEALTH SYSTEMS MANAGEMENT

Statewide Health Care Facility Transformation Program III (SHCFTP III)

Request for Applications
Applicant Webinar

October 14, 2021

Key Dates

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|---|--------------------------|
| Release Date: | September 30, 2021 |
| Questions Due: | October 28, 2021 |
| Questions, Answers and Updates Posted (on or about): | November 30, 2021 |
| Applications Due: | January 12, 2022 by 4 PM |
| Estimated Contract Start Date: | October 1, 2022 |

Application

Intent and Purpose

Facilitate health care transformation activities. Funding can support a variety of Eligible Projects that are intended to:

- (a) create financially sustainable systems of care;
- (b) preserve or expand essential health care services;
- (c) modernize obsolete facility physical plants and infrastructure;
- (d) foster participation in alternative payment arrangements;
- (e) for residential health care facilities, increase the quality of resident care or experience; or
- (f) improve health information technology infrastructure, including telehealth, to strengthen the health care continuum.

Authority and Appropriation

- Public Health Law 2825-f, accompanying appropriations, and Section 1680-r of the Public Authorities Law, established the Statewide Health Care Facility Transformation Program III
- \$525 million authorized
 - \$20 million awarded through a separate RFA released in 2019 to assisted living programs
- \$505 million remaining

Authority and Appropriation

- Subdivision 4-a of PHL 2825-f provided up to \$300,000,000 of the \$505,000,000 could be awarded to unfunded Statewide II applications
 - \$296,705,131 awarded in Statewide II supplemental awards
 - **\$208,294,869** is available to fund Statewide III awards
 - Up to \$5 M of this amount is targeted to Regional Perinatal Centers to establish telehealth applications

Authority and Appropriation

- Public Health Law 2825-f further required that of the total appropriation:
 - \$60 million be awarded to community-based providers
 - \$45 million to residential health care facilities.
- Statewide II Supplemental awards included:
 - \$59,470,389 awarded to community-based health care providers
 - \$21,861,840 awarded to residential health care facilities.
- Therefore, Statewide III awards must include:
 - minimum of \$529,611 awarded to community-based providers
 - minimum of \$23,138,160 must be awarded to residential health care facilities.

Eligible Applicants

All three requirements must be met at the time the application is submitted to qualify as an Eligible Applicant.

a) Be a legally existing organization and capable of entering into a binding Master Grant Contract with DOH.

Eligible Applicants

b) Be one of the following provider types:

- General Hospitals (PHL Article 28 license)
- General Hospitals designated as a Regional Perinatal Center (NYCRR 721)
- Residential health care facilities (PHL Article 28 license);
- Adult care facilities (SSL Article 7 license)
- Assisted living programs (SSL section 461-I)
- Children's residential treatment facility (MHL Article 31 license)

OR

Eligible Applicants

- Be a community-based provider, defined as:
 - Diagnostic and treatment centers (PHL Article 28 license)
 - Mental health clinics (MHL Article 31 certification or license)
 - Alcohol and substance abuse treatment clinics (MHL Article 32 certification or license)
 - Article 16 Clinics (MHL Article 16 operating certificate or license)
 - Home care providers (PHL Article 36 certification or license)
 - Hospices (PHL Article 40 operating certificate or license)
 - Primary care providers (valid SED license)

Eligible Applicants

c) Must be prequalified, if not exempt, in the NYS Grants Gateway.

Eligible Expenses

Expenditures eligible for funding include capital projects:

- The planning or design of the acquisition, construction, demolition, replacement, major repair or renovation of a fixed asset or assets, including the preparation and review of plans and specifications including engineering and other services;
- Construction costs;
- Renovation costs;
- Asset acquisitions;
- Equipment costs; and
- Consultant fees and other expenditures associated with the preparation of Certificate of Need (CON) applications required for the proposed establishment action, construction activity or service expansion.

Eligible Expenses

Non-capital projects or purposes that may be eligible for funding include:

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

Excluded Expenses

Excluded Expenses include general operating expenses related to the day-to-day operations and not directly related to the start-up costs of the Eligible Project.

Excluded Expenses include, but are not limited to:

- Routine supplies;
- Utilities;
- Operating lease payments;
- Equipment with a useful life less than 3 years;
- Ongoing, routine training and maintenance costs related to IT projects; and
- Employee salaries and benefits.

Disallowed Costs

Disallowed costs will be excluded from the amount considered as part of the grant request.

Disallowed costs are expenditures that fall into three categories:

- Excluded Expenses;
- Not sufficiently described and/or justified in type or amounts;
- Considered to be unrelated to the proposed Eligible Project.

Subcontracting

- If applicable to the Eligible Project, Eligible Applicants may subcontract components of the scope of work.
- 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.

Separate Capital and Non-capital Applications and Priority Rank

- Separate applications must be submitted for capital and non-capital projects or purposes.
 - A separate application for non-capital is required even if it is part of the same overall transformation plan for which an application for a capital project(s) is being submitted.
- If an Eligible Applicant submits multiple applications for funding, the Eligible Applicant should assign a priority to each application – see Program Specific Questions Section 4c of the application.
 - For example, if 2 applications are submitted, rank the applications in order of priority, that is 1 and 2.
 - Indicate if the applications are interdependent and cannot be completed unless both are funded.

Points of Emphasis

- Applicants should clearly and in as much detail as possible, describe their overall approach or vision for health care transformation activities. For example,
 - Detail project specifics (program additions/closures and/or expansion, joint ventures, shared service arrangements)
 - Specify arrangements to merge, consolidate or restructure
- Identify how the specific request for funding will help achieve this transformation and provide sufficient detail.

Review and Award Process

Evaluation Criteria

1. Contributes to the integration of health care services or the long-term sustainability or preservation of essential health services in the community or communities served;
2. Aligned with DSRIP program goals and objectives;
3. Geographic distribution of funds;
4. Relationship to an identified community need;
5. Extent to which applicant has access to alternative funding;
6. Furthers the development of primary care and other outpatient services;
7. Benefits Medicaid enrollees and uninsured individuals;
8. Engaged the community and the manner in which community engagement has shaped the Eligible Project; and
9. Addresses potential risk to patient safety and welfare.

Grant Award Determinations

- A Review Team makes award recommendations to the Commissioner of Health. Funding awards and amounts are made at the discretion of the Commissioner.
 - The Review Team's evaluation will be 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.
 - Applications will be assigned to the following tiers: "Good", "Acceptable", "Poor" or "Not Responsive".
 - Awards will be made first to applications ranked as "Good", then "Acceptable", then "Poor".

Tiebreaker Criteria

If funds are not sufficient to support all applications in a tier, tiebreaker criteria will be used.

- Applications that help achieve a geographic distribution of funds and the extent to which the application compared to other applications in the same geographic region:
 - Provides the greatest impact on the financial sustainability of the Eligible Applicant; or
 - Preserves essential healthcare services in a community in a manner that is superior; or
 - Modernizes obsolete facility physical plants and infrastructure; or,
 - Fosters participation in alternative payment arrangements; or
 - For residential health care facilities, increases the quality of resident care or experiences; or
 - Improves health information technology infrastructure, including telehealth, to strengthen the acute, post-acute and long-term care continuum; or,
 - Extent to which the applicant has access to alternative funding.

Community-Based Health Care Provider and Residential Health Care Facility Minimum Awards

- A minimum of \$529,611 in awards will be made to community-based health care providers
- A minimum of \$23,138,160 will be made to residential health care facilities
- If the amount of awards were to be less than the minimum required, the differential amount will be reserved for a future RFA targeted exclusively to these provider types.

Other Award Information

- Anticipated that the amount of project requests is expected to significantly exceed available funds.
- Although there are no prescribed minimum or maximum award amounts for SHCFTP III, applicants should be mindful of the criteria by which projects will be selected for award.
- SHCFTP III does not require applicants to provide matching funds.

Key Considerations

- These awards are discretionary and cannot be appealed.
- Applicants are advised to put forward their best efforts in thoroughly completing and fulfilling all requirements of the RFA.

Administrative Requirements

Grants Gateway

- All applications must be submitted online via the Grants Gateway
- Applications will **not** be accepted via e-mail, hard copy or other means
- Applications are due **January 12, 2022 by 4 PM EST**

Not-for-Profit Applicants – Registration and Prequalification

- All not-for-profit applicants must Register and be Prequalified in Grants Gateway by the application due date.
- Applicants that are not Registered and Prequalified in Grants Gateway by the application due date cannot be evaluated. Such applications will be disqualified from further consideration.

Grants Gateway Roles

- Grantee Delegated Administrator (mandatory role)
 - Responsible for the document vault and prequalification process
 - Can issue new accounts for others in the organization
- Grantee
 - Can initiate and complete application but can NOT submit the application
- Grantee Contract Signatory OR Grantee System Administrator (mandatory role)
 - Can initiate, complete, and submit the application
- Refer to the “Grantee User Guide” for comprehensive information about roles

How to File an Application

- Log into GG as either a “Grantee” or “Grantee Contract Signatory.”
- Click on “View Opportunities” button under “View Available Opportunities.”
- In the Search Criteria, enter the Grant Opportunity name, “Statewide Health Care Facility Transformation Program III” and select Department of Health as the Funding Agency. Click on “Search” button.
- Click on the name of the Grant Opportunity from the search results, then select the “APPLY FOR GRANT OPPORTUNITY” button on the bottom left.

Completing the Application

1. Previous Funding Applications
2. Applicant Organization Type
3. Organizational Capacity
4. The Project(s)
5. Identified Community Need
6. Project Budget
7. Eligible Applicant Financial Stability
8. Eligible Project Impact on Eligible Long-term Financial Sustainability
9. Cost Savings
10. Project Timeline
11. Workplan

Due Dates

- Applications must be submitted in Grants Gateway by January 12, 2022 at 4:00 PM EST or the application will be disqualified from further consideration.
- Applicants are strongly encouraged to submit their applications at least 48 hours before they are due.

Grants Gateway Assistance

- Refer to the Grantee Quick Start Guide for assistance in applying. The guide is on the Grants Reform website: <http://grantsreform.ny.gov/grantees>
 - More detailed “Grantee User Guide” also available at this website.
- Training webinars are provided by the Grants Reform Team. Dates and times for webinar instruction can be located at the following web address: <http://grantsreform.ny.gov/training-calendar>.
- Grants Gateway Videos including a document vault tutorial and an application tutorial are available at the following web address: <http://grantsreform.ny.gov/youtube>.

Grants Gateway Assistance

Grants Gateway Team

Email: Grantsgateway@its.ny.gov

Phone: 518-474-5595

Hours: Monday thru Friday 8:00 am to 4:00pm

For application completion and registration questions

- Agate Technical Support Help Desk

Email: helpdesk@agatesoftware.com

Phone: 1-800-820-1890

Hours: Monday thru Friday 8am to 8pm

For after hours support w/usernames and lockouts)

General Questions and Answers

Grants Gateway FAQs

Q: Our organization is unable to apply. The only option available is to “View the Opportunity.” We do not have the “Apply for Grant Opportunity” button. Please advise.

A: In order to apply for the grant opportunity, a user must first be **registered and logged in** to 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.

Applicant Webinar

Q: Applicant Webinar – will the webinar be recorded and available after?

Eligible Applicants

Q: Is this only for not-for-profits, or can for-profit or proprietary providers apply also?

Eligible Expenses

Q: Can the funds be used to pay for costs incurred prior to the contract date?

Award Amounts

Q: Is there a limit on how much an applicant can request under this RFA?

Q: Is there a minimum or maximum award per facility and/or application?

Review Prior Grant Applications

Q: Is there any further information on the possibility of receiving feedback on the strengths and weaknesses of our previous application for this funding?

Posting of Questions and Answers

Q: Where are the responses to questions posted?

Questions?

Statewide3@health.ny.gov