

NEW YORK STATE DEPARTMENT OF HEALTH

A Request for Proposal for

The Office of Long Term Care (OLTC) and
The Office of Health Systems Management (OHSM)

RFP No. 0802151214

Quality Assurance for
Nursing Homes, Intermediate Care Facilities, Home Care Services Agencies, Adult Care
Facilities, Hospitals and Diagnostic and Treatment Centers

Schedule of Key Events

RFP Release Date	July 7, 2008
Letter of Interest Due (optional)	July 18, 2008
Registration for Bidders Conference Required by	July 18, 2008
Written Questions Due for Bidder's Conference	July 18, 2008
Bidders Conference	July 24, 2008
Final Date to Submit Written Questions	July 31, 2008
Response to Written Questions and Questions Received at Bidders Conference	August 18, 2008
Proposal Due Date	September 15, 2008

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Contacts Pursuant to State Finance Law § 139-j and 139-k

DESIGNATED CONTACTS:

Pursuant to State Finance Law §§ 139-j and 139-k, the Department of Health identifies the following designated contacts to whom all communications attempting to influence this procurement must be made:

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<p>Judith Mooney Co-Director Division of Home & Community Based Services Office of Long Term Care NYS Department of Health 161 Delaware Avenue Delmar, NY 12054 518-408-1600 quality@health.state.ny.us</p>	<p>Jacqueline Pappalardi Director Division of Residential Services Office of Long Term Care NYS Department of Health 161 Delaware Avenue Delmar, NY 12054 518-408-1600 quality@health.state.ny.us</p>

Permissible Subject Matter Contacts:

Pursuant to State Finance Law § 139-j(3)(a), the Department of Health also identifies the following allowable contacts for communications related to the following subjects:

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RFP Release Date:

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Submission of written Proposals or bids:

Priscilla Davis, Megan Feith, Sarah van Leer

Submission of Written Questions:

Megan Feith

Participation in the Pre-Bid Conference:

Priscilla Davis, Megan Feith

Debriefings:

Peter Farr, Mark Brownell, Sarah van Leer

Negotiation of Contract Terms after Award:

Peter Farr, Mark Brownell, Sarah van Leer

For further information regarding these statutory provisions, see the Lobbying Statute summary in Part F of this solicitation.

Schedule of Events

Issuance of RFP	July 7, 2008
Questions for Bidders' Conference Due	July 18, 2008
Registration for Bidders' Conference required by	July 18, 2008
Bidders' Conference <i>161 Delaware Avenue, Delmar, New York Commencing at 2:00 PM</i>	July 24, 2008
Letter of Interest to Submit Due	July 18, 2008
Final Date for Submission of Questions	July 31, 2008
Response to Questions Published	August 18, 2008
Proposals Due	September 15, 2008
Anticipated Contractor Selection	October 15, 2008
Anticipated Contract Start Date	January 1, 2009

Abbreviations and Acronyms Used in this Document

The following table lists definitions for abbreviations used throughout this document.

ACF	Adult Care Facility
ACO	ASPEN Central Office
ACTS	ASPEN Complaint/Incident Tracking System
ADHCP	Adult Day Health Care Program
AH	Adult Home
ALP	Assisted Living Program
ALR	Assisted Living Residence
APS	Adult Protective Services
ASC	Ambulatory Surgery Center
ASE	ASPEN Surveyor Explorer
BACFQS	DHCBS Bureau of Adult Care Facility Quality & Surveillance
BHHCS	Bureau of Home Health Care Services
BIA	Brain Injury Association
BID	Twice A Day
BPM	DOH Bureau of Project Management
ASPEN	Automated Survey Processing Environment
CAH	Care at Home
CCIP	Centralized Complaint Intake Procedure
CFR	Code of Federal Regulations
CHHA	Certified Home Health Agency
CMS	Centers for Medicaid and Medicare Services
CORF	Comprehensive Outpatient Rehabilitation Facility
CPAP	Continuous Positive Airway Pressure
CPI-W	Consumer Price Index for urban Wage Earners and Clerical Workers
CPR	Cardio Pulmonary Resuscitation
CPS	Child Protective Services
CPB	Consumer Protection Board
CSCIC	Cyber Security and Critical Infrastructure Coordination
D&TC	Diagnostic and Treatment Center
DAL	Dear Administrator Letter
DBA	Doing Business As
DLA	DOH Division of Legal Affairs
DNR	Do Not Resuscitate
DD	Developmentally Disabled
DHCBS	OLTC Division of Home & Community Based Services
DOH	New York State Department of Health
DOHM	Department of Health Memorandum
DSS	New York State Department of Social Services
DTF	New York State Department of Taxation & Finance
D&TC	Diagnostic and Treatment Center
EALR	Enhanced Assisted Living Residence
ECU	DOH Executive Clearance Unit

ED	Emergency Department
EHP	Enriched Housing Program
ESRD	End Stage Renal Disease
FOIL	Freedom of Information Law
FSES/BC	Fire Safety Evaluation System/Board and Care
FSES/HC	Fire Safety Evaluation System/Health Care
FTE	Full Time Equivalent
GBL	New York State General Business Law
HCBS	Home and Community Based Services
HCC	Home Care Curriculum
HCCC	Home Care Core Curriculum
HCSA	Home Care Services Agency
HHATP	Home Health Aide Training Program
HIV	Human Immunodeficiency Virus
HRA	New York City Human Resource Administration
HIPAA	Health Insurance Portability and Accountability Act
HPN	Health Provider Network
ICF	Intermediate Care Facility
ICF/DD	Intermediate Care Facility for the Developmentally Disabled
ICF/MR	Intermediate Care Facility for the Mentally Retarded
IPRO	Island Peer Review Organization
IPPB	Intermittent Positive Pressure Breathing
LDSS	Local Department of Social Services
LHCSA	Licensed Home Care Services Agency
LLHCSA	Limited Licensed Home Care Services Agency
LPN	Licensed Practical Nurse
LTHHCP	Long Term Home Health Care Program
M/C	Management/Confidential
MARO	DOH Metropolitan Area Regional Office
MOU	Memorandum of Understanding
N/POC	Notice/Plan of Correction
MR	Mentally Retarded
MSW	Masters Degree Social Worker
NFPA	National Fire Protection Association
NHTD	Nursing Home Transition and Diversion
NOC	Notice of Correction
NYCRR	Official Compilation of New York State Codes, Rules and Regulations
NYPORTS	New York Patient Occurrence and Tracking System
NYSED	New York State Education Department
OBQI	Outcome Based Quality Improvement
OBQM	Outcome Based Quality Management
ODIE	Online Data Input and Edit Subsystem
OFCS	New York State Office of Family and Children Services
OHIP	DOH Office of Health Insurance Programs
OHSM	DOH Office of Health Systems Management
OLTC	DOH Office of Long Term Care
OMH	New York State Office of Mental Health

OMM	DOH Office of Medicaid Management
OMRDD	New York State Office of Mental Retardation and Developmental Disabilities
OPD	DOH Office of Professional Discipline
OPMC	DOH Office of Professional Medical Conduct
OPT	Out Patient Therapy
OSC	New York State Office of the State Controller
PCA	Personal Care Aide
PHC	Public Health Council
PHL	New York State Public Health Law
POC	Plan of Correction
QA	Quality Assurance
Q&S	Quality & Surveillance
PSR	Program Survey Report
QAP	Quality Assurance Plan
QD	Once A Day
QIP	Quality Improvement Project
Q-OP	Questionable Operations
QUIP	Quality Incentive Payment Program
RA	Residence for Adults
RCA	Resident Care Aide
RFP	Request for Proposals
RHCF	Residential Health Care Facility
RO	DOH Regional Office
RN	Registered Professional Nurse
S&C	Survey and Certification
SED	New York State Education Department
SDSS	New York State Department of Social Services
SFL	New York State Finance Law
SMQT	Surveyor Minimum Qualification Test
SNALR	Special Needs Assisted Living Residence
SOD	Statement of Deficiencies
SSI	Supplemental Security Income
SOM	State Operations Manual
SSL	New York State Social Services Law
STL	New York State Technology Law
TBI	Traumatic Brain Injury
TENS	Transcutaneous Electrical Nerve Stimulator
TPN	Total Parenteral Nutrition
UCTS	Uniform Complaint Tracking System
UCA	Under Contract Arrangement
UR	Utilization Review
VRE	Vancomycin-Resistant Enterococcus
VRA	Vendor Responsibility Attestation
VRQ	Vendor Responsibility Questionnaire

Definitions of Terms Used in this Document

The following definitions and descriptions apply to this RFP and to any contract awarded pursuant to this RFP. If a different definition to a term described in this section appears in some other section of this RFP, or a term described in this section has some other meaning in general usage, the definition in this section shall control.

“Bid.” A Proposal under this RFP.

“Bidder.” A person or entity which has submitted a bid or Proposal to the Department in response to this RFP.

“Component.” One of the two separate and distinct parts of this RFP. Details of the two Components are in Part C of this RFP.

“Contractor.” A person or entity to which a contract under this or another RFP has been awarded and signed.

“Department.” The New York State Department of Health.

“Full time equivalent (FTE).” A year of work effort. For purposes of bidding on this RFP, 1 FTE = 1800 hours. (37.5 hours per week x 52 weeks, minus a total of 150 hours per calendar year for vacation, holidays, illness and other reasons.)

“Home Care.” When used in this RFP this term includes the services provided by a licensed home care services agency, a certified home health agency, a long term home health care program, a hospice, a limited licensed home care services agency, and any provider providing services under a Medicaid waiver related to home and community based care.

“Official Compilation of Codes, Rules and Regulations (NYCRR).” The compilation of New York State Department and agency codes, rules and regulations maintained by the Secretary of State and published by the Department of State of the State of New York, pursuant to the New York State Constitution and the authority of Section 103 of the Executive Law of the State of New York.

The Official version of the NYCRR is maintained by the Department of State. Information may be obtained at the Department of State NYCRR page at <http://www.dos.state.ny.us/info/nycrr.htm>.

An unofficial version of Title 10 of the NYCRR may be found at the Department’s website at <http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm>.

An unofficial version of Title 18 of the NYCRR may be found at the Department's website at <http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm>.

"Proposal." A bid submitted by a Bidder for one of the Components described in this RFP.

"Public Health Law (PHL)." The official text of the New York State Public Health Law as certified by the Speaker of the Assembly and the Temporary President of the Senate as the text of such law entitled to be read into evidence, and as of the date of the release of this RFP, published by Thomson/West.

A public text of the PHL is maintained by the New York State Legislature and may be accessed by connecting to the following website: <http://public.leginfo.state.ny.us/menuf.cgi> and selecting "Laws of New York" and then "PBH Public Health."

"Quality improvement plan." The detailed written plan to be implemented by a Contractor selected pursuant to this RFP, for monitoring, measuring and improving the quality, timeliness, and effectiveness of the Contractor's performance with regard to the quality, quantity and timeliness of deliverables under its contract. See Section D of this RFP for additional details.

"RFP." As used in this document "RFP" means a New York State request for Proposal bearing RFP No. 0802151214 and for which Proposals are due to the Department on September 15, 2008, at 4:00 pm.

"Social Services Law (SSL)." The official text of the New York State Social Services Law as certified by the Speaker of the Assembly and the Temporary President of the Senate as the text of such law entitled to be read into evidence, and as of the date of the release of this RFP, published by Thomson/West.

A public text of the SSL is maintained by the New York State Legislature and may be accessed by connecting to the following website: <http://public.leginfo.state.ny.us/menuf.cgi> and selecting "Laws of New York" and then "SOS Social Services"

"State." The State of New York.

"State Finance Law (SFL)." The official text of the New York State Finance Law as certified by the Speaker of the Assembly and the Temporary President of the Senate as the text of such law entitled to be read into evidence, and as of the date of the release of this RFP, published by Thomson/West.

“Unit, Unit Activity, Unit of Service.” The individual tasks and activities comprising each of the Components of this RFP. The Bidder shall submit a bid price for each of the Units in any Component upon which the Bidder submits a Proposal. The Units are detailed in Part C of this RFP.

A. INTRODUCTION

This document is a request by the New York State Department of Health (hereafter referred to as the Department) for Proposals from qualified organizations to conduct quality assurance activities, including but not limited to, surveillance and complaint intake and investigation.

This Request for Proposal (RFP) seeks one or more Contractors to conduct the quality assurance Components described below. The Contract for each Component is to be awarded for a term of one year and will be renewable on an annual basis for up to four additional years, subject to the Department's need for the services, acceptable performance by the Contractor and the availability of funds for each additional year. The Contract will have an anticipated start date of January 1, 2009, with full assumption of all quality assurance activities no later than April 1, 2009, for a new Contractor, and full operation on the start date if a Contract is awarded to a Contractor performing similar activities under contract to the Department as of July 7, 2008.

The two Components of this RFP are:

COMPONENT 1 – Quality Assurance for Nursing Homes, Intermediate Care Facilities, Home Care Services Agencies and Adult Care Facilities.

The following activities and program areas are included in Component 1. The Bidder should note while a contract will be awarded that includes all of the following activities, the Department may choose not to require the successful Contractor to perform all of these activities. The award of a contract for these activities does not include a right for the successful Contractor to be the exclusive provider of the services described below.

- Adult Day Health Care Program Survey
- Adult Care Facility Complaint Investigation Survey
- Adult Care Facility Survey
- Assisted Living Program Complaint Investigation
- Assisted Living Program Survey
- Assisted Living Residence Licensure Activities
- Assisted Living Residence Survey
- Home Care Complaint Investigation
- Intermediate Care Facility for Developmentally Disabled Certification
- Intermediate Care Facility for Mentally Retarded Complaint Investigation
- Intermediate Care Facility for Mentally Retarded Survey
- Licensed Home Care Services Agency Licensure Activities
- Licensed Home Care Services Agency Survey
- Nursing Home Complaint Investigation (off-site investigation and resolution)
- Nursing Home Complaint Investigation (on-site survey)
- Nursing Home Survey

- Complaint intake for
 - Care at Home Medicaid Waiver program
 - Long Term Home Health Care Medicaid Waiver program
 - Nursing Home Transition and Diversion Medicaid Waiver program
 - Traumatic Brain Injury Medicaid Waiver program
 - Adult Day Health Care Program
 - Adult Care Facility Complaint Intake
 - Assisted Living Program Complaint Intake
 - Home Care Complaint Intake
 - Hospice Complaint Intake
 - Intermediate Care Facility for Mentally Retarded Complaint Intake
 - Nursing Home Complaint Intake

COMPONENT 2 – Quality Assurance for Hospitals and Diagnostic and Treatment Centers. The following activities and program areas are included in Component 2. The Bidder should note while a contract will be awarded that includes all of the following activities, the Department may choose not to require the successful Contractor to perform all of these activities. The award of a contract for these activities does not include a right for the successful Contractor to be the exclusive provider of the services described below.

- Diagnostic & Treatment Center Complaint Intake
- Diagnostic & Treatment Center Complaint Investigation
- Diagnostic & Treatment Center Survey
- Diagnostic & Treatment Center Complaint Resolution
- Diagnostic & Treatment Center New York Patient Occurrence and Tracking System Investigation
- Diagnostic & Treatment Center New York Patient Occurrence and Tracking System Review
- Hospital Complaint Intake
- Hospital Complaint Investigation / Survey
- Hospital Complaint Resolution
- Hospital New York Patient Occurrence and Tracking System Investigation
- Hospital New York Patient Occurrence and Tracking System Review
- Targeted Surveillance Team

Bidders may bid on one or both of these quality assurance Components. Bidders must bid on an entire Component. Each Component will be bid on a Unit price basis. The various Units for each Component are described in detail in Part C of this RFP. A bid on Component 1 must include a price on all of the Units listed in the detailed specifications for Component 1 in Part C, Section 3, of this RFP. Component 1 includes Unit #s 1 through 44 inclusive.

A bid on Component 2 must include a price on all of the Units listed in the detailed specifications for Component 2 in Part C, Section 4, of this RFP. Component 2

includes Unit #s 45 through 51 inclusive. If a Bidder is submitting a Proposal for both Components 1 and 2, each Component must be submitted separately.

The specific quality assurance activities associated with each of the above general program areas are described in detail in Part C, Detailed Specifications, of this RFP. Specifics on Proposal requirements, instructions to Bidders and criteria to be used to chose the selected Bidder are outlined in Part D, Proposal Requirements and Part E, Method of Award.

The Department maintains oversight for compliance with State and (under contract with the Centers for Medicare and Medicaid Services (CMS) federal Medicare health and safety standards for continuing care providers (including hospitals, nursing homes, certified health care agencies (CHHAs), end-stage renal disease (ESRD) facilities, hospices, and other facilities serving Medicare and Medicaid beneficiaries. The Department also maintains oversight for compliance with State standards for adult care facilities (ACFs), including assisted living residences (ALR) and assisted living programs (ALP), and licensed home care services agencies (LHCSAs) not requiring federal certification. The Department also makes information about all of these activities available to beneficiaries, providers/suppliers, researchers and State surveyors.

New York State completes survey inspections on every nursing home on an annual basis. Other providers are surveyed on schedules that range from once annually to once every three years. Each of these surveys, whether mandated by the Department's contract with CMS for Medicare and Medicaid compliance or by State regulation of facilities that are not subject to federal requirements, involves the following four issues:

Identifying Potential Participants – Identifying those facilities that require a federal or State survey and on what schedule the survey is required.

Conducting Investigations and Fact-Finding Surveys – Verifying how well the health care entities and residential facilities comply with the federal and / or State requirements.

Certifying and Recertifying – Determining whether entities meet federal and or State standards for participation in the programs and certifying and recertifying such programs to the appropriate Federal or State agencies.

Explaining Requirements – Advising providers, suppliers, and potential providers and suppliers about applicable federal and State requirements to enable them to qualify for participation in the programs and to maintain standards of health care and residential services consistent with State and federal regulations and other requirements.

The Department currently contracts for many surveillance activities. These contracts expire on various dates in 2007, 2008, 2009 and 2010.

Bidders are required to bid on all the quality assurance activities described in a Component of this RFP. Each Bidder must submit a single Proposal addressing each Unit of the Component and including Unit prices for all of the Units described in a Component as well as hourly rates for the listed hourly activities and personnel. Notwithstanding that Bidders must bid on every Unit of a Component of this RFP in order to be eligible for a contract, the Department reserves the right not to use the Contractor's staff to conduct one or more of the Unit activities described in this RFP.

B. BACKGROUND.

State and federal law and State regulations impose a variety of standards on how the State assures quality care and outcomes for residents of adult care facilities and patients of a variety of health care providers.

The following programs are included in the services for which the Department seeks a Proposal for Component 1 under this RFP. Detailed descriptions of the Units are in Part C, Detailed Specifications, Section 3, of this RFP.

Adult Day Health Care Programs

Adult day health care programs (ADHCP) are operated by a nursing home and located onsite at the nursing home or at an approved extension site. ADHCP provides health care services and activities to a group of persons, who are not residents of a residential health care facility, but are functionally impaired and not homebound, require supervision, monitoring, preventive, diagnostic, therapeutic, rehabilitative or palliative care services but do not require continuous 24-hour-a-day inpatient care. ADHCP services maintain participants' health status and enable them to remain in the community. Required services include nutrition, ongoing resident health assessment, coordinated care planning, case management and other health care services.

There are 168 ADHCPs operating in New York. ADHCPs are governed by regulations at 10 NYCRR Parts 425 and 759, and the relevant portions of regulations in 10 NYCRR Part 415.

The Department is responsible for quality assurance through onsite surveys and complaint investigations.

Adult Care Facilities

Adult care facilities (ACFs) provide long-term, non-medical, residential care and services to adults who are unable to live independently. Three types of ACFs are regulated by the Department. These are adult homes (AHs), enriched housing programs (EHPs) and residences for adults (RAs), which are operated for the purpose of providing long-term residential care to five or more adults, including, room, board, housekeeping, personal care and supervision (adult homes). EHPs more closely resemble independent housing Units, including kitchenettes, while AHs provide three congregate meals a day. RAs are generally smaller facilities and serve a population that is primarily younger adults generally in need of an array of services, including mental health services.

There are approximately 500 ACFs operating in New York State. They are governed by regulations at 18 NYCRR Subpart D, Parts 485-490, and are defined in Social Services Law (SSL) Section 2, and governed by Article 7 of the SSL.

The Department is responsible for quality assurance of ACFs through onsite surveys and complaint investigations.

Assisted Living Program

The Assisted Living Program (ALP) was established to serve individuals who are medically eligible for nursing home placement, but who are not in need of the highly structured, medical environment of a nursing facility and whose needs could be met in a less restrictive and lower cost residential setting.

ALPs are responsible for providing residents with long-term residential care, room, board, housekeeping, personal care, supervision, and providing or arranging for home health services. ALPs are required to hold dual licenses/certification as an adult home or enriched housing program and as a licensed home care services agency (LHCSA), long term home health care program (LTHHCP), or certified home health care agency (CHHA). If the ALP is licensed as a LHCSA it must contract with a CHHA for provision of skilled services (nursing, therapies) to ALP residents.

The Department is responsible for quality assurance of ALP through onsite surveys and complaint investigations.

There are 64 ALP programs providing 4016 ALP beds in New York. ALP is governed by Social Services Law (SSL) § 461-l, the provisions of Article 36 of the Public Health Law (PHL) and 10 NYCRR Part 494.

Assisted Living Residences

Assisted living residences (ALRs) are entities which provide or arrange for housing, twenty-four hour on-site monitoring, and personal care services and/or home care services (either directly or indirectly) in a home-like setting to five or more adult residents. ALRs must also provide daily food service, case management services, and the development of an individualized service plan. In order to operate as an ALR, an operator must also be certified as an ACF (i.e., adult home or enriched housing program). Additional certifications for “enhanced assisted living” (EALR) and “special needs assisted living” (SNALR) are also available to approved ALRs. EALRs are authorized to provide for “aging in place”, while SNALR certification allows an operator to advertise/market as serving individuals with special needs (e.g., dementia, cognitive impairments).

The ALR program is not yet fully operational. The regulation creating the regulatory framework necessary to implement PHL Article 46-B, was promulgated on March 28, 2008.

There are approximately 280 applications pending for ALR certification. ALR is governed by Article 46-B of the PHL and regulations at 10 NYCRR Part 1001.

Licensure of the initial rounds of ALR applicants, as well as routine surveillance of approved facilities are included in the quality assurance activities provided by the Department directly through regional offices (ROs) and central office staff.

Certified Home Health Agency Quality

A Certified Home Health Agency (CHHA) is an organization primarily engaged in arranging and/or providing, directly or through contract arrangements, one or more

of the following: nursing services, home health or personal care aide services and may also provide other therapeutic and related services which are preventive, therapeutic, rehabilitative, health guidance and/or supportive in nature to persons at home.

There are approximately 142 CHHAs in the State of New York. They are governed by Article 36 of the PHL and 10 NYCRR Parts 765 and 766 and more specifically Subpart 765-2.

The Department oversees the certification of CHHAs for Medicare. Only complaint intake related to CHHAs is included in this RFP.

Hospice Quality

Hospice is a coordinated program of home and inpatient care that treats the terminally ill patient and family as a Unit, employing interdisciplinary team approach under the direction of an autonomous hospice administration. Services may be provided in the home, a nursing home, health related facility, assisted living facility, freestanding hospice, hospital, or a hospice residence. Patients and their families receive medical, psychological and social services, bereavement and pastoral care related to the patient's terminal diagnosis, including: nursing and physician services, medical social services, nutrition counseling, and spiritual and bereavement counseling. Hospice can also provide physical, occupational and speech therapy, home health aide and homemaker services, medical supplies and appliances, and short-term inpatient care.

There are 50 hospices operating in New York State. They are governed by Article 40 of the PHL and 10 NYCRR Parts 790-794.

The Department is responsible for quality assurance through onsite surveys and complaint investigations. Only complaint intake is included in this RFP.

Intermediate Care Facility for Developmental Disabled Certification

The Department is responsible for certifying the provider agreements for 564 community-based ICFs/DD facilities, in which almost 8,200 individuals reside. Most are operated by voluntary agencies and all are licensed by the Office for Mental Retardation and Developmental Disability (OMRDD). ICFs/DD are certified for Medicaid participation by the Department of Health. Activities include evaluating certification recommendations proposed by OMRDD and monitoring Federal data systems. This program is regulated by the Code of Federal Regulations (42 CFR Part 483).

Intermediate Care Facility for Mentally Retarded Quality)

The Department is responsible for surveying and certifying large ICFs/MR operated by OMRDD. They are often referred to as developmental centers to differentiate them from the smaller, community-based ICFs/DD.

There are 15 developmental centers that provide programs and services to approximately 1,700 individuals. The operation of these programs is generally

governed by the Mental Hygiene Law, and the Department surveys these facilities under a Memorandum of Understanding (MOU) with OMRDD.

Licensed Home Care Services Agency Quality

A Licensed Home Care Services Agency (LHCSA) is an organization primarily engaged in arranging and/or providing one or more of the following: nursing services, home health or personal care aide services and may also provide other therapeutic and related services which are preventive, therapeutic, rehabilitative, health guidance and/or supportive in nature to persons at home.

There are approximately 731 LHCSAs operating out of 1041 sites in the State of New York. They are governed by Article 36 of the PHL and 10 NYCRR Parts 765 and 766 and more specifically Subpart 765-2.

The Department oversees the licensure and continued the quality of services provided by LHCSAs. The pre-opening survey and the review of a LHCSA Policy and Procedure Manual are part of the Department licensing functions that will be included in this RFP, as are surveys to determine whether a LHCSA continues to operate in compliance with Department rules and regulations.

Medicaid Waiver Programs

There are four Medicaid waiver programs for which this RFP will seek assistance in quality assurance. Quality assurance for these programs is conducted in various ways including participant assessment, survey of participants, surveillance of providers and information referral and complaint intake and investigation. This RFP seeks assistance only with Complaint Intake.

Care at Home I and II: The Care At Home Medicaid Waiver Program (CAH), operates through a 1915c Home and Community Based Services (HCBS) waiver, to give children access to Medicaid who would not be eligible otherwise and who can be cared for at home safely and at no greater cost than in the appropriate facility. CAH enrollees have access to all medically necessary Medicaid State Plan services in addition to 3 waiver services: case management, respite and home/vehicle adaptations.

The CAH Waiver currently serves 800 children. This is expected to increase to 4000 children over the next five years.

Nursing Home Transition and Diversion: The nursing home transition and diversion (NHTD) waiver provides persons with disabilities and seniors a wide array of health and other supportive community based services that complement those services available through the Medicaid State Plan, informal supports and other services, pursuant to an individual service plan. Among other requirements participants must be assessed to require nursing home level of care and capable of living in the community with the assistance of Medicaid State Plan and waiver services, informal supports and other services.

The NHTD waiver will serve at least 5,000 individuals statewide within the first three years of the program.

Long Term Home Health Care Program: The Long Term Home Health Care Program (LTHHCP), through a coordinated plan of care, provides services at home for individuals who are medically eligible for placement in a nursing home. This program diverts persons from placement in nursing homes by providing home care and waiver services that allow individuals to remain in their homes.

The LTHHCP provides services to more than 27,000 individuals Statewide. The program is governed by Article 36 of the PHL and 10 NYCRR Parts 761 through 763.

The Department is responsible for quality assurance through onsite surveys and complaint investigations.

Traumatic Brain Injury: The federal Home and Community-Based Services Medicaid Waiver for Individuals with Traumatic Brain Injury (TBI) provides the necessary services to allow persons with TBI, who would otherwise require care in a nursing home, to live in community-based settings with maximum independence. The TBI program services approximately 2100 individuals Statewide, and is expected to grow to 3000 over the next three to four years.

The Department conducts a retrospective review of a sample of all service plans, maintains a comprehensive incident reporting system and conducts on-site surveillance of TBI waiver providers.

Nursing Home Quality

Nursing homes provide 24-hour nursing care and supervision outside of a hospital. All nursing homes must provide certain basic services and some homes provide special care for certain types of clients.

Although most nursing home residents are age 65 and over, these facilities are being used more often to care for younger individuals who require a level of care that nursing homes can provide, and may not be available elsewhere. Nursing homes now care for individuals with aggressive or threatening behaviors, HIV/AIDS, substance abuse problems, conditions that require the use of a ventilator, TBIs, and other conditions.

Most nursing homes now provide some level of short-term rehabilitation services for individuals who have recently had surgery in a hospital or have experienced a health episode that requires rehab within a 21-day timeframe. Some facilities have implemented specialized programs and Units to address specific populations. In addition, several facilities in the state now provide services to pediatric individuals (age 21 and under). Seven pediatric specialty facilities exist in New York State.

There are approximately 650 nursing homes in New York. These facilities are governed by Article 28 of the PHL and Department regulations at 10 NYCRR Part 415.

Pursuant to Title XVIII and Title XIX of the Federal Social Security Act and Article 28 of the PHL (§ 2803) the Department is responsible for administering the nursing home surveillance and certification program, which includes nursing home complaint investigation.

The following programs are included in the services for which the Department seeks a Proposal for Component 2 under this RFP. Detailed descriptions of the Units are in Part C, Detailed Specifications, Section 4, of this RFP.

Diagnostic and Treatment Centers

A diagnostic and treatment center (D&TC) is a medical facility with one or more organized health services not part of an inpatient hospital facility or vocational rehabilitation center primarily engaged in providing services to out-of-hospital or ambulatory patients by or under the supervision of a physician for the prevention, diagnosis and treatment of human disease, pain, injury, deformity or physical condition. D&TC providers may include primary medical care clinics as well as Ambulatory Surgery Centers (ASC), End Stage Renal Disease (ESRD) Dialysis facilities, Comprehensive Outpatient Rehabilitation Facilities (CORFs), Rural Health Clinics and Out Patient Physical Therapy (OTP).

There are 520 main D&TC sites and 1,200 sites including extension sites. The governing regulatory authority is included in 10 NYCRR Part 751.

The Department is responsible for surveying and investigating complaints for D&TCs. Survey/Complaint activities may include State reviews as well as reviews conducted as requested by CMS.

Hospital Quality

A hospital is a facility principally engaged in providing services by or under the supervision of a physician for the prevention, diagnosis or treatment of human disease, pain, injury, deformity or physical condition. A hospital may include a general hospital, public health center, diagnostic center, treatment center, dental clinic, dental dispensary, rehabilitation center other than a facility used solely for vocational rehabilitation, nursing home, tuberculosis hospital, chronic disease hospital, maternity hospital, lying-in-asylum, out-patient Department, out-patient lodge, dispensary and a laboratory or central service facility serving one or more such institutions.

There are 240 licensed hospitals in New York. This may include acute care facilities as well as Critical Access Hospitals. The governing authority is Article 28 of the PHL and 10 NYCRR Part 405.

The Department is responsible for survey activity and investigating complaints against PHL Article 28 licensed hospitals. In addition to survey and complaint

investigation, (for hospitals and D&TCs) the Department is responsible for receiving, monitoring, investigating and analyzing provider-submitted adverse events through its New York Patient Occurrence and Tracking System (NYPORTS). NYPORTS requirements are described in PHL § 2805-l and 10 NYCRR § 405.8.

C. DETAILED SPECIFICATIONS

1. Overview

On the following pages are detailed descriptions of each the two Components of this RFP and of the Units of service for each Component for which the Department is seeking a bid. On each "Unit Page" (in Sections 3 and 4 of this Part) the Bidder will find the following information:

- a. The Number of the Unit of Service (hereafter "Unit");
- b. The Program of which the Unit is a part;
- c. Name of the Unit;
- d. Statutes and/or regulations governing the program of which the Unit is a part;
- e. Brief description of the Unit;
- f. Type of Contractor staff required to complete the Unit;
- g. Minimum qualifications of Contractor staff required;
- h. Preferred qualifications of Contractor staff, if any;
- i. Required Contractor staff certifications, if any;
- j. Location(s) where the Unit will be performed;
- k. The standard of performance for completing the Unit. The Bidder must consult the standard in developing the Unit price because the Contractor will be held to the standard in order to be paid for any Units claimed;
- l. Any additional requirements related to the specific Unit;
- m. A summary of Contractor staff training requirements specific to the Unit and that are in addition to the training requirements of Part C.2.a;
- n. At what point in the process the Unit is considered complete; the time a which the Contractor may bill the Department for the Unit; and
- o. Historical information about the number of Units, the estimated number of FTEs and estimated amount of time required to complete each Unit.

In addition to the specific requirements listed on each "Unit Page" the Bidder **must use the chart in Attachment E** for information about the average number of Units of each type of service to be delivered in each year, the average number of FTEs required to complete each Unit of a particular type, the composition of any particular survey teams, and the average amount of time the Department expects the Contractor to need to complete of each Unit with the optimum number of FTEs on the Unit team. The Bidder must bid each Unit in a Component as if the Bidder is fielding the complete team as described in the Chart, with no State staff participating in the activity. Payment terms for teams that contain fewer than a full complement of Contractor staff are described in Part F, Section 7 of this RFP.

2. General Specifications.

All of the terms of this Section (C.2) apply to both Component 1 and Component 2 and must be taken into account by all Bidders.

a. Training

All Contractor staff performing Units under any contract resulting from this RFP will be required to undergo any and all training required by the Department, including training required by the CMS, and may not bill separately for training activities, whether or not such training is listed in the details below. Contractor must provide documentation of the possession or completion of required training to the Department. **Bid prices per Unit shall take into account the cost of the required training and the time and travel expenses to attend required training. The contractor may not bill separately for any of the costs of training the Contractor's staff to perform Unit activities.**

CMS training is conducted in Baltimore, MD, and other locations around the country as designated by CMS. Web-based training may be conducted during the work day at any workstation to which the Contractor's staff are assigned. Department training is held in the New York State Capital Region, and other regions around the State as designated.

- i. All Contractor staff must complete the following training within six months of hire or have proof of having completed such training at the time of hire by the Contractor:
 - Web-based Principles of Documentation (12 hours) (CMS Requirement for federal surveys);
- ii. All Contractor staff performing federal surveys must complete the following training within six months of hire or have proof of having completed such training at the time of hire by the Contractor:
 - Web-based Orientation for Newly Employed Survey and Certification (S&C) Staff (2.5 hours) (CMS Requirement);
 - CMS mandated ad-hoc training opportunities, as required (approximately 10 hours annually plus travel time to Baltimore, MD, or any other location where such training may be conducted).
- iii. All Contractor staff performing federal surveys, if they have not completed this training at the time of hire, must complete the following training not later than twelve months after hire by the Contractor:
 - CMS Basic Surveyor Training (SMQT) for the type of survey being conducted by the Contractor. If a member of Contractor staff is performing more than one kind of survey, e.g., nursing home and hospital, the Contractor staff must have taken CMS Basic Surveyor Training for both nursing homes and hospitals. (5-day course held in Baltimore, MD., plus travel time – once each type of survey).

- iv. All Contractor staff specializing in Life Safety Code are required to complete the following training within six months of hire or have proof of having completed such training at the time of hire by the Contractor:
- Web-based Basic Life Safety Code – 60 hours;
 - Fire Safety Evaluation System / Health Care (FSES/HC) – 3 days;
 - Fire Safety Evaluation System / Board and Care (FSES/BC) – 3 days;
 - National Fire Protection Association (NFPA) 99 Course – 2 days
- v. All Contractor staff conducting surveys, complaint intake, complaint investigation and any tasks relating data entry to Automated Survey Processing Environment (ASPEN), or any other database, must complete the following training annually:
- Department mandated training opportunities (approximately 75 hours annually, plus travel time if any);
 - Department and any federal training related to Health Insurance Portability and Accountability Act (HIPAA) confidentiality and compliance;
 - Department Bureau & Division meetings (approximately 75 hours annually, plus travel time if any)
 - Attend the appropriate Surveillance Training Academy (approximately 15 hours annually, plus travel time, if any).
- b. Quality Assurance and Other Meetings

Contractor staff is required to attend quality assurance meetings at monthly or other intervals in various parts of the state as scheduled by the Department. The Department will determine the frequency and location of these meetings and will designate which Contractor staff must attend which meetings. Currently each survey activity has regular recurrent quality assurance meetings to review statements of deficiency (SODs), hot topics, surveyor alerts, Dear Administrator Letters (DALs) and revisions to policies and procedures. These meetings may be for other reasons as well and need not be limited to these topics.

c. Data Reporting

Each Unit for which a bid is provided must include the costs of all data entry required by the State to complete reporting, uploading and recording all data related to the activities of the Unit. No Unit will be considered complete and eligible for billing until all required data entry is completed.

All Units completed by the Contractor must be data-entered into ASPEN and any other data recording system specified by the Department, in accordance with the instructions and within the timeframes contained in the versions of the ASPEN manuals in effect when the data is entered. As of the date of the release of this RFP, the following procedures are in effect (ASPEN Manuals Version 9.1):

- i. ASPEN Central Office (ACO) Procedures Guide;
- ii. ASPEN Complaint / Incident Tracking System (ACTS) Procedures Guide;
- iii. ASPEN Survey Explorer (ASE) Procedures Guide; and
- iv. Relevant CMS and Department program-specific procedures.

These, and other manuals, are available for review at:

<https://www.gtso.com/aspenmanguide.html>. The Contractor is required to learn and use these procedures for all surveillance and complaint intake activities under any contract issued pursuant to this RFP.

d. Administrative Activities

Each quality assurance Unit that will be purchased pursuant to this RFP includes activities that may be characterized as “administration.” Administration includes activities that may not be billed separately, and the costs for certain support and supervisory personnel of the Contractor.

Typical administrative activities are described below. In calculating the cost Proposal for each of the Units in a Component, the Bidder MUST INCLUDE an allowance for administrative costs, overhead and profit. The cost Proposal for each Unit is the total payment the State will make for each Unit provided by the Contractor, including costs for administration.

The State will not make any additional payments on account of any other activities performed by the Contractor, unless (i) these activities are specifically listed in Part C.3 (Component 1) or Part C.4 (Component 2) of this RFP relating to hourly Units of service or (ii) an addendum to any contract resulting from this RFP is negotiated and approved by the Office of the State Comptroller to specifically include such additional activities.

Administrative support staff who will be used in Component 2, must be high school graduates or equivalent, and must have three years work experience. They must be computer literate and have a working knowledge of all Microsoft Office products. They must be able to type at least 25 words per minute. Supervisory support staff for Component 2 must be currently registered professional nurses in New York, with 3 to 5 year management experience. They must have clinical experience and assessment skills in the provider setting for which they will provide supervision. They must have experience in dealing with confidential information and must have basic computer skills.

All administrative support and supervisory support staff must have experience with telephone intake, have the ability to interact with a wide spectrum of persons and must be skilled writers.

Use of Support Staff:

Many Units will require the Contractor to use support staff to perform some of the functions of the Unit. Some of the Units require support staff to perform the non-professional functions of the Unit and others do not require this distinction. **The Contractor may not use Professional staff to perform non-professional functions for those Units that require the use of support staff.** Professional staff includes nurses, physicians, social workers and any other Contractor staff required to possess a State license in order to perform Unit functions. The Bidder must list in the Staffing Summary documents portion of the Technical Proposal (see Part D below) the titles, FTEs and staff qualifications of all Contractor staff who will be performing administrative activities under any contract awarded pursuant to this RFP. The costs for support staff must be included in administrative costs and taken into account in the Unit price bids.

For Component 2, all non-complaint calls received by any hospital or D&TC intake worker must be included in administrative costs and may not be billed separately,.

Use of Supervisory Staff:

While the Department will provide supervision for most Units, there are Units that will require the Contractor to provide supervision of Contractor staff. Specifically, the Bidder must take into account providing some or all supervisory activities related to all the Units in Component 2. The costs of supervision must be included in administrative costs and may not be separately billed to the Department. This does not mean that the Contractor may not bill the Department for Unit activities performed by supervisory staff. The Bidder must list in the Staffing Summary documents portion of the Technical Proposal (see Part D below) the titles, FTEs and staff qualifications of all Contractor staff who will be performing supervisory activities under any contract awarded pursuant to this RFP.

Activities which may not be billed separately from the Unit of which they are a part:

All of the activities described below are exemplary, but these and any other similar activities are considered "administration" and must be included in the Contractor's Unit price bid for each of the relevant quality assurance Units and may not be billed separately. This list is not intended to be comprehensive or all-inclusive but a demonstration of the types of activities for which the Contractor may not bill outside the Unit price:

For Complaints, some of these activities are:

Receiving, processing and closing a complaint (typically performed by Contractor support staff);
Recording a complaint in ASPEN Complaint/Incident Tracking System (ACTS), Uniform Complaint Tracking System (UCTS) or other systems;
Receiving information from a complainant;
Sending an acknowledgement letter to a complainant;
Determining the “urgency” of a complaint;
Assigning a due date to a complaint;
Assigning and scheduling an investigation;
Assigning a complaint investigation to Contractor staff for investigation;
Determining whether a complaint is to be investigated on-site, or off-site;
Linking the intake to an existing survey event record;
Creating a new event record;
Reviewing a Statement of Deficiency (SOD);
Mailing cover letter and SOD, if any, to a facility;
Recording required data, including Contractor staff time on the CMS-670;
Receiving, approving, and entering dates of Plan of Correction (POC);
Performing ‘Upload’ investigation kit (Form CMS-562);
Closing Investigation event record;
Scheduling and assigning a Follow-up (Revisit) survey to ensure the POC has been implemented;
Recording Findings;
Determining whether the investigation conclusions sustain the allegation;
Sending a letter with findings to the complainant and facility, if appropriate;
Closing an intake record;
Ensuring that all required fields are completed;
Answering miscellaneous correspondence requests, such as responding to the Department’s Executive Correspondence Unit requests;
Answering questions from providers and consumers of long term care services, the Department’s ROs, and the Department’s Public Affairs Group;
Attendance and participation in monthly Quality Assurance meetings, including preparation and research;
Handling special projects deemed necessary by the Department as they relate to the complaint process

For Surveys, some of these activities are:

Scheduling, processing and closing a licensure or recertification survey;
 Recording in ASPEN Central Office (ACO), ASPEN Surveyor Explorer (ASE) or other required systems;
 Scheduling a survey event, assigning Contractor staff, and specifying the scope of survey;
 Creating a survey event record;
 Creating a certification kit for a federal survey;
 Reviewing and issuing SOD;
 Mailing cover letter and SOD, if any, to the facility;
 Completing the certification kit / survey forms;
 Recording required data, including staff time on the Form CMS-670;
 Receiving and logging receipt of POC;
 Reviewing and approving POC;
 Uploading Certification Kit to the Online Data Input and Edit Subsystem (ODIE) system at CMS;
 Assuring all required Cert Kit fields are completed;
 Closing a survey event;
 Determining and recording a Follow-up status;
 Uploading federal certification kit;
 Closing survey event record;
 Scheduling and assigning a Follow-up (Revisit) survey to ensure the POC has been implemented;
 Answering miscellaneous correspondence requests, such as responding to the Department's Executive Correspondence Unit requests,
 Answering questions from providers and consumers of long term care services, the Department's ROs, and the Department's Public Affairs Group;
 Attendance and participation in monthly Quality Assurance meetings, including preparation and research;
 Handle special projects deemed necessary by the Department as they relate to the surveillance process;

For management of a Contract, some of the activities are:

Creating a claim or voucher under the contract;
 Attending meetings with the Department related to the contract;
 Travel expenses related to the contract or any Unit under the contract;
 Telephone calls, photocopies, postage or any other expenses related to the contract.

e. Work Load Projections and Work Requirements

An estimate of the number of surveys, complaint investigations and complaint intake activities that must be completed annually is provided in the chart annexed (Attachment E). To assure consistency in the preparation of the Technical and Cost Proposals, please refer to the chart, as well as the detailed specifications in Section C.3 (Component 1) and C.4 (Component 2) of this RFP, for information necessary to complete the bid on each Unit of each Component.

These workload projections are based upon information available at the time of the RFP issuance. These may change based upon review findings, changes in priorities, changes in the health care system, etc. The workload estimates are being provided to assist the Bidder in the development of its Technical and Cost Proposal for each Component and should be used by the Bidder to:

- i. estimate the personal resources necessary to meet the State deliverable requirements (see Part D below and Attachment F: Technical Proposal Forms);
- ii. complete an annual work plan which will be incorporated into a "schedule of deliverables" to be included in the Technical Proposal;
- iii. set a price for each Unit and complete cost reports as requested in the cost section of the RFP (see Attachment G: Cost Proposal Forms).

The bid for the first year of the contract for each Component will be used to determine the total final bid for the competition under this RFP. See Part D, Section 3 for an explanation of how the competitive bid price will be calculated. There will be no "start up" costs associated with or allowed under this RFP. If the Bidder will need to make expenditures for start up activities, the costs for those activities must be reflected in the various Unit prices. The Contractor will not be paid separately from the Unit prices for any start up costs. The Unit prices, subject to any inflationary increase as described in Part F of this RFP, will be the same for each year of the contract.

f. Quality Improvement Project

For each year in which a Contract resulting from this RFP is in effect, the Contractor, jointly with the Department, the Contractor will develop a Quality Improvement Project (QIP) and a work plan and deliverable schedule for implementing such project. The QIP is designed to improve performance in one or more of the areas in which the Contractor is providing services, such as surveys, complaint investigations or document reviews. The annual QIP should be designed to improve efficiency, timely performance and/or cost savings and may be designed to improve outcomes for

residents/patients/consumers. The QIP is different from the Quality Assurance Plan described Part D, Section 2, Paragraph j.

The Department, in consultation with the Contractor will determine the subject of each year's QIP, as part of that year's schedule of deliverables. The QIP could focus on one or more of the following activities:

Ensure staff are appropriately credentialed and possess the prerequisite knowledge and skills to effectively work as part of a team and/or independently;

Produce cost savings for the State by identifying and introducing efficiencies into Contract processes; or

Improve resident outcome through the use of the quality processes under the Contract.

Among the activities expected of the Contractor will be to plan a timeline to implement and maintain the annual QIP. The timeline must include performance standards, measures and interventions for monitoring staff and QIP progress and accomplishments.

The selected Contractor will not receive additional payment for the development and implementation of these QIPs, and the cost must be included in the Unit prices provided.

g. Other Activities Required by the Department

In addition to the services described in Sections C.3 (Component 1) and C.4 (Component 2), additional unanticipated activities may be required by the Department as they relate to the Units covered in each Component.

In order to allow the Department and the Contractor for each Component to negotiate a fair price for these unanticipated activities, the cost Proposal must include a price list for the various personal services required for these types of activities, including hourly rates for nurses, social workers, supervisor nurses, telephone operators and other personnel who perform activities included in the Units for each Component.

These prices, as well as the Bidder's agreement to conduct these activities, will become part of the final contract for each Component and will be part of the evaluation process. See Attachment E, Data Chart, for the workload estimates to be used by the Bidder for each Component to arrive at the bid for this activity.

h. Start-Up Plan

A detailed start-up plan is required as part of the Technical Proposal for each Component. The start-up plan for each Component shall include all activities the Contractor will undertake to implement the quality assurance activities within 90 days of the award. This could include notifying providers, hiring staff, and establishing an office in New York State where necessary. The Contractor may not charge additional costs in connection with start up activities.

i. Travel expense

The Contractor must include in its Unit prices for each Component the cost of travel, including routine commutation if the Bidder reimburses its staff for such expenses, such as for training and/or offsite meetings required by the Department, or other travel required by the terms of any contract awarded pursuant to this RFP.

The Contractor should account for the costs of travel and mileage based on the allowable costs of reimbursement as apply to New York State Management/Confidential (M/C) employees. These limitations, including the current available rates, may be found by accessing the following web site: <http://osc.state.ny.us/agencies/travel/travel.htm>. Per diem rates are established by the federal government and must be in accordance with Office of State Comptroller rates. Mileage allowances should be calculated at the standard rates published by the Office of the State Comptroller at the same web site.

j. Other Information

- i. In order to facilitate the provision of the services purchased under each Component of this RFP, the Department will provide the following at no charge to the successful Contractor for each Component:
 - ✓ Office space for Contractor staff at the Department's appropriate ROs or in the Central Office in the Capital Region of New York;
 - ✓ Office furniture;
 - ✓ Office supplies;
 - ✓ Communications equipment and services, including telephones, fax machines, personal computers and printers; and
 - ✓ Computer support services.
- ii. The Bidder must supply the requested information about all who will be performing activities under any contract awarded under this RFP. The successful Contractor will coordinate with the

Department for the assignment of such staff to functions and locations throughout the State. The final decision about the location and function to which Contractor staff are assigned is with the Department, in consultation with the Contractor.

3. **COMPONENT 1 – Quality Assurance for Nursing Homes, Intermediate Care Facilities, Home Care Services Agencies and Adult Care Facilities.** The Bidder submitting a Proposal for Component 1 must provide a price for each of the following Unit #s 1 through 44. The prices are to be entered on Cost Proposal Forms for Component 1. See Attachment G. Further instructions for how to submit a Proposal for this Component are contained in Part D of this RFP. Please note that for each Unit and the Data Chart (Attachment E), the hours listed are the total hours the Department estimates are needed to complete the activity, not the number of hours each staff member assigned to the activity will need to commit to the activity.

Each of the teams described in each of Units may include one or more State staff as a Component. The Bidder must bid a price for the complete Unit as if all of the activities were performed by Contractor staff and none of the activities by State staff. Information about how the Contractor will be paid for Units that use both Contractor and State staff, are included in Part F, Administration, Section 7, Payment. In addition, each Unit lists the type and qualifications of Contractor staff that will perform the activity of the Unit, however, the Unit activity may not require the involvement of all the staff listed. Bidder should examine the requirements for each Unit and submit a bid that is a fair price for the activity, while understanding that the final composition of all teams performing Unit activities is subject to the approval and needs of the Department.

The Contractor must also provide all of the information describe in Part D of this RFP for each Unit.

UNIT DESCRIPTIONS BEGIN ON THE NEXT PAGE OF THIS RFP. THE REST OF THIS PAGE IS INTENTIONALLY BLANK.

a. Units of Service 1 through 44

Unit # 1					
Adult Day Health Care Program Quality Activities					
Name of the Unit	Desk Audit				
Statutes and/or Regulations -- General Governance	10 NYCRR Part 425 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 759 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 415 – long term care sections http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Desk audit annually, utilizing the PSR (Program Survey Report); Full on-site survey once every three years.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian or sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Throughout New York State. Current Contractor operates out of New York City and Syracuse.				
Reference Location to the Standard for the Unit	10 NYCRR Parts 425 and 759; Relevant portions of 10 NYCRR Part 415. See Attachment 1 to this RFP.				
Additional Requirements	SMQT certification required within 12 months after date of hire.				
Staff Training Requirements	No additional.				
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR				

Unit # 1	
Adult Day Health Care Program Quality Activities	
Name of the Unit	Desk Audit
	(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.
Historical Information	168 per year; One surveyor per audit; 10 hours per audit on average.

Unit # 2					
Adult Day Health Care Program Quality Activities					
Name of the Unit	Survey				
Statutes and/or Regulations -- General Governance	10 NYCRR Part 425 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 759 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 415 – long term care sections http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Desk audit annually, utilizing the PSR (Program Survey Report); Full on-site survey once every three years.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Throughout New York State. Current Contractor operates out of New York City and Syracuse.				

Unit # 2	
Adult Day Health Care Program Quality Activities	
Name of the Unit	Survey
Reference Location to the Standard for the Unit	10 NYCRR Parts 425 and 759; Relevant portions of 10 NYCRR Part 415 See Attachment 2 to this RFP.
Additional Requirements	SMQT certification required within 12 months after date of hire
Staff Training Requirements	No additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	Approximately 60 on-site surveys per year 1 or 2 surveyors per survey 75 hours per survey on average

Unit # 3					
Adult Day Health Care Program Quality Activities					
Name of the Unit	Complaint Investigation				
Statutes and/or Regulations -- General Governance	10 NYCRR Part 425 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 759 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 415 – long term care sections http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Contractor will be responsible for investigating complaints against adult day health care programs.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Throughout New York State. Current Contractor operates out of New York City and Syracuse.				

Unit # 3	
Adult Day Health Care Program Quality Activities	
Name of the Unit	Complaint Investigation
Reference Location to the Standard for the Unit	10 NYCRR Parts 425 and 759; Relevant portions of 10 NYCRR Part 415. See Attachment 3 to this RFP.
Additional Requirements	SMQT certification required within 12 months after date of hire.
Staff Training Requirements	No additional.
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	No more than 12 complaints requiring investigation are anticipated per year Bidder shall assume the same number of investigators and time frames as are assumed for nursing home complaint investigation in Unit 33 below.

Unit # 4	
Adult Day Health Care Program Quality Activities	
Name of the Unit	Complaint Intake
Statutes and/or Regulations -- General Governance	10 NYCRR Part 425 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 759 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 415 – long term care sections http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Receive complaints by telephone, by regular mail, by email, or by any other means. Prioritize and monitor complaint investigation and resolution.
Type of Staff	Nurse or other trained person.
Minimum Qualifications	High school graduate.
Preferred Qualifications	None.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Current Contractor operates out of New York City and Syracuse.
Reference Location to the Standard for the Unit	10 NYCRR Parts 425 and 759; Relevant portions of 10 NYCRR Part 415. See Attachment 4 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The complaint is opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation.
Historical Information	Fewer than 12 complaints per year are anticipated. One Complaint Intake Surveyor per complaint. Bidder shall assume the time estimates for nursing home complaint intake (Unit 41 below) when bidding this Unit.

Unit # 5					
Adult Care Facility Quality Activities					
Name of the Unit	Complete Inspection – ACF, ALR, SNALR				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Survey of ACF and ALR (including ALP beds, but not EALR). The scope generally includes a comprehensive review of resident rights, resident financial accounts, dietary, medication and case management activities, maintenance, and a review of compliance with sanitary and safety codes, and will be the same for all these facilities.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
Minimum Qualifications	Nurse (RN) Currently registered; One year survey experience.	Nutritionist Currently Registered dietitian; 3 years experience; 1 year public health experience.	Sanitarian 30 credit hours natural sciences; 2 years field inspection experience.	Surveyor/MSW Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Surveyor/BA Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 5					
Adult Care Facility Quality Activities					
Name of the Unit	Complete Inspection – ACF, ALR, SNALR				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in the Metropolitan Area RO (MARO) (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Inspection Process. See Attachment 5 to this RFP.				
Additional Requirements	None additional.				
Staff Training Requirements	None additional.				
Unit is Complete When	<p>The first of the following events occurs:</p> <p>(1) The facility is found to be in substantial compliance at the time of the survey; OR</p> <p>(2) An SOD not requiring a POC is issued to the facility; OR</p> <p>(3) An acceptable POC is received by the Department; OR</p> <p>(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.</p> <p>If a revisit survey is required, this unit is complete when the revisit survey is scheduled.</p>				
Historical Information	451 Surveys per year combined; 96.75 total hours per inspection; Team of 4 surveyors per inspection.				

Unit # 6					
Adult Care Facility Quality Activities					
Name of the Unit	Complete Inspection EALR				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugtf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugtf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Survey of EALR. A joint survey conducted by both ACF surveyors and Home Care surveyors. These are currently being piloted. One or more members of a survey team may be State staff. These surveys are expected to take more time than the standard survey of an ACF because of the added clinical component of surveying the Home Care agency along with the ACF. It is expected that the final requirements of EALR inspection will be somewhat different from other ACF inspections because of aging-in-place issues. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. RFP No. 0802151214 Issue Date July 7				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 6					
Adult Care Facility Quality Activities					
Name of the Unit	Complete Inspection EALR				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	The standard is under development. Contractor shall use the same standard as is applied to the survey of an ACF with ALP beds (Unit 5 above) in developing its bid for this Unit. See Attachment 6 to this RFP.				
Additional Requirements	See Historical Information below.				
Staff Training Requirements	None additional.				
Unit is Complete When	<p>The first of the following events occurs:</p> <p>(1) The facility is found to be in substantial compliance at the time of the survey; OR</p> <p>(2) An SOD not requiring a POC is issued to the facility; OR</p> <p>(3) An acceptable POC is received by the Department; OR</p> <p>(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.</p> <p>If a revisit survey is required, this unit is complete when the revisit survey is scheduled.</p>				
Historical Information	<p>This is new program which will have its first surveys in 2009. Based on experience with ALP and ACF there will be:</p> <p>89 surveys per year;</p> <p>Each taking approximately 104.5 hours; and</p> <p>A team of 5 surveyors. At least 2 ACF surveyors will participate in each survey. In addition, at least one Home Care surveyor will participate in EALR surveys.</p>				

Unit # 7					
Adult Care Facility Quality Activities					
Name of the Unit	Partial ACF Inspection, including ALR, EALR, SNALR				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Any survey other than a complete survey of a facility. "Partial Inspections" include a review of facility operations in a specific, pre-selected area. Depending on the need, other inspection components may be added at the discretion of the RO. "Summary Inspections" are shortened inspections that focus on key regulatory provisions in all areas of ACF operations. Checklists are utilized only for the specific regulations of concern.				
Type of Staff	Survey teams are multidisciplinary and include one or more surveyors selected from the list below by the Department. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 7					
Adult Care Facility Quality Activities					
Name of the Unit	Partial ACF Inspection, including ALR, EALR, SNALR				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Inspection Process. See Attachment 7 to this RFP.				
Additional Requirements	None additional.				
Staff Training Requirements	None additional.				
Unit is Complete When	<p>The first of the following events occurs:</p> <p>(1) The facility is found to be in substantial compliance at the time of the survey; OR</p> <p>(2) An SOD not requiring a POC is issued to the facility; OR</p> <p>(3) An acceptable POC is received by the Department; OR</p> <p>(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.</p> <p>If a revisit survey is required, this unit is complete when the revisit survey is scheduled.</p>				
Historical Information	233 annually; 41 hours each survey; 1 or 2 surveyors per survey, the number to be determined by the Department.				

Unit # 8					
Adult Care Facility Quality Activities					
Name of the Unit	ACF Complaint Intake, including ALR, EALR, SNALR and ALP				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Receive complaints by telephone, by regular mail, by email, or by any other means. Prioritize and monitor complaint investigation and resolution.				
Type of Staff	Nurse or any other trained person from the list below as selected by the Department.				
Minimum Qualifications	Nurse (RN) Currently registered; One year survey experience.	Nutritionist Currently Registered dietitian; 3 years experience; 1 year public health experience.	Sanitarian 30 credit hours natural sciences; 2 years field inspection experience.	Surveyor/MSW Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Surveyor/BA Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				

Unit # 8	
Adult Care Facility Quality Activities	
Name of the Unit	ACF Complaint Intake, including ALR, EALR, SNALR and ALP
Location(S) of Work	Complaint intake will generally occur at Central Office in the Capital Region of New York, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Complaint Process. See Attachment 8 to this RFP.
Additional Requirements	None additional.
Staff Training Requirements	None additional.
Unit is Complete When	The complaint is opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation.
Historical Information	1058 Complaints received in 2007; 1.0 hour each complaint on average; 1 complaint intake surveyor per complaint.

Unit # 9					
Adult Care Facility Quality Activities					
Name of the Unit	ACF Complaint Investigation Survey, including ALR, EALR, SNALR, ALP				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	Written or verbal complaints to the Department initiate an investigation of the facility to determine the validity of the complaint. Complaint investigations are integrated into normal inspection schedules unless the nature of the complaint warrants a prompt investigation.				
Type of Staff	Survey teams are multidisciplinary and include one or more surveyors selected from the list below by the Department. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 9					
Adult Care Facility Quality Activities					
Name of the Unit	ACF Complaint Investigation Survey, including ALR, EALR, SNALR, ALP				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Complaint Process. See Attachment 9 to this RFP.				
Additional Requirements	None additional.				
Staff Training Requirements	None additional.				
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.				
Historical Information	817 complaint investigations per year; 34.5 hours each investigation; 1 or 2 investigators per investigation survey, the number to be determined by the Department.				

Unit # 10					
Adult Care Facilities Quality Activities					
Name of the Unit	ACF Pre-opening Survey, including ALR and ALP				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	The pre-opening inspection mirrors a Complete Inspection, however, resident interviews are not conducted as the facility can not admit residents without approval from the Department on this inspection. This inspection determines the facility's compliance with regulatory requirements for the provision of medical, dietary and other resident care services. In addition, compliance with regulatory requirements for records, physical environment, equipment and personnel are reviewed. The inspection includes a complete review of facility operations utilizing the expertise of three disciplines: program, fire/safety and nutrition. Inspectors conduct extensive reviews of all regulations pertaining to a specific type facility in each operational area to ascertain the level of operator compliance with Department standards.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with

Unit # 10					
Adult Care Facilities Quality Activities					
Name of the Unit	ACF Pre-opening Survey, including ALR and ALP				
					regulations.
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	This work may occur in any of the ROs as required by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Inspection Process. See Attachment 10 to this RFP.				
Additional Requirements	No additional.				
Staff Training Requirements	No additional.				
Unit is Complete When	<p>The first of the following events occurs:</p> <p>(1) The facility is found to be in substantial compliance at the time of the survey; OR</p> <p>(2) An SOD not requiring a POC is issued to the facility; OR</p> <p>(3) An acceptable POC is received by the Department; OR</p> <p>(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.</p> <p>If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.</p>				
Historical Information	<p>Approximately 16 applications per year;</p> <p>134.5 total hours per survey;</p> <p>Team of 4 surveyors as described above, including both ACF and Home Care surveyors when the applicant is seeking ALR certification.</p>				

Unit # 11					
Adult Care Facility Quality Activities					
Name of the Unit	Questionable Operations (Q-Op) Investigation				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) (http://public.leginfo.state.ny.us/menugetf.cgi) Social Services Law Article 7 (ACF) 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) (http://public.leginfo.state.ny.us/menugetf.cgi) 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	The Department responds to complaints regarding alleged unlicensed facilities to determine whether they should be licensed and what, if any, other action to take. Contractor staff may be assigned by regional or central office staff to conduct any or all of the activities related to Q-Ops described in the standard.				
Type of Staff	A nurse and / or other trained surveyor. If more than one surveyor is assigned the team may include State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. For this survey the Contractor shall provide a price for each type of staff to complete the investigation. See Section C.2, General Conditions of this RFP for additional information.				
Minimum Qualifications	Nurse (RN) Currently registered; One year survey experience.	Nutritionist Currently Registered dietitian; 3 years experience; 1 year public health experience.	Sanitarian 30 credit hours natural sciences; 2 years field inspection experience.	Surveyor/MSW Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Surveyor/BA Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 11					
Adult Care Facility Quality Activities					
Name of the Unit	Questionable Operations (Q-Op) Investigation				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform Q-Ops investigations in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Complaint Process. Additional standards and information in Attachments 11a and 11b to this RFP.				
Additional Requirements	Contractor may be required to maintain, update and review the log of uncertified facilities quarterly, as assigned by the RO.				
Staff Training Requirements	None additional.				
Unit is Complete When	All reports and inspections required by the Department are completed.				
Historical Information	38 investigations in 2007 22.50 hours per investigation 1 investigator per investigation				

Unit # 12					
Adult Care Facility Quality Activities					
Name of the Unit	ACF Death Investigations				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	The Department inquires into the circumstances surrounding the death or attempted suicide of a resident of ACF, ALP or ALR.				
Type of Staff	A nurse and / or other trained surveyor, selected by the Department. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. For this survey the Contractor shall provide a price for each type of staff to complete the investigation. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 12					
Adult Care Facility Quality Activities					
Name of the Unit	ACF Death Investigations				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Adult Care Facility Quality and Surveillance Operations Manual – Death Investigations. Additional standards and information in Attachment 12a and 12b to this RFP.				
Additional Requirements	None additional.				
Staff Training Requirements	None additional.				
Unit is Complete When	All reports and inspections required by the Department are completed.				
Historical Information	1012 death investigations in 2007; 25 hours per investigation; 1 investigator per investigation.				

Unit # 13					
Adult Care Facility Quality Activities					
Name of the Unit	Monitoring Facility Closure				
Statutes and/or Regulations -- General Governance	Social Services Law (SSL) Section 2 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi Social Services Law Article 7 (ACF) http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR Subpart D, Parts 485-490 (ACF) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm 18 NYCRR Part 494 (ALP) http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm Public Health Law Article 46-B (ALR) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 1001 (ALR) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm				
Description	When the Department either receives a plan of closure from a facility or learns that a facility is about to close without a plan, the closure and placement of residents is monitored to assure resident safety and continuity.				
Type of Staff	Survey teams are multidisciplinary and include a nurse and / or other trained surveyor, dietitian and sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. For this survey the Contractor shall provide a price for each type of staff to complete the investigation. See Section C.2, General Conditions, of this RFP for additional information.				
	Nurse (RN)	Nutritionist	Sanitarian	Surveyor/MSW	Surveyor/BA
Minimum Qualifications	Currently registered; One year survey experience.	Currently Registered dietitian; 3 years experience; 1 year public health experience.	30 credit hours natural sciences; 2 years field inspection experience.	Bachelors degree in social work plus 30 graduate credits; OR Bachelors degree in guidance plus 2 years social work experience; OR Masters degree in guidance plus 1 year social work experience.	Bachelor's degree and 2 years experience in: a regulated health care facility; OR regulatory compliance and/or QA in a health care delivery system; OR supervision of staff that provide health related services; OR evaluating the quality of care and compliance with regulations.

Unit # 13					
Adult Care Facility Quality Activities					
Name of the Unit	Monitoring Facility Closure				
Preferred Qualifications	2 years clinical experience; Bachelors degree.			Masters degree in social work.	Master's degree in health care administration, hospital administration, or health care finance.
Required Certifications	No additional.				
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, Westchester and Rockland) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.				
Reference Location to the Standard for the Unit	Facility Closure Plan Guidelines. See Attachment 13a to this RFP.				
Additional Requirements	This Unit also includes "Facility Closures – Q-Ops." These closures are subject to the additional procedures described in Attachment 13b as well as those in the closure plan guidelines referred to above. RO may assign any or all of these functions to the Contractor.				
Staff Training Requirements	None additional.				
Unit is Complete When	All reports and inspections required by the Department are completed.				
Historical Information	13 ACF regular closures in 2007; 30 Q-Op Closures in 2007; 81 hours per closure on average. 1 surveyor from the team described above. The exact composition of each closure team will be determined by the Department at the time of the activity.				

Unit # 14	
Home Care Services Agency Quality Activities	
Name of the Unit	LHCSA Routine Operational Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Subpart 765-2 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Routine surveys include site visit(s) including interviews, observations of home visits, record reviews to assure that personnel, equipment, rules, standards of care, patient rights and grievance procedures, quality improvement processes and home care services meet statutory and regulatory standards. If the agency is the operator of a home health aide or personal care aide training program, the program will be surveyed at the same time as the operational survey.
Type of Staff	Registered professional nurse. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Registered professional nurse.
Preferred Qualifications	None additional.
Required Certifications	None additional.
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, and Westchester) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.
Reference Location to the Standard for the Unit	LHCSA Article 36 Surveillance Process; Expansion Activities; Combined Appendix. Home Health Aide Training Program (HHATP) DOHM 92-24: Home Health Aide Scope of Tasks. See Attachments 14a, 14b, 14c and 14d to this RFP.
Additional Requirements	None additional.
Staff Training Requirements	None additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) SOD is delivered to State staff for review and issuance; AND (3) all required data entry is completed. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	Approximately 200 surveys per year; 30 hours per survey on average; 2 surveyors per survey .

Unit # 15	
Home Care Services Agency Quality Activities	
Name of the Unit	LHCSA Pre-opening Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 36 http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Subpart 765-2 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	A pre-opening survey includes site visit(s) including interviews, observations of home visits, record reviews to assure that personnel, equipment, rules, standards of care, patient rights and grievance procedures, quality improvement processes and home care services meet statutory and regulatory standards. The Pre-opening survey Unit does not include policy & procedure Manual Review.
Type of Staff	Registered professional nurse. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Registered professional nurse.
Preferred Qualifications	None additional.
Required Certifications	None additional.
Location(S) of Work	Generally in MARO (specifically New York City, Long Island, and Westchester) but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.
Reference Location to the Standard for the Unit	LHCSA Article 36 Surveillance Process; Expansion Activities; Combined Appendix. HHATP DOHM 92-24 Home Health Aide Scope of Tasks. See Attachment 15 to this RFP.
Additional Requirements	None additional.
Staff Training Requirements	None additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) SOD is delivered to State staff for review and issuance; AND (3) all required data entry is completed. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	35-40 per year; 22.5 – 37.5 hours per survey; 2 surveyors per survey.

Unit # 16	
Home Care Services Agency Quality Activities	
Name of the Unit	LHCSA Policy and Procedure Manual Review
Statutes and/or Regulations -- General Governance	Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Subpart 765-2 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Every applicant must submit its policies and procedure for compliance with Article 36 and the regulations before it can open
Type of Staff	Registered professional nurse. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Registered professional nurse.
Preferred Qualifications	None additional.
Required Certifications	None additional.
Location(S) of Work	Reviews will be conducted in the Department's New York City offices for agencies located in MARO but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department.
Reference Location to the Standard for the Unit	LHCSA Article 36 Surveillance Process; Expansion Activities; Combined Appendix. HHATP DOHM 92-24 Home Health Aide Scope of Tasks. See Attachment 16 to this RFP.
Additional Requirements	This Unit is comprised of the initial review of the manual as submitted by the agency and up to two revised manual reviews, together with all correspondence between the Contractor, the applicant and the Department related to three manual reviews, and all necessary data entry into Department systems.
Staff Training Requirements	None additional.
Unit is Complete When	Initial review is complete when (1) Manual is approved or (2) Correspondence is sent to the applicant requesting additional information, and all required data entry is completed. First and second follow-up reviews are complete when (1) Manual is approved or (2) Correspondence is sent to the applicant requesting additional information, and all required data entry is completed. This Unit is also complete when an applicant has been non-responsive to three letter inquiries from the Contractor, and the Department agrees that closure of the application is appropriate.
Historical Information	80 manual reviews per year on average: 30 initial manual reviews per year; 60-80 hours per manual; 1 reviewer; 50 follow-up reviews per year; 45-50 hours per review; 1 reviewer.

Unit # 17	
Home Care Services Agency Quality Activities	
Name of the Unit	Home Care and Hospice Complaint Intake
Statutes and/or Regulations -- General Governance	Public Health Law Article 36 (Home Care Agencies) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 700 and Parts 760-766 (Home Care Agencies) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm Public Health Law Article 40 (Hospice) http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Parts 790-794 (Hospice) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	The Department licenses home care agencies including CHHAs, LHCSAs, limited LHCSAs and hospices. The Department licenses and certifies CHHAs and hospices for Medicare and Medicaid under contract with CMS. Contractor will be responsible for reviewing, triaging and processing complaints received by the Department against any home care agency licensed or certified by the Department.
Type of Staff	RN or MSW. One or more members of the team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Excellent telephone and computer operations skills.
Preferred Qualifications	No additional.
Required Certifications	No additional.
Location(S) of Work	Contractor staff will be based in the Capital Region at Central Office.
Reference Location to the Standard for the Unit	Home Health Care Complaint Investigation Policies And Procedures, Complaint Manual Draft. Home Health Hotline Orientation Document.
Additional Requirements	Complaints may be received at complaint intake by telephone, by letter, by e-mail, through an intermediary, or by any other means. All complaints must be processed as described regardless of source.
Staff Training Requirements	No additional.
Unit is Complete When	The complaint is opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation.
Historical Information	Estimated 300 complaints per year; On average 1 hour per complaint intake; 1 complaint intake worker per complaint.

Unit # 18	
Home Care Services Agency Quality Activities	
Name of the Unit	Home Care and Hospice Complaint Investigation
Statutes and/or Regulations -- General Governance	Public Health Law Article 36 (Home Care Agencies) http://public.leginfo.state.ny.us/menugctf.cgi 10 NYCRR Part 700 and Parts 760-766 (Home Care Agencies) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm Public Health Law Article 40 (Hospice) http://public.leginfo.state.ny.us/menugctf.cgi 10 NYCRR Parts 790-794 (Hospice) http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	Registered professional nurse. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Registered professional nurse.
Preferred Qualifications	None additional.
Required Certifications	None additional .
Location(s) of Work	Complaints are investigated by Contractor staff assigned to the various ROs, or dispatched from Central Office. Most of this activity takes place in MARO.
Reference Location to the Standard for the Unit	Home Health Care Complaint Investigation Policies And Procedures, Complaint Manual Draft. Home Health Hotline Orientation Document.
Additional Requirements	None additional.
Staff Training Requirements	None additional.
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	Approximately 300 complaints per year: 150 off-site investigations (generally performed in Central Office); 6 hours per investigation; 1 investigator per complaint; 150 on-site investigations (issued from the ROs); 10-12 hours per investigation; 1 investigator per complaint.

Unit # 19	
ICF/MR Quality Activities	
Name of the Unit	ICF/MR Federal Standard Survey
Statutes and/or Regulations -- General Governance	Title 1864 agreement between the State and CMS New York State Plan for Title XIX of the Social Security Act (Medicaid Agreement) 42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	The Contractor will survey ICFs/MR in accordance with the federal standard below.
Type of Staff	Registered nurse, social worker or other qualified professional staff. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with mental retardation (MR) or developmental disability (DD) facilities; Current NYS license in the profession.
Preferred Qualifications	License and current registration in a clinical career or certification in healthcare administration; survey experience; MR/DD service system experience.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Contractor will use Central Office in the Capital Region for a home base.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J. See Attachment 19 to this RFP.
Additional Requirements	None additional.
Staff Training Requirements	None additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	15 surveys per year; 240.5 hours on average; 4.75 surveyors per survey.

Unit # 20	
ICF/MR Quality Activities	
Name of the Unit	ICF/MR Life Safety Code Review
Statutes and/or Regulations -- General Governance	42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	The Contractor will survey ICFs/MR in accordance with the federal standard below.
Type of Staff	Life Safety Code Specialist or Sanitarian. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Training and/or experience in review or implementation of Life Safety Code Requirements.
Preferred Qualifications	Sanitarian; CMS Certification in Life Safety Code Review; 1 year survey experience in ICF/MR life safety code.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Contractor will use Central Office in the Capital Region for a home base.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J. See Attachment 20 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	15 reviews per year; 35.5 hours on average; 1 surveyor per review.

Unit # 21	
ICF/MR Quality Activities	
Name of the Unit	ICF/MR Extended Survey
Statutes and/or Regulations -- General Governance	CMS State Operations Manual, Appendix J. http://www.cms.hhs.gov/manuals/Downloads/som107ap_j_intermcare.pdf 42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	The Contractor will survey ICFs/MR in accordance with the federal standard below.
Type of Staff	Registered nurse, social worker or other qualified professional staff. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with MR or DD facilities; Current NYS license in the profession.
Preferred Qualifications	One year survey experience of ICF/MR facilities; license and current registration in a clinical career or certification in healthcare administration.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Contractor will use Central Office in the Capital Region for a home base.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J. See Attachment 21 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	2 surveys per year; 121.75 hours on average per survey; 3 surveyors per survey.

Unit # 22	
ICF/MR Quality Activities	
Name of the Unit	On-Site Complaint Survey
Statutes and/or Regulations -- General Governance	42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	The Contractor will survey ICFs/MR in accordance with the federal standard below.
Type of Staff	Registered nurse, social worker or other qualified professional staff. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with MR or DD facilities; Current NYS license in the profession.
Preferred Qualifications	One year survey experience of ICF/MR facilities; license and current registration in a clinical career or certification in healthcare administration.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Contractor will use Central Office in the Capital Region for a home base.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J. See Attachment 22 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	10 surveys per year; 36 hours on average per complaint survey; 1 or 2 surveyors per complaint survey.

Unit # 23	
ICF/MR Quality Activities	
Name of the Unit	Federal Revisit – Health
Statutes and/or Regulations -- General Governance	42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	The Contractor will survey ICFs/MR in accordance with the federal standard below.
Type of Staff	Registered nurse, social worker or other qualified professional staff. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with MR or DD facilities; Current NYS license in the profession.
Preferred Qualifications	One year survey experience of ICF/MR facilities; license and current registration in a clinical career or certification in healthcare administration.
Required Certifications	No additional.
Location(S) of Work	Throughout New York State. Contractor will use Central Office in the Capital Region for a home base.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J. See Attachment 23 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	20 health revisit surveys per year; 37.5 hours per health revisit survey on average; 2 surveyors per health revisit survey.

Unit # 24	
ICF/MR Quality Activities	
Name of the Unit	ICF/MR Complaint Intake and Investigation
Statutes and/or Regulations -- General Governance	42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html
Description	Contractor will be responsible for reviewing, triaging and processing consumer care and environmental complaints received by the Department against any ICF/MR, in accordance with the standard below.
Type of Staff	Registered nurse, social worker or other qualified professional staff. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with MR or DD facilities; Current NYS license in the profession.
Preferred Qualifications	One year survey experience of ICF/MR facilities; license and current registration in a clinical career or certification in healthcare administration
Required Certifications	No additional.
Location(S) of Work	Central Office in the Capital Region of New York State.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendix J See Attachment 24 to this RFP
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The complaint is timely opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation and the complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	Approximately 25 complaints investigated annually; 18 hours per complaint intake and investigation; 1 surveyor per complaint investigation.

Unit # 25	
ICF/MR Quality Activities	
Name of the Unit	ICF/DD Certification Review
Statutes and/or Regulations -- General Governance	42 CFR Part 483 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr483_07.html 42 CFR Part 442 http://www.access.gpo.gov/nara/cfr/waisidx_07/42cfr442_07.html
Description	The Department certifies provider agreements for community based ICFs/DD licensed by OMRDD.
Type of Staff	Registered nurse, social worker or other qualified professional staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Recent clinical experience with MR or DD facilities; Current NYS license in the profession.
Preferred Qualifications	One year survey experience of ICF/MR facilities; license and current registration in a clinical career or certification in healthcare administration.
Required Certifications	No additional.
Location(S) of Work	Central Office in the Capital Region of New York State.
Reference Location to the Standard for the Unit	42 CFR Part 483; 42 CFR Part 442; See Attachment 25 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	When a provider agreement is issued or denied and all data has been transmitted to CMS through ACO.
Historical Information	650 per year; 1 person; 1.25 hours each review.

Unit # 26	
Medicaid Waiver Related Quality Activities	
Name of the Unit	Complaint Intake Related to Care At Home Waivers
Statutes and/or Regulations -- General Governance	1915c of the Federal Social Security Act (42 USC § 1396n) http://uscode.house.gov/pdf/2005/2005usc42pt1.pdf NYS Social Service Law 52A; http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR (Medicaid); http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm NYS Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Contractor will be responsible for reviewing, triaging and processing complaints received by the Department on behalf of any waiver participant in accordance with standards set forth in the waiver application.
Type of Staff	RN or MSW. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Excellent telephone and computer operations skills.
Preferred Qualifications	Registered professional nurse with a bachelor's degree in nursing or a registered professional nurse with a minimum of 2 years of home care experience; Master Degree Social Worker with one year of experience with a home and community based population.
Required Certifications	No additional.
Location(S) of Work	Complaint intake will generally occur at Central Office in the capital region of New York, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	See Attachment 26 to this RFP.
Additional Requirements	Complaints may be received by telephone, by letter, by e-mail, through an intermediary, or by any other means. All complaints must be processed as described regardless of source. Staff must adhere to all NYS laws pertinent to mandated abuse reporting.
Staff Training Requirements	As offered by the Department pertinent to the waiver.
Unit is Complete When	The complaint is opened, all required data are entered into the appropriate system and the complaint is assigned for investigation.
Historical Information	Anticipated to be up to 25% of the waiver population of 800; Each intake is estimated to need 1.0 hours including any required data entry; 1 complaint intake worker per complaint.

Unit # 27	
Medicaid Waiver Related Quality Activities	
Name of the Unit	Complaint Intake Related to Long Term Home Health Care Waiver Program
Statutes and/or Regulations -- General Governance	1915c of the Federal Social Security Act (42 USC § 1396n) http://uscode.house.gov/pdf/2005/2005usc42pt1.pdf NYS Social Service Law 52A; http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR (Medicaid); http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm NYS Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Contractor will be responsible for reviewing, triaging and processing complaints received by the Department on behalf of any waiver participant in accordance with standards set forth in the waiver application.
Type of Staff	RN or MSW. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Excellent telephone and computer operations skills.
Preferred Qualifications	RN with a bachelor's degree in nursing or with a minimum of 2 years of home care experience; MSW with one year of experience with a home and community based population.
Required Certifications	No additional.
Location(S) of Work	Complaint intake will generally occur at Central Office in The Capital Region, NY, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	See Attachment 27 to this RFP.
Additional Requirements	Complaints may be received at complaint intake by telephone, by letter, by e-mail, through an intermediary, or by any other means. All complaints must be processed as described regardless of source. Staff must adhere to all NYS laws pertinent to mandated abuse reporting.
Staff Training Requirements	As offered by the Department pertinent to the waiver.
Unit is Complete When	The complaint is opened, all required data are entered into the appropriate system and the complaint is assigned for investigation.
Historical Information	Anticipated to be up to 25% of the waiver population of 27,000; Each intake is estimated to need 1.0 hours including any required data entry; 1 complaint intake worker per complaint.

Unit # 28	
Medicaid Waiver Related Quality Activities	
Name of the Unit	Complaint Intake Related to Nursing Home Transition and Diversion Waiver
Statutes and/or Regulations -- General Governance	1915c of the Federal Social Security Act (42 USC § 1396n) http://uscode.house.gov/pdf/2005/2005usc42pt1.pdf NYS Social Service Law 52A; http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR (Medicaid); http://www.health.state.ny.us/nysdoh/phforum/nycrr18.htm NYS Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Contractor will be responsible for reviewing, triaging and processing complaints received by the Department on behalf of any waiver participant in accordance with standards set forth in the waiver application.
Type of Staff	RN or MSW. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Excellent telephone and computer operations skills.
Preferred Qualifications	RN with a bachelor's degree in nursing or with a minimum of 2 years of home care experience; MSW with one year of experience with a home and community based population.
Required Certifications	No additional.
Location(S) of Work	Complaint intake will generally occur at Central Office in The Capital Region, NY, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	See Attachment 28 to this RFP.
Additional Requirements	Complaints may be received at complaint intake by telephone, by letter, by e-mail, through an intermediary, or by any other means. All complaints must be processed as described regardless of source. Staff must adhere to all NYS laws pertinent to mandated abuse reporting.
Staff Training Requirements	As offered by the Department pertinent to the waiver.
Unit is Complete When	The complaint is opened, all required data are entered into the appropriate system and the complaint is assigned for investigation.
Historical Information	Anticipated to be up to 25% of the expected waiver population of 5,000; Each intake is estimated to need 1.0 hours including any required data entry; 1 complaint intake worker per complaint.

Unit # 29	
Medicaid Waiver Related Quality Activities	
Name of the Unit	Complaint Intake Related to Traumatic Brain Injury Waiver
Statutes and/or Regulations -- General Governance	1915c of the Federal Social Security Act (42 USC § 1396n) http://uscode.house.gov/pdf/2005/2005usc42pt1.pdf NYS Social Service Law 52A; http://public.leginfo.state.ny.us/menugetf.cgi 18 NYCRR (Medicaid); http://www.health.state.ny.us/nysdoh/phforum/nyccr18.htm NYS Public Health Law Article 36 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm
Description	Contractor will be responsible for reviewing, triaging and processing complaints received by the Department on behalf of any waiver participant in accordance with standards set forth in the waiver application.
Type of Staff	RN or MSW.. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Excellent telephone and computer operations skills.
Preferred Qualifications	RN with a bachelor's degree in nursing or with a minimum of 2 years of home care experience; MSW with one year of experience with a home and community based population.
Required Certifications	No additional.
Location(S) of Work	Complaint intake will generally occur at Central Office in the Capital Region of NY, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	See Attachment 29 to this RFP.
Additional Requirements	Complaints may be received at complaint intake by telephone, by letter, by e-mail, through an intermediary, or by any other means. All complaints must be processed as described regardless of source. Staff must adhere to all NYS laws pertinent to mandated abuse reporting.
Staff Training Requirements	As offered by the Department pertinent to the waiver.
Unit is Complete When	The complaint is opened, all required data are entered into the appropriate system and the complaint is assigned for investigation.
Historical Information	Anticipated to be up to 25% of the expected waiver population of 3,000; Each intake is estimated to need 1.0 hours including any required data entry; 1 complaint intake worker per complaint.

Unit # 30	
Nursing Home Quality Activities	
Name of the Unit	Federal Standard Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to perform an annual survey each nursing home licensed by the State. The Contractor is responsible for all aspects of the survey process, including conducting the survey, producing written documentation, drafting SODs, assessing compliance with POCs, and monitoring facilities with immediate jeopardy or other serious concerns. Contractor is responsible for data entry as required into all federal and State reporting databases.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 30 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	642 per year; 4.5 surveyors one or more of which may be State staff; 220.25 hours each survey. NOTE: 10% of all surveys must be staggered. See Unit # 32 below.

Unit # 31	
Nursing Home Quality Activities	
Name of the Unit	Extended Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to perform an annual survey each nursing home licensed by the State. Each year there will be a need for extended surveys. The Contractor is responsible for all aspects of the survey process, including conducting the survey, producing written documentation, drafting SODs, assessing compliance with POCs, and monitoring facilities with immediate jeopardy or other serious concerns. Contractor is responsible for data entry as required into all federal and State reporting databases.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 31 to this RFP
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	31 per year; 121.75 hours each survey; 4.5 surveyors for each survey.

Unit # 32	
Nursing Home Quality Activities	
Name of the Unit	Staggered Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to perform an annual survey each nursing home licensed by the State. Staggered surveys are done outside of normal business hours, i.e. conducted on weekends and evenings. These surveys will be conducted in accordance with the federal standards below. Ten percent of all nursing home surveys must be staggered. The Contractor is responsible for all aspects of the survey process, including conducting the survey, producing written documentation, drafting SODs, assessing compliance with POCs, and monitoring facilities with immediate jeopardy or other serious concerns. Contractor is responsible for data entry as required into all federal and State reporting databases.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 32 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	10% of all surveys must be staggered:

Unit # 32	
Nursing Home Quality Activities	
Name of the Unit	Staggered Survey
	63 per year; 4.5 surveyors per survey; 14.25 hours each survey.

Unit # 33	
Nursing Home Quality Activities	
Name of the Unit	On-site Complaint Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to investigate complaints against nursing homes licensed by the State. On-site complaint investigation includes observation, interviews with patients, staff or family members, review of documents and medical records and review of quality data and facility policy and procedures. If during the investigative process the Contractor identifies a portion of the complaint that should be reviewed by another Unit within the Department, or by another State agency, the Contractor will make the referral according to the Unit policies and procedures. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office. The current Contractor is assigned primarily to the MARO, but assignments may change as needs arise.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 33 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours.
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	3624 per year; 1 to 2 surveyors which may be divided between State and Contractor; 18.75 hours each survey.

Unit # 34	
Nursing Home Quality Activities	
Name of the Unit	Partial Extended Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Partial Extended Surveys are always conducted after substandard quality of care is found during an abbreviated standard survey or during a revisit. An abbreviated survey is a complaint survey that can also be extended and expanded into a partial extended survey if there is reasonable cause and increasing evidence of immediate jeopardy and or substandard quality of care. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 34 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	23 per year; 2 surveyors which may be divided between State and Contractor; 107.25 hours each survey.

Unit # 35	
Nursing Home Quality Activities	
Name of the Unit	Off-site Complaint Investigation
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to investigate complaints against nursing homes licensed by the State. Off-site complaint investigation includes telephone interviews and medical record reviews. Complaints may be closed by the Contractor or referred to a RO. If during the investigative process the Contractor identifies a portion of the complaint that should be reviewed by another Unit within the Department, or by another State agency, the Contractor will make the referral according to the Unit policies and procedures.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Contractor staff will be assigned to the Central Office but will be deployed throughout New York State to assist with on-site complaint investigations as needs arise.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 35 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	3000 per year; 1 investigator for each complaint; 4.0 hours each complaint.

Unit # 36	
Nursing Home Quality Activities	
Name of the Unit	Federal Initial Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to survey nursing homes licensed by the State. Initial surveys are conducted for the initial certification of skilled nursing facilities or nursing facilities. The tasks of both the traditional standard survey and the extended survey are performed. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 36 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	2 per year; 2 surveyors per survey; 85.25 hours each survey.

Unit # 37	
Nursing Home Quality Activities	
Name of the Unit	Federal Revisit -- Health
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to survey nursing homes licensed by the State. These surveys will be conducted in accordance with the federal standards below. Post survey-revisit: In accordance with State Operations Manual (SOM) §7317, the State agency conducts a revisit, as applicable, to confirm that the facility is in compliance and has the ability to remain in compliance. On-site revisits are generally necessary to ascertain whether the deficient practices have been corrected. The nature of the noncompliance dictates the scope of the revisit. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	Registered professional nurse. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 37 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.

Unit # 37	
Nursing Home Quality Activities	
Name of the Unit	Federal Revisit -- Health
Historical Information	680 per year; 4.5 surveyors per survey on average; 13.25 hours each survey.

Unit # 38	
Nursing Home Quality Activities	
Name of the Unit	Federal Revisit - Complaint
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to survey nursing homes licensed by the State. Federal Revisit for complaints are follow-up on-site visits intended to verify correction of deficiencies cited in a prior survey. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 38 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	355 per year; 1 to 2 surveyors which may be divided between State and Contractor; 11.25 hours each survey.

Unit # 39	
Nursing Home Quality Activities	
Name of the Unit	State Monitoring Visit
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to survey nursing homes licensed by the State. State Monitoring Visits are on-site visits conducted to ascertain compliance and quality of care for multiple reasons including but not limited to: Immediate Jeopardy situations, the occurrence of a disaster situation, facility closings, significant change in the size of the resident population and strikes. Strike Monitoring: A facility under strike is monitored for compliance of federal requirements, quality of care, and provision of care and services. The facility may be monitored as frequently as daily for the duration of the strike. Strikes are highly variable in their duration and specific to the facility's situation.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 39 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.
Historical Information	43 monitoring visits per year; 1 surveyor except for strike monitoring;

Unit # 39	
Nursing Home Quality Activities	
Name of the Unit	State Monitoring Visit
	<p>32.25 hours each survey.</p> <p>Historically, there have been one or two strikes per year; 2 surveyors for each strike; On average 35-40 hours per strike.</p>

Unit # 40	
Nursing Home Quality Activities	
Name of the Unit	Federal Revisit -- Life Safety Code
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to survey nursing homes licensed by the State. Life safety code-revisit: In accordance with SOM §7317, the State agency conducts a revisit, as applicable, to confirm that the facility is in compliance and has the ability to remain in compliance with Life Safety Code. On-site revisits are generally necessary to ascertain whether the deficient practices have been corrected. The nature of the noncompliance dictates the scope of the revisit. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Throughout New York State. Contractor staff will be deployed in all four ROs and in Central Office.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 40 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.

Unit # 40	
Nursing Home Quality Activities	
Name of the Unit	Federal Revisit -- Life Safety Code
Historical Information	476 per year; 1 to 2 surveyors each survey; 5.5 hours each survey.

Unit # 41	
Nursing Home Quality Activities	
Name of the Unit	Complaint Intake
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Pursuant to the State's agreement with CMS, the Department is required to investigate complaints against nursing homes licensed by the State. Complaint intake will be conducted in accordance with the federal standards below. After intake complaints will be referred to the ROs or other Contractor staff as appropriate for investigation. In addition the Contractor Staff assigned to the Complaint Intake Program will be responsible for written responses to consumer requests and concerns related to the delivery of care and services provided by nursing homes. This bid Unit should cover both complaint intake and other consumer concerns.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Contractor complaint intake staff will be assigned to Central Office and will be responsible for the intake of nursing home complaints for all of New York State, as well as consumer requests and concerns related to the delivery of care and services provided by nursing homes.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 41 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	For Complaints: The complaint is opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation. For Consumer Concerns: All required data are entered in the appropriate system and the concern has been assigned to the appropriate person for action.
Historical Information	8800 complaints per year; 1 surveyor per intake. Some intake may be performed by State staff; 1.25 hours each complaint. Consumer concerns will be received in the same manner and subject to the same procedure as complaints. These activities are estimated to be less 100 per year, and should take 1 surveyor, on average 1.25 hours to resolve.

Unit # 42	
Nursing Home Quality Activities	
Name of the Unit	Informal Dispute Resolution
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Related to completed surveys. In accordance with SOM §7212 the State must offer facilities an informal opportunity to dispute cited deficiencies. Disputes are reviewed, and in the process, the State makes a determination of non-compliance or recommends changes to the deficiency, based on facility information submitted and regulatory review.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Central Office in the NYS Capital Region
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 31 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours.
Unit is Complete When	When the informal dispute resolution procedure is finished and all required documentation has been prepared and recorded.
Historical Information	Approximately 175 reviews per year: 75 in the ROs annually; 7.5 hours each; Each review requires 1 surveyor per resolution' 100 in central office; 3.5 hours each; Each review requires 1 surveyor per resolution.

Unit # 43	
Nursing Home Quality Activities	
Name of the Unit	Random Quality Assurance Audits
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Offsite Investigations.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Central Office in the NYS Capital Region
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 43 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	Review of documentation is completed, required reports are prepared and all required data are entered.
Historical Information	180 per year; 15 per month; 5.5 hours per investigation; 1 investigator.

Unit # 44	
Nursing Home Quality Activities	
Name of the Unit	Enforcements
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 http://public.leginfo.state.ny.us/menugetf.cgi 10 NYCRR Part 415 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Related to completed surveys. Identification, referral and preparation and processing of NYS Section 12 enforcements. Includes maintenance of the enforcement database and timely reports to the Program Directors, Quality Assurance members, Office of Long Term Care, governor and Division of Residential Services director.
Type of Staff	RN. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Current license in NYS; and 2 years experience performing utilization review, claims adjudication, medical review, fraud investigation; surveillance or monitoring activities; OR 3 years clinical or administrative experience in a medical facility; OR Bachelors degree in nursing and two years of clinical or administrative experience in a medical facility.
Preferred Qualifications	2 years experience in clinical surveillance; and 2 years experience in quality assurance, utilization review or risk management; and 2 years clinical experience in long term care, hospital, ICF/MR, adult care or home health care; and SMQT certification.
Required Certifications	All Contractor staff performing this function must obtain SMQT certification within 12 months after employment by the Contractor. Contractor must be able to document each employee's appropriate certification.
Location(S) of Work	Central Office in the NYS Capital Region.
Reference Location to the Standard for the Unit	CMS State Operations Manual, Appendices P, PP, Q, and R. See Attachment 44 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	Web-based Basic Health Facility Surveyor Training – approximately 15 hours
Unit is Complete When	The first of the following occurs: The matter is referred to the Division of Legal Affairs for action, or when a determination is made that referral is not appropriate.
Historical Information	100 per year; 6 hours each enforcement; 1 surveyor each enforcement.

b. Other Contract Activities; Allowable Hourly Charges

Other activities, not part of survey Units 1 through 44, may be requested or required of the Contractor. The Contractor shall provide a Unit price bid for the following activities on an hourly or special pricing basis. The Contractor shall describe the staff that will perform each such activity and the bid price per hour for each type of staff person who might perform the activity. The Cost and Technical Forms related to these activities are separate from the Cost and Technical Forms for the Unit prices and are identified as such in Attachments F and G. Bidders should use caution so that they use the correct form for each part of this Component and, if bidding on both Components, for each part of each Component.

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Hourly Unit # 1-A	
Name of the Unit	Testimony in Court
Description	Testimony about the survey findings or activities related to a survey conducted pursuant to a contract for Component 1 of this RFP. Testimony related to any activity performed by the Contractor under Units 1 through 44 of this RFP. This hourly Unit includes not only the actual time testifying in court but preparation and review time.
Type of Staff	Same as the survey staff type in the Unit to which the testimony relates.
Location(S) of Work	Same part of the state in which the survey was conducted.
Additional Requirements	The Bidder may bid a single hourly rate for all types of court testimony under Component 1 or may delineate the bid by survey type, provider type, part of the state, or any other distribution so long as the qualifications are clearly and separately stated for each type, and so long as all of the Proposal is related to Component 1. The Bidder must account for the costs of travel and other administrative costs associated with court testimony in the hourly rate(s).
Unit is Complete When	Unit may be billed on a monthly basis as charges are incurred.

Hourly Unit # 1-B	
Name of the Unit	Additional On-site Surveys
Statutes and/or Regulations -- General Governance	Various. Will be governed by the program covered by Component 1 requesting the additional on-site survey
Description	To be eligible for payment under this Hourly Unit, the onsite survey activity must not be included in any activities covered by Units 1 through 44. To be eligible for payment, these services must have been requested by the Department prior to the service being performed by the Contractor.
Type of Staff and all other Parameters	Will be governed by the program for which the additional on-site survey is requested.
Additional Requirements	The Bidder may bid a single hourly rate for all types of additional on-site surveys under Component 1 or may delineate the bid by survey type, provider type, part of the state, or any other distribution so long as the qualifications are clearly and separately stated for each type, and so long as all of the Proposal is related to Component 1. The Bidder must account for the costs of travel and other administrative costs associated with additional on-site surveys in the hourly rate(s). The Contractor may not use this hourly Unit to pay for any activities which are included in Units 45 through 51 of Component 2.
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.

Hourly Unit # 1-C	
Name of the Unit	Miscellaneous Document Review
Description	When requested by the Department
Type of Staff	Will be governed by the program for which the document review is requested.
Additional Requirements	The Bidder must bid a single hourly rate for all types of document review. The Bidder must account for the costs of travel and other administrative costs associated with document review in the hourly rate(s). Only document review related to Component 1 is included in this Hourly Unit.
Unit is Complete When	Unit may be billed on a monthly basis as charges are incurred.

Hourly Unit # 1-D	
Name of the Unit	Additional reviews of revised policy & procedure manuals
Statutes and/or Regulations -- General Governance	Will be governed by the program for which the additional manual review is requested. The Units related to pre-opening survey and policy and procedure manual review assume a limited number of reviews. Under some circumstances the Department and the applicant for licensure or certification may agree that one or more "extra" reviews are warranted. This Hourly Unit is to be used to pay for these additional reviews
Description	When requested by the Department
Type of Staff	Will be governed by the program for which the additional manual review is requested.
Additional Requirements	The Bidder may bid a single hourly rate for all types of manual review or may delineate the bid by provider type, part of the state, or any other distribution so long as the qualifications are clearly and separately stated for each type. The Bidder must account for the costs of travel and other administrative costs associated with these additional manual reviews in the hourly rate(s). The manual review must be related to a program covered in Component 1 of this RFP.
Unit is Complete When	(1) Manual is approved or (2) Correspondence is sent to the applicant requesting additional information, and all required data entry is completed. This Unit is also complete when an applicant has been non-responsive to letter inquiries from the Contractor, and the Department agrees that closure of the application is appropriate.

Unit #1-Ea	
Adult Day Health Care Program Quality Activities	
Name of the Unit	Information and Referral
Statutes and/or Regulations -- General Governance	There are various federal and State requirements for the Department to provide free public access to information about health care programs. Also complaint intake lines often receive calls that are not actual complaint calls, but are requests for information, wrong numbers, people looking for someone to talk to and similar type calls. It will be necessary to answer these calls at the complaint intake level to determine whether a call is a complaint or a request for information and referral. In addition federal standards require an information and referral hotline to be maintained for home care services and to receive complaints about those programs.
Description	The receiving and logging of a call and providing information, or the receiving and logging of a call received at complaint intake that does not result in a complaint.
Type of Staff	This will be the same Contractor staff as perform complaint intake in each of the programs, or may be qualified as a Surveyor/BA, as described in a number of Units above. As such the Bidder needs to construct a Proposal for these services that avoids a double payment for those staff as between this Unit and any other complaint intake Unit in Component 1.
Minimum Qualifications	Excellent telephone skills; Attention to detail; Legible handwriting; Basic computer skills.
Preferred Qualifications	Bachelors degree.
Required Certifications	No additional.
Location(S) of Work	In the Capital Region of NYS.
Reference Location to the Standard for the Unit	The Bidder may propose one or more methods of securing payment for these services. Each method proposed should explain in detail how these calls will be accounted for separately from complaint intake calls and exactly how the Contractor will be paid for these services. The Proposal must include a method by which the Department can independently verify that there are no duplicate payments. Or the Bidder may develop a methodology that excludes the possibility of duplicate payment, such as a single monthly or annual payment for these services.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The Bidder must propose a time for payment as part of its Proposal for this Unit.
Historical Information	Fewer than 100 each year; On average each call will take .3 hours; 1 complaint intake surveyor per call.

Unit # 1-Eb	
Adult Care Facility Quality Activities	
Name of the Unit	Information and Referral
Statutes and/or Regulations -- General Governance	There are various federal and State requirements for the Department to provide free public access to information about health care programs. Also complaint intake lines often receive calls that are not actual complaint calls, but are requests for information, wrong numbers, people looking for someone to talk to and similar type calls. It will be necessary to answer these calls at the complaint intake level to determine whether a call is a complaint or a request for information and referral. In addition federal standards require an information and referral hotline to be maintained for home care services and to receive complaints about those programs.
Description	The receiving and logging of a call and providing information, or the receiving and logging of a call received at complaint intake that does not result in a complaint.
Type of Staff	This will be the same Contractor staff as perform complaint intake in each of the programs, or may be qualified as a Surveyor/BA, as described in a number of Units above. As such the Bidder needs to construct a Proposal for these services that avoids a double payment for those staff as between this Unit and any other complaint intake Unit in Component 1.
Minimum Qualifications	Excellent telephone skills; Attention to detail; Legible handwriting; Basic computer skills.
Preferred Qualifications	Bachelors degree.
Required Certifications	No additional.
Location(S) of Work	In the Capital Region of NYS.
Reference Location to the Standard for the Unit	The Bidder may propose one or more methods of securing payment for these services. Each method proposed should explain in detail how these calls will be accounted for separately from complaint intake calls and exactly how the Contractor will be paid for these services. The Proposal must include a method by which the Department can independently verify that there are no duplicate payments. Or the Bidder may develop a methodology that excludes the possibility of duplicate payment, such as a single monthly or annual payment for these services.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The Bidder must propose a time for payment as part of its Proposal for this Unit.
Historical Information	1154 during 2007. Complaint Inquiries and follow-ups: 146 averaging 1 hour for 1 surveyor; Information calls: 385 averaging .5 hour for 1 surveyor; Other calls: 623 averaging .5 hour for 1 surveyor.

Unit # 1-Ec	
Home Care Services Agency Quality Activities	
Name of the Unit	Information and Referral
Statutes and/or Regulations -- General Governance	There are various federal and State requirements for the Department to provide free public access to information about health care programs. Also complaint intake lines often receive calls that are not actual complaint calls, but are requests for information, wrong numbers, people looking for someone to talk to and similar type calls. It will be necessary to answer these calls at the complaint intake level to determine whether a call is a complaint or a request for information and referral. In addition federal standards require an information and referral hotline to be maintained for home care services and to receive complaints about those programs.
Description	The receiving and logging of a call and providing information, or the receiving and logging of a call received at complaint intake that does not result in a complaint.
Type of Staff	This will be the same Contractor staff as perform complaint intake in each of the programs, or may be qualified as a Surveyor/BA, as described in a number of Units above. As such the Bidder needs to construct a Proposal for these services that avoids a double payment for those staff as between this Unit and any other complaint intake Unit in Component 1.
Minimum Qualifications	Excellent telephone skills; Attention to detail; Legible handwriting; Basic computer skills.
Preferred Qualifications	Bachelors degree.
Required Certifications	No additional.
Location(S) of Work	In the Capital Region of NYS.
Reference Location to the Standard for the Unit	The Bidder may propose one or more methods of securing payment for these services. Each method proposed should explain in detail how these calls will be accounted for separately from complaint intake calls and exactly how the Contractor will be paid for these services. The Proposal must include a method by which the Department can independently verify that there are no duplicate payments. Or the Bidder may develop a methodology that excludes the possibility of duplicate payment, such as a single monthly or annual payment for these services.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The Bidder must propose a time for payment as part of its Proposal for this Unit.
Historical Information	Approximately 1600 each year; On average each call will take .3 hours; 1 complaint intake surveyor per call.

Unit # 1-Ed	
Medicaid Waiver Related Quality Activities x	
Name of the Unit	Information and Referral
Statutes and/or Regulations -- General Governance	There are various federal and State requirements for the Department to provide free public access to information about health care programs. Also complaint intake lines often receive calls that are not actual complaint calls, but are requests for information, wrong numbers, people looking for someone to talk to and similar type calls. It will be necessary to answer these calls at the complaint intake level to determine whether a call is a complaint or a request for information and referral. In addition federal standards require an information and referral hotline to be maintained for home care services. and to receive complaints about those programs.
Description	The receiving and logging of a call and providing information, or the receiving and logging of a call received at complaint intake that does not result in a complaint.
Type of Staff	This will be the same Contractor staff as perform complaint intake in each of the programs, or may be qualified as a Surveyor/BA, as described in a number of Units above. As such the Bidder needs to construct a Proposal for these services that avoids a double payment for those staff as between this Unit and any other complaint intake Unit in Component 1.
Minimum Qualifications	Excellent telephone skills; Attention to detail; Legible handwriting; Basic computer skills.
Preferred Qualifications	Bachelors degree.
Required Certifications	No additional.
Location(S) of Work	In the Capital Region of NYS.
Reference Location to the Standard for the Unit	The Bidder may propose one or more methods of securing payment for these services. Each method proposed should explain in detail how these calls will be accounted for separately from complaint intake calls and exactly how the Contractor will be paid for these services. The Proposal must include a method by which the Department can independently verify that there are no duplicate payments. Or the Bidder may develop a methodology that excludes the possibility of duplicate payment, such as a single monthly or annual payment for these services.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The Bidder must propose a time for payment as part of its Proposal for this Unit.
Historical Information	Estimated at about 2,000 per year; On average each call will take .3 hours; 1 complaint intake surveyor per call.

Unit # 1-Ee	
Nursing Home Quality Activities x	
Name of the Unit	Information and Referral
Statutes and/or Regulations -- General Governance	There are various federal and State requirements for the Department to provide free public access to information about health care programs. Also complaint intake lines often receive calls that are not actual complaint calls, but are requests for information, wrong numbers, people looking for someone to talk to and similar type calls. It will be necessary to answer these calls at the complaint intake level to determine whether a call is a complaint or a request for information and referral. In addition federal standards require an information and referral hotline to be maintained for home care services. and to receive complaints about those programs.
Description	The receiving and logging of a call and providing information, or the receiving and logging of a call received at complaint intake that does not result in a complaint.
Type of Staff	This will be the same Contractor staff as perform complaint intake in each of the programs, or may be qualified as a Surveyor/BA, as described in a number of Units above. As such the Bidder needs to construct a Proposal for these services that avoids a double payment for those staff as between this Unit and any other complaint intake Unit in Component 1.
Minimum Qualifications	Excellent telephone skills; Attention to detail; Legible handwriting; Basic computer skills.
Preferred Qualifications	Bachelors degree.
Required Certifications	No additional.
Location(S) of Work	In the Capital Region of NYS.
Reference Location to the Standard for the Unit	The Bidder may propose one or more methods of securing payment for these services. Each method proposed should explain in detail how these calls will be accounted for separately from complaint intake calls and exactly how the Contractor will be paid for these services. The Proposal must include a method by which the Department can independently verify that there are no duplicate payments. Or the Bidder may develop a methodology that excludes the possibility of duplicate payment, such as a single monthly or annual payment for these services.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The Bidder must propose a time for payment as part of its Proposal for this Unit.
Historical Information	Approximately 4,000 per year; On average each call will take .3 hours; 1 complaint intake surveyor per call.

c. Special Circumstances

i. *Hourly Rates.*

There may be unforeseen circumstances under which the Department may need the Contractor to provide staff to perform functions not included in any Unit. The Bidder must complete Form CP-2, Price Sheet for Additional Work, listing the hourly rates for all types of staff which the Department may need. Hourly rates should be identified for every type of staff that will be used by the Contractor in completing the Units in Component 1, as well as other staff titles listed by the Department.

ii. *Errors in Calculating Need*

Several of the Units for which the Department is seeking a price are for new services for which the Department has little or no experience in estimating the time and number of Contractor FTEs required to complete the Unit. The Department has made its best efforts to provide an accurate estimate of time and FTEs for these services, however, it is possible that there will be circumstances under which the Unit price awarded in the contract will be insufficient to support the time and effort needed to complete the Unit. If the Contractor can demonstrate that actual time and number of personnel exceed the amount bid for any new Unit by 20% over the estimate provided by the Department, the Contractor and the Department, may by mutual agreement, amend the Unit price to reflect a percentage increase equal to the percentage by which the Department under-estimated the time and number of personnel needed to complete the Unit. Such amendments will be on a Unit by Unit basis and each Unit amendment will require approval of the Office of the State Comptroller.

Such an increase will not be awarded based on a percentage difference in the costs of the Contractor for providing the services necessary to complete the Unit, if the Department's time and personnel estimates are within the parameters described in each of the Unit descriptions.

4. **COMPONENT 2 – Quality Assurance for Hospitals and Diagnostic and Treatment Centers.**

The Bidder submitting a Proposal for Component 2 must provide a price for each of the following Unit #s 45 through 51. The prices are to be entered on Cost Proposal Forms for Component 2. See Attachment G. Further instructions for how to submit a Proposal for this Component are contained in Part D of this RFP. Please note that for each Unit and the Data Chart (Attachment E), the hours listed are the total hours the Department estimates are needed to complete the activity, not the number of hours each staff member assigned to the activity will need to commit to the activity.

Each of the teams described in each of Units may include one or more State staff as a Component. The Bidder must bid a price for the complete Unit as if all of the activities were performed by Contractor staff and none of the activities by State staff. Information about how the Contractor will be paid for Units that use both Contractor and State staff, are included in Part F, Administration, Section 7, Payment. In addition, each Unit lists the type and qualifications of Contractor staff that will perform the activity of the Unit, however, the Unit activity may not require the involvement of all the staff listed. Bidder should examine the requirements for each Unit and submit a bid that is a fair price for the activity, while understanding that the final composition of all teams performing Unit activities is subject to the approval and needs of the Department.

The Contractor must also provide all of the information describe in Part D of this RFP for each Unit.

UNIT DESCRIPTIONS BEGIN ON THE NEXT PAGE OF THIS RFP. THE REST OF THIS PAGE IS INTENTIONALLY BLANK.

a. Units of Service 45 through 51

Unit # 45		
Diagnostic and Treatment Center Quality Activities		
Name of the Unit	D&TC Survey	
Statutes and/or Regulations -- General Governance	10 NYCRR Part 751 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm	
Description	Contractor staff will be responsible for onsite surveillance of D&TC's, as well as assisting Office of Health Insurance Programs (OHIP) and Family Health by performing Medicaid audits and the surveillance of a portion of the School Based Clinics respectively, within the New York City area.	
Type of Staff	One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.	
	Survey Nurse	Nurse Supervisor
Minimum Qualifications	Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care Excellent telephone and written communication skills; Basic computer skills.	Currently registered in NY; 3-5 years management experience in health care setting; Clinical experience and use of assessment skills in various provider settings; Excellent telephone and written communication skills; Basic computer skills.
Preferred Qualifications	D&TC work experience; Knowledge of federal and State regulations; Experience handling sensitive confidential information.	Masters degree; D&TC work experience; Knowledge of federal and State regulations; Experience handling sensitive confidential information.
Required Certifications	No additional.	
Location(S) of Work	Generally in MARO but the Contractor may be asked to perform quality activities in other areas of the state as needed by the Department	
Reference Location to the Standard for the Unit	ASPEN ACO Training Guide. See Attachment 45 to this RFP.	
Additional Requirements	The Department expects that sufficient support staff will be available to perform all administrative tasks described in the RFP and that costs of professional staff will not be used to price administrative functions.	
Staff Training Requirements	No additional.	
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.	
Historical Information	Approximately 51 per year; 37.50 hours per survey; 2 surveyors per survey.	

Unit # 46		
Hospital Quality Activities		
Name of the Unit	Hospital and D&TC Complaint Intake	
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugetf.cgi) 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm 10 NYCRR Part 751 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm	
Description	Contractor will be responsible for reviewing, triaging and processing patient care and environmental complaints against any Article 28 certified health care facility received by telephone, by regular mail, by e-mail, or by any other means. Contractor will mediate those complaints not requiring on-site review, but that would require contact with patient representative for resolution.	
Type of Staff	One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.	
Minimum Qualifications	Nurse Reviewer Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care; Experience handling sensitive confidential information; Excellent telephone and written communication skills; Basic computer skills.	Nurse Supervisor Currently registered in NY; 3-5 years management experience in health care setting; Clinical experience and use of assessment skills in various provider settings; Experience handling sensitive confidential information; Excellent telephone and written communication skills; Basic computer skills.
Preferred Qualifications	Knowledge of federal and State regulations.	Masters degree. Knowledge of federal and State regulations.
Required Certifications	No additional.	
Location(S) of Work	Complaint intake will generally occur at Central Office in the Capital Region of New York, but may occur at any location to which the Department assigns Contractor staff to work.	
Reference Location to the Standard for the Unit	Centralized Hospital Complaint Intake Unit (CHIP) Complaint Manual. See Attachment 46 to this RFP.	
Additional Requirements	No additional.	
Staff Training Requirements	No additional.	
Unit is Complete When	The complaint is opened on UCTS or ACTS (as appropriate), all required data are entered and the complaint is assigned for investigation.	
Historical Information	Approximately 3500 complaints annually; 2.5 hours for each intake; 1.0 nurse reviewer each intake.	

Unit # 47	
Hospital Quality Activities	
Name of the Unit	Hospital and D&TC Complaint Investigation / Survey
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugetf.cgi) 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm 10 NYCRR Part 751 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm
Description	Contractor will be responsible for investigating a variety of patient care complaints requiring onsite or offsite review against any Article 28 certified health care facility. Such investigations will include such surveillance activities as observation of the operations in the area of concern, interviews with patients and staff, review of documents and pertinent medical records, and review of quality data and facility policy and procedures. If during the investigative process the Contractor identifies a portion of the complaint that should be reviewed by another Bureau within the Department, or by another State agency, the Contractor will make the referral according to the Unit policies and procedures. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	On-site Nurse Reviewer (see Unit \$ 46). One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills. Experience handling sensitive confidential information.
Preferred Qualifications	Knowledge of federal and State regulations.
Required Certifications	Not later than twelve months after hire by the Contractor, Contractor staff performing this function must attend the Federal Basic Hospital Surveyor Training Program.
Location(S) of Work	Investigations will be conducted from the Western Region (Buffalo and Rochester), the Capital District Region and the New Rochelle office of MARO. Onsite investigations will be conducted wherever there is a need throughout the State.
Reference Location to the Standard for the Unit	State Survey Manual. See Attachment 47 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	The complaint is closed on UCTS or ACTS (as appropriate), and all data entry is satisfactorily completed.
Historical Information	The Department estimates 200 complaint investigation surveys per year: 80 in the Western Region; 80 in Capital District Region; and 40 from the New Rochelle area office. Each investigation is expected to take approximately 30.0 hours. 1.0 nurse reviewer for each investigation.

Unit # 48	
Hospital Quality Activities	
Name of the Unit	Hospital Complaint Resolution
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugtf.cgi) 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm 10 NYCRR Part 751 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm
Description	Contractor staff will be responsible for investigating a variety of patient care complaints not requiring onsite review against any Article 28 certified health care facility. Such investigations will include medical record reviews, facility policy and procedure reviews, and review of facility internal investigation and quality assurance reviews, in accordance with the standard referenced below. If during the investigative process the Contractor identifies a portion of the complaint that should be reviewed by another Bureau within the Department, or by another State agency, the Contractor will make the referral according to the Unit policies and procedures. Contractor may issue SOD's and will be responsible for reviewing and accepting POC's. Additionally, Contractor, at the request of the Department, may participate in other surveillance activities as deemed necessary; i.e., surveys, pre-opening policy review, etc.
Type of Staff	Off-site Nurse Reviewer. One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills. Experience handling sensitive confidential information.
Preferred Qualifications	Knowledge of federal and State regulations.
Required Certifications	Not later than twelve months after hire by the Contractor, Contractor staff performing this function must attend the Federal Basic Hospital Surveyor Training Program.
Location(S) of Work	Complaint resolution will generally occur at Central Office in the Capital Region of New York, but may occur at any location to which the Department assigns Contractor staff to work.
Reference Location to the Standard for the Unit	This is a new function. Refer to the NH Case Resolution policy manual for initial guidelines; however, unlike the NH Case Resolution Bureau, <i>the Hospital Program CRU will issue SOD's and review & approve facility POC's.</i> Additionally, NH's CRB Unit Manual can be used for start-up with the exceptions noted above in italics. See Attachment 48 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	All the review activities are completed, all documentation prepared to the Department's satisfaction, and all required data entry is complete.
Historical Information	This is a new function. The Department estimates that approximately 1500 reviews will be completed each year. 8.0 hours per resolution; 1.0 nurse reviewer per resolution.

Unit # 49			
Hospital Quality Activities			
Name of the Unit	NYPORTS Reviews – Central Office		
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugetf.cgi) 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm		
Description	NYPORTS is a data system used for reporting adverse events in hospitals. Contractor will analyze selected NYPORTS data for all cases requiring a Root Cause Analysis.		
Type of Staff	One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.		
	NYPORTS Nurse Reviewers	Pharmacist	Medical Doctor
Minimum Qualifications	Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills. Experience handling sensitive confidential information.	Currently licensed and registered as a Pharmacist in NY; Clinical background in acute care; Excellent telephone and written communication skills; Basic communication skills; Experience handling sensitive confidential information.	Currently licensed and registered as a Physician in NY; Clinical background in acute care Excellent telephone and written communication skills; Basic communication skills. Experience handling sensitive confidential information.
Preferred Qualifications	Knowledge of federal and State regulations. .	Knowledge of federal and State regulations.	Knowledge of federal and State regulations.
Required Certifications	No additional.		
Location(S) of Work	NYPORTS Root Cause Analysis case reviews will be conducted in the Capital District areas.		
Reference Location to the Standard for the Unit	Root Cause Analysis Protocols. See Attachments 49a and 49b to this RFP.		
Additional Requirements	No additional.		
Staff Training Requirements	No additional.		
Unit is Complete When	All documents and data entry related to the review are completed to the satisfaction of the Department.		
Historical Information	This is a new function. The Department estimates that approximately 2,552 reviews will need to be completed each year. 5.0 hours per review including pharmacist and MD review; 1.0 nurse reviewer.		

Unit # 50	
Hospital Quality Activities	
Name of the Unit	NYPORTS Reviews – Regional Offices
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugetf.cgi) 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm 10 NYCRR Part 751 http://www.health.state.ny.us/nysdoh/phforum/nyccr10.htm
Description	NYPORTS is a data system used for reporting adverse events in hospitals. Contractor will be responsible for reviewing all incoming reportable incidents submitted via the NYPORTS, reviewing all Root Cause Analysis submitted by the facilities, and conducting onsite surveys if warranted. In addition, the Contractor will collaborate with the MARO complaint Unit, the MARO medical directors, and central office staff, as required.
Type of Staff	NYPORTS Nurse Reviewers (see Unit 49). One or more members of a survey team may be State staff. Bidder must prepare the Unit price as if ALL members of the survey team are Contractor staff. See Section C.2, General Conditions, of this RFP for additional information.
Minimum Qualifications	Currently Registered in NY; Bachelors degree or graduation from an approved nurse training program; Medical record review and QA experience; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills; Experience handling sensitive confidential information.
Preferred Qualifications	Knowledge of federal and State regulations.
Required Certifications	No additional.
Location(S) of Work	NYPORTS reportable incident reviews will be conducted in the MARO area however may occur at any location to which the Department assigns the Contractor to work.
Reference Location to the Standard for the Unit	Root Cause Analysis Protocols. NYPORTS Manuals. See Attachment 50 to this RFP.
Additional Requirements	No additional.
Staff Training Requirements	No additional.
Unit is Complete When	All documents and data entry related to the review are completed to the satisfaction of the Department.
Historical Information	This is a new function. The Department estimates that approximately 1164 reviews will need to be completed each year. 6.0 hours per review; 1.0 nurse reviewer per review.

Unit # 51				
Hospital Quality Activities				
Name of the Unit	Targeted Surveillance Team Activities			
Statutes and/or Regulations -- General Governance	Public Health Law Article 28 (http://public.leginfo.state.ny.us/menugtf.cgi 10 NYCRR Part 405 http://www.health.state.ny.us/nysdoh/phforum/nycrr10.htm			
Description	Contractor staff will be responsible for statewide focused onsite surveillance activities including key program or policy issues such as Emergency Department overcrowding			
Type of Staff	Physician	Survey Nurse	Social worker	Life Safety Code
Minimum Qualifications	Currently licensed in NYS; Clinical experience in Emergency Department medicine and/or Hospital administration; Excellent telephone and written communication skills; Basic computer skills.	Currently registered in NYS; Bachelors degree or graduation from an approved nurse training program; Medical record and QA experience; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills; Experience handling sensitive confidential information.	Currently registered in NYS; Clinical background in acute care; Excellent telephone and written communication skills; Basic computer skills; Experience with handling sensitive confidential information.	Bachelor's degree and 3 years of related experience; Excellent telephone and written communication skills; Basic computer skills; Experience with handling sensitive confidential information.
Preferred Qualifications		Master's Degree preferred	Medical record and QA experience	Experience in acute care settings
Required Certifications	No additional.			
Location(S) of Work	The team will be based out of Central Office, but will have statewide surveillance assignments.			
Reference Location to the Standard for the Unit	State Survey Manual. See Attachment 51 of this RFP.			
Additional Requirements	No additional.			
Staff Training Requirements	No additional.			
Unit is Complete When	The first of the following events occurs: (1) The facility is found to be in substantial compliance at the time of the survey; OR (2) An SOD not requiring a POC is issued to the facility; OR (3) An acceptable POC is received by the Department; OR (4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC. If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.			
Historical Information	This is a new function. The Department estimates that approximately 100 surveys will be completed each year, each taking approximately 90 hours, and 3 team members. Department staff will provide supervision/support to the survey team.			

b. Other Contract Activities; Allowable Hourly Charges

Other activities, not part of survey Units 45 through 51, may be requested or required of the Contractor. The Contractor shall provide a Unit price bid for the following activities on an hourly pricing basis. The Contractor shall describe the staff that will perform each such activity and the bid price per hour for each type of staff person who might perform the activity. The Cost and Technical Forms related to these activities are separate from the Cost and Technical Forms for the Unit prices and are identified as such in Attachments F and G. Bidders should use caution so that they use the correct form for each part of this Component and, if bidding on both Components, for each part of each Component.

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Hourly Unit # 2-A	
Name of the Unit	Testimony in Court
Description	Testimony about the survey findings or activities related to a survey conducted pursuant to a contract for Component 2 of this RFP. Testimony related to any activity performed by the Contractor under Units 45 through 51 of this RFP. This hourly Unit includes not only the actual time testifying in court but preparation and review time.
Type of Staff	Same as the survey staff type in the Unit to which the testimony relates.
Location(S) of Work	Same part of the state in which the survey was conducted.
Additional Requirements	The Bidder may bid a single hourly rate for all types of court testimony under Component 1 or may delineate the bid by survey type, provider type, part of the state, or any other distribution so long as the qualifications are clearly and separately stated for each type, and so long as all of the Proposal is related to Component 2. The Bidder must account for the costs of travel and other administrative costs associated with court testimony in the hourly rate(s).
Unit is Complete When	Unit may be billed on a monthly basis as charges are incurred.

Hourly Unit # 2-B	
Name of the Unit	Additional On-site Surveys
Statutes and/or Regulations -- General Governance	Various. Will be governed by the program covered by Component 2 requesting the additional on-site survey
Description	To be eligible for payment under this Hourly Unit, the onsite survey activity must not be included in any activities covered by Units 45 through 51. To be eligible for payment, these services must have been requested by the Department prior to the service being performed by the Contractor.
Type of Staff and all other Parameters	Will be governed by the program for which the additional on-site survey is requested.
Additional Requirements	The Bidder may bid a single hourly rate for all types of additional on-site surveys under Component 2 or may delineate the bid by survey type, provider type, part of the state, or any other distribution so long as the qualifications are clearly and separately stated for each type, and so long as all of the Proposal is related to Component 2. The Bidder must account for the costs of travel and other administrative costs associated with additional on-site surveys in the hourly rate(s). The Contractor may not use this hourly Unit to pay for services which are included in Units 1 through 44 of Component 1.
Unit is Complete When	<p>The first of the following events occurs:</p> <p>(1) The facility is found to be in substantial compliance at the time of the survey; OR</p> <p>(2) An SOD not requiring a POC is issued to the facility; OR</p> <p>(3) An acceptable POC is received by the Department; OR</p> <p>(4) Thirty days have passed since an SOD requiring a POC was issued and the facility has not responded, or has failed to produce an acceptable POC.</p> <p>If a revisit survey is required, this Unit is complete when the revisit survey is scheduled.</p>

Hourly Unit # 2-C	
Name of the Unit	Miscellaneous Document Review
Description	When requested by the Department
Type of Staff	Will be governed by the program for which the document review is requested.
Additional Requirements	The Bidder must bid a single hourly rate for all types of document review. The Bidder must account for the costs of travel and other administrative costs associated with document review in the hourly rate(s). Only document review related to Component 2 is included in this Hourly Unit.
Unit is Complete When	Unit may be billed on a monthly basis as charges are incurred.

c. Special Circumstances

i. *Hourly Rates.*

There may be unforeseen circumstances under which the Department may need the Contractor to provide staff to perform functions not included in any Unit. The Bidder must complete Form CP-2, Price Sheet for Additional Work, listing the hourly rates for all types of staff which the Department may need. Hourly rates should be identified for every type of staff that will be used by the Contractor in completing the Units in Component 2, as well as other staff titles listed by the Department.

ii. *Errors in Calculating Need*

Several of the Units for which the Department is seeking a price are for new services for which the Department has little or no experience in estimating the time and number of Contractor FTEs required to complete the Unit. The Department has made its best efforts to provide an accurate estimate of time and FTEs for these services; however, it is possible that there will be circumstances under which the Unit price awarded in the contract will be insufficient to support the time and effort needed to complete the Unit. If the Contractor can demonstrate that actual time and number of personnel exceed the amount bid for any new Unit by 20% over the estimate provided by the Department, the Contractor and the Department, may by mutual agreement, amend the Unit price to reflect a percentage increase equal to the percentage by which the Department under-estimated the time and number of personnel needed to complete the Unit. Such amendments will be on a Unit by Unit basis and each Unit amendment will require approval of the Office of the State Comptroller.

Such an increase will not be awarded based on a percentage difference in the costs of the Contractor for providing the services necessary to complete the Unit, if the Department's time and personnel estimates are within the parameters described in each of the Unit descriptions.

D. PROPOSAL REQUIREMENTS

1. Overview

Bidders are alerted to read all of the instructions in Part D before attempting to complete any Proposal under this RFP.

This section provides directions to Bidders in preparing Proposals in response to the two Components of this RFP. The Requirements for Component 1 are set forth in Part C: Detailed Specifications, Section 3, and for Component 2 in Part C, Section 4. The following material provides requirements for the contents of the Technical Proposal and Cost Proposal for each Component.

BIDDERS MAY NOT PLACE ANY CONDITIONS, RESERVATIONS, LIMITATIONS, OR SUBSTITUTIONS IN THEIR PROPOSAL WITH REGARD TO THE CONTRACT LANGUAGE.

2. Technical Proposal

These instructions apply to both Components 1 and 2. Forms for each Component are provided in the various attachments to this RFP and are different for each Component. See Attachments F and G for the required forms for each Component. The Forms in Attachment F include an optional checklist that Bidders may use to help organize their Proposals. Each form is labeled for the Component(s) to which it applies. If there are any inconsistencies between Section D and any other part of this RFP, the instructions in Section D will control.

Bidders are to develop and include in their Technical Proposals for Components 1 and 2 a detailed start-up plan, a deliverable schedule and ongoing plan for implementing the quality assurance activities, as applicable to the Component bid, and detailed in this Part of this RFP. The Proposal must address all requirements set forth in Section C.3 or C.4, as applicable, and the requirements of this Part. The Bidder is required to provide evidence to support and demonstrate the effectiveness of the specific approaches it will use to conduct the defined quality assurance activities of the Component bid. The Bidder must demonstrate its ability to meet the program requirements and goals and objectives of the Component bid.

Bidders are to develop and include in their Proposal a plan for implementing the quality assurance activities and data security responsibilities as set forth in the RFP, related to the Component bid. The Proposal must address all aspects of the Scope of Work for each Component bid and reflect an understanding of the scope and purpose of the Department's quality assurance activities and of the need for the various tasks required under the contract for each Component. The Technical Proposal for each Component bid shall include separate tabbed sections, presented in the order below.

Bidders bidding on both Components must submit a separate, complete Proposal for each Component.

Required Components:

- Transmittal Letter
- Table of Contents
- Executive Summary
- Goals and Objectives
- Scope of Work and Quality Assurance Process
- Technical Processes, Policies and Procedures
- Personnel
- Organization, Experience and Capability
- Data Security
- Work Plan and Deliverable Schedule
- Units Proposal (Forms TP-4)
- Technical Proposal Forms (TP-1, 2, 3)
- SubContractor Letter of Intent.

This section shall also include the following documents, which may be included in a separate binder from the previous parts, but must still be separately tabbed and the pages separately numbered:

- Curricula Vitae, Licenses and Certifications
- Financial Statements
- Vendor Responsibility materials
- Sales Tax Compliance Certification (Form ST-220-CA)
- Consultant Services Form A
- Proof of incorporation or other organizational documents
- References.

Each section in the Technical Proposal for each Component must include, at a minimum, the items listed in this Section in the order presented. Proposals shall be direct, clear, and concise. No reference to, or inclusion of, pricing information shall appear in any section of the Technical Proposal. Each Technical Proposal (including all copies thereof) shall meet the following general format requirements:

- Use letter size paper (8.5 x 11 inch), single sided text;
- Submit in three (3) ring binders, unless otherwise specified;
- Use tab dividers for each section of the Proposal;
- Clearly number pages of the Proposal, with each section of the Proposal separately numbered and identified in the Table of Contents.

a. Transmittal Letter

The transmittal letter should be submitted on the official business letterhead of the Bidder proposing to be the prime Contractor and must be signed by an individual legally authorized to bind the Bidder to the Proposal and to a

contract. There is no set form for the Transmittal Letter, but it must include the following:

- ✓ The name and number of the Component bid as described in Part A of this RFP;
- ✓ A statement that the Bidder accepts the terms and conditions as stated in the RFP for the Component bid; and
- ✓ A statement that the Bidder will be responsible to the Department for performance of all work specified in the RFP for the Component bid, including work assigned to subContractors.
- ✓ In addition to the Transmittal Letter, the Bidder must include the Bidder's Assurance Form (Attachment D), signed on behalf of the Bidder by an authorized individual who attests that the assurances are true and accurate.

If the use of subContractors is proposed, a letter from each proposed subContractor, on the subContractor's company letterhead, shall be included with the Transmittal Letter and shall be signed by an individual authorized to legally bind the proposed subContractor, stating:

- ✓ The general scope of work to be performed by the subContractor and the subContractor's willingness to perform the work;
- ✓ The willingness of the subContractor to accept and abide by the terms and conditions of the RFP for the Component bid, including all confidentiality required; and
- ✓ The subContractor has no conflict of interest with respect to conducting the duties and responsibilities of the RFP for the Component bid.

b. Table of Contents

The Technical Proposal shall contain a Table of Contents that includes beginning page numbers for each section and subsection of the Proposal.

c. Executive Summary

The Executive Summary will condense and highlight the contents of the Bidder's Technical Proposal in such a way to provide the Department with a broad understanding of the entire Technical Proposal for the Component bid. In addition, the Executive Summary will summarize the Bidder's understanding of the goals and objectives of the Component bid.

The Executive Summary will include a clear and concise summary of the proposed approach to the Scope of Work and the proposed staffing structure

and overall organization experience. The Executive Summary shall generally describe the capabilities and planned roles of any proposed subContractor(s).

The Executive Summary shall not exceed three (3) printed or typewritten pages, single spaced, font size no smaller than 10 point. Pages in addition to 3 will be removed before the Proposal is reviewed by the Department.

d. Goals and Objectives

The Department's overall quality assurance goals and objectives for the activities covered by the Component bid are discussed in Part C: Detailed Specifications, Section 3 for Component 1 and Section 4 for Component 2, in this Part, and generally throughout the RFP. In summary, the Department is interested in operating an effective quality assurance system to assure that the health care providers covered by each Component of this RFP operate in conformity with State and federal law and Department regulations, and that complaint intake and investigation and information referral is conducted efficiently and timely in a seamless manner, benefiting the consumer, the providers and the Department .

e. Understanding of Work

The Proposal shall reflect an understanding of the scope and purpose of the Department's quality assurance activities and of the need for the various tasks required under each Component of the contract including access to and understanding the environment in which the surveillance, complaint, and information referral programs function, including an understanding of HIPAA requirements and Medicaid privacy and confidentiality as they apply to each Component this RFP.

f. Work Plan and Deliverable Schedule

The Bidder will be required to set forth a detailed work plan which describes how it proposes to implement and manage the activities of the Component bid. The Workplan is a general and comprehensive document, distinguished from the specific requirements that the Bidder is required to address for each of the Units.

For **Component 1**, Units # 1 through 44, inclusive, and comprising activities in the following programs:

- Adult Day Health Care Program Survey
- Adult Care Facility Complaint Investigation Survey
- Adult Care Facility Survey
- Assisted Living Program Complaint Investigation
- Assisted Living Program Survey
- Assisted Living Residence Licensure Activities
- Assisted Living Residence Survey
- Home Care Complaint Investigation

- Intermediate Care Facility for Developmentally Disabled Certification
- Intermediate Care Facility for Mentally Retarded Complaint Investigation
- Intermediate Care Facility for Mentally Retarded Survey
- Licensed Home Care Services Agency Licensure Activities
- Licensed Home Care Services Agency Survey
- Nursing Home Complaint Investigation (off-site investigation and resolution)
- Nursing Home Complaint Investigation (on-site survey)
- Nursing Home Survey
- Complaint intake for
 - Care at Home Medicaid Waiver program
 - Long Term Home Health Care Medicaid Waiver program
 - Nursing Home Transition and Diversion Medicaid Waiver program
 - Traumatic Brain Injury Medicaid Waiver program
 - Adult Day Health Care Program
 - Adult Care Facility Complaint Intake
 - Assisted Living Program Complaint Intake
 - Home Care Complaint Intake
 - Hospice Complaint Intake
 - Intermediate Care Facility for Mentally Retarded Complaint Intake
 - Nursing Home Complaint Intake

In addition to the 44 Units there are nine additional Units for which either hourly or special pricing Proposals are sought. These are described in detail in Section 3 of Part C.

For **Component 2**, Units of Service # 45 through 51, inclusive, and comprising activities in the following programs:

- Diagnostic & Treatment Center Complaint Intake
- Diagnostic & Treatment Center Complaint Investigation
- Diagnostic & Treatment Center Survey
- Diagnostic & Treatment Center Complaint Resolution
- Diagnostic & Treatment Center New York Patient Occurrence and Tracking System Investigation
- Diagnostic & Treatment Center New York Patient Occurrence and Tracking System Review
- Hospital Complaint Intake
- Hospital Complaint Investigation / Survey
- Hospital Complaint Resolution
- Hospital New York Patient Occurrence and Tracking System Investigation

- Hospital New York Patient Occurrence and Tracking System Review
- Targeted Surveillance Team

In addition to the 7 Units there are 3 additional Units for which hourly pricing Proposals are sought. These are described in detail in Section 4 of Part C.

The work plan for the Component bid should fully describe how the Bidder will carry out the required reviews set forth in Part C: Detailed Specifications, Section 3 or Section 4. This should include at a minimum separately numbered Workplan sections following the numbered sections below:

- i. Start up activities. If no start-up activities are anticipated, the Bidder must so state in this section;
- ii. An effective system for undertaking and timely completing all survey, complaint investigation, complaint intake and information and referral activities described in the Component bid of this RFP;
- iii. Methods, policies and procedures, etc., for conducting these activities. Where appropriate, provide data and/or evidence based on past experience, published data, or other appropriate information, etc. to justify a specific approach or decision on the conduct of specific activities;
- iv. Copies of forms (other than those provided by the Department) that the Bidder proposes to use in completing survey, complaint investigation, complaint intake and information and referral for recording decisions, findings, data input documents/formats, etc.;
- v. Description of the roles and responsibilities, by title, for Contractor staff carrying out survey, complaint investigation, complaint intake and information and referral functions. Indicate which Contractor staff are responsible for what tasks and decisions, including Proposals for the provision of supervision of those activities for which the Department requires the Contractor to provide supervision. See forms in Attachment F for the purpose or reporting this information;
- vi. Copies of formats for reporting findings to the Department other than those provided by and required by the Department;
- vii. Description of how the Contractor will develop and maintain links and communication with providers including a system for transmitting ongoing review activity and required periodic reports, feedback changes in policy and procedures, etc.;

- viii. Each Unit includes a description of the location within the State where the Unit activities will occur. Describe how the Contractor will assure the availability of staff to perform activities in diverse parts of the State;
- ix. Description of internal control program including oversight and monitoring of any subContractors, if applicable, of the Component bid;
- x. How the Bidder will meet all the requirements of Section 2.h of this Part;
- xi. A time line for projected annual activities over the life of the contract;
- xii. The Bidder must also submit a schedule of deliverables as part of the Technical Proposal based upon requirements for the Component bid as set forth in Part C: Detailed Specifications, Section 3 for Component 1 and Section 4 for Component 2, and this Part. The deliverable schedule needs to be presented in a tabular format listing specific activities for each deliverable annually and projected over the maximum five year contract period, plus deliverables related any start up activities;

g. Organization, Experience and Personnel

The Bidder must describe in detail their organizational structure including an organizational chart and the background and experience of its officers and executive staff as well as key staff assigned to the specific Component bid of this RFP.

The Proposal should describe and demonstrate the Bidder's experience in conducting the activities described in the Component bid of the RFP, and other relevant activities. Moreover, the Bidder should demonstrate that the personnel have extensive experience and expertise in the activities which they will be performing.

All evidence used in the Proposal for the Component bid regarding the Bidder's experience must be documented and justified. Evidence based on current or past performance must be substantiated. Proven success in conducting activities relevant to the requirements set forth in Part C, Detailed Specifications, Section 3 for Component 1 or Section 4 for Component 2 should be discussed.

The Bidder's experience shall be evaluated based on how relevant this experience is to the Scope of Work for the Component bid to be performed under any contract awarded pursuant to this RFP. Experience gained within the three year period ending December 31, 2007, should be included and will

be considered most relevant. Experience obtained prior to January 1, 2005, may or may not be considered in the evaluation process. The Bidder is required to provide a list of current contracts for similar work and all such contracts that expired during the two year period ending at the date of the release of this RFP.

In addition to being evaluated as part of the General Technical Review, experience and capability will be evaluated in the context of each individual Unit response as described in Part C and in paragraph h.ii of this Part.

h. Specific Skills and Experience That Must Be Demonstrated

i. *General Requirements*

The Bidder's reported experience shall be evaluated based on how relevant this experience is to the Scope of Work to be performed in the Component bid. Experience gained within the three year period ending December 31, 2007, should be included and will be considered most relevant. The Bidder is required to provide a list of contracts performed within the 2 years preceding the release date of this RFP, which relate to the activities in the Component bid, including contact persons (names, phone numbers) regarding these contracts, dates and scope of efforts. The Department reserves the right to contact these Contractors regarding the Bidder's performance. This information may be used by the Department as part of an overall evaluation of the Bidder's capabilities and experience for the Component to which such contracts relate.

The Bidder's Proposal shall contain a section that describes the educational background, professional experience, and special qualifications of the key personnel to be involved in each Unit included in Components 1 or 2 of the contract resulting from each Component bid. The Proposal shall specify how the personnel will be utilized and the percentage of time they will devote to each Unit of each Component of the contract.

The Bidder's Proposal shall describe the types and specialties of nurses and social workers who will be performing surveys and complaint intake, investigation and resolution and their availability to perform such reviews. The Proposal must describe the educational background, experience and special qualifications of supervisory staff to be involved in each Unit of the Component requiring supervisory staff. The Proposal must include a plan for the distribution of Contractor staff among the various Units of the Component bid. If the Bidder is bidding on both Components 1 and 2 of this RFP, this distribution plan must demonstrate how the Contractor staff will be allocated across both Components.

The Proposal must include the educational background, experience and special qualifications of consultants to be involved in each Unit of the contract as well as those of any proposed subContractor.

ii. *Requirements for All Units of Service.*

In preparing this section, the discussion and documentation of the Bidder's skills and experience as described above must explicitly address the Bidder's experience with appropriate provider types and Unit requirements. Ambiguity or vagueness will not be interpreted in the Bidder's favor and may result in a lower score for the Proposal. Skills and experience acquired prior to January 1, 2005, will not be considered in the Unit scoring process.

For each Unit in Component 1 (#'s 1 through 44 and 1-A through 1-Ee) and in Component 2 (#'s 45 through 51 and 2-A through 2-C), the Bidder must discuss and document its skills and experience with the following during the three-year period ending December 31, 2007, with the following. If a particular skill or experience is applicable to more than one Unit, the Bidder need not repeat the demonstration for each applicable Unit, but must list in its demonstration all the Units to which the skill applied and upon which the Bidder expects the Department to rely in assessing the Bidders qualifications related to each particular Unit. Bidder must use Attachment F, Form TP-4, for each Unit to provide this information.

- Interpreting and applying statutes, rules, regulations, and policies and procedures appropriate to the Unit(s) and representative of the appropriate provider types located in New York State and/or elsewhere. For example, when bidding on Unit 5, ACF Survey, discuss and document experience with ACFs and/or other similar providers appropriate to the Unit; and
- Performing survey, inspection, and other quality assurance activities as appropriate to the Unit in New York State and/or elsewhere.

Relevant skills and experience could include, for example:

- Performing accreditation surveys and determinations;
- Providing consultant services on maintaining compliance with statutes, rules and regulations;
- Providing legal advice and/or representation on survey, licensure, certification and recertification processes and issues;
- Providing consulting services on quality assurance processes to those local, State or federal governmental agencies responsible for licensure and/or certification of health care providers;

- Contracting with local, State and/or federal licensure or certification agencies to conduct statutorily or regulatory required quality assurance activities;
- Answering questions and responding to more complex inquiries over the telephone;
- Interviewing persons with questions or complaints about quality of care;
- Establishing priorities when triaging calls.

The Bidder must provide the following information relative to each Unit of service. Please use Form TP-4, Attachment F. For example, for nursing home surveillance activities the Bidder must show past experience with nursing home surveillance, etc. The Bidder must document:

- ✓ That the Bidder has at least three years' experience in conducting each of the Units of service by describing the Bidders experience with each activity in the Unit;
- ✓ That, in the absence of direct New York State experience in any of the activities, Bidder demonstrates success in providing similar services in Government programs with survey and investigation responsibilities for each Unit of service activity for which the Bidder lacks New York experience. The Bidder shall describe the relevance of out of state experience to New York State's requirements, rules and regulations;
- ✓ Bidder's ability to recruit and hire professional health care staff with the qualifications required by the various Units of service in the Component bid. The Bidder must demonstrate a plan in place to successfully replace Contractor staff within 45 days of termination date.

iii. *Requirements for Federal Quality Activities.*

For Units involving federally required survey, complaint or referral activities, Bidder must document (using Form TP-4, Attachment F):

- ✓ The percentage of Contractor staff to be dedicated to survey and complaint investigation activities who are or will be SMQT certified and ready to conduct surveys, certifications and complaint investigations at the time the contract is effective on January 1,2009;
- ✓ Bidder's history of ability to provide for such certification for all Contractor staff not certified as of January 1, 2009, during the period between 6 and 12 months after hire for each Contractor staff member;

- ✓ Bidder's turn-over rate for SMQT-certified staff and/or SMQT-certified consultants employed by the Bidder in each year during the three year period ending December 31, 2007. This rate is the ratio of the number of SMQT staff/consultants employed in January of each year to the total number of SMQT staff/consultants employed at any time during the year.
- ✓ If at least 80% of the SMQT staff/consultants employed in January of each year were not also employed in December of the same year, Bidder must include a plan to stabilize SMQT staff during the term of the contract, so that a sufficient number of such staff will be available to perform federal Unit services throughout each contract year.

iv. *Other Contracts in which the Bidder is a Participant.*

For each client or organization with whom the Bidder has contracted to perform work related or similar to that described in this RFP, including CMS, please provide:

- ✓ The name, address and telephone number of the client or organization;
- ✓ The name, title and telephone number of an employee at this organization familiar with Bidder's performance. Please provide current and correct information, as reviewers may contact such organizations to verify and collect additional information about the Bidder. Providing incorrect information may result in disqualification of the Bidder's Proposal(s);
- ✓ A statement whether the client or organization is a local, state or federal government entity;
- ✓ A description of the work that the Bidder contracted to perform related to the Units of work described above;
- ✓ The term of such contract including the specific start and end dates; and
- ✓ Information regarding all litigation that arose concerning the work described in such contract. Please identify the litigants, the issues in dispute, the current status of any pending litigation, and the outcome of any concluded litigation.

v. *Requirements Related to Organizations that Accredite Health Care Providers.*

If the Bidder is an organization that accredits health care providers, list the types of providers accredited and explain how experience with

accreditation of these providers is relevant to the subject of each of the Units in the Component. For each provider type accredited, provide the following:

- ✓ A description of the levels of accreditation and frequency of different types of surveys;
- ✓ A description of the accreditation process and associated activities;
- ✓ The number of providers surveyed annually and the number accredited by the Bidder at various levels of accreditation in the three-year period ending December 31, 2007;
- ✓ A table showing the number of all providers, by provider type, surveyed in each State for accreditation in the three year period ending December 31, 2007;
- ✓ A statement explaining whether providers were evaluated for compliance with local, State and/or federal statutes, rules and regulations. If yes, provide a list of citations for such statutes, rules and regulations, and geographical jurisdiction for each;
- ✓ A summary of the qualifications of the staff that conducted the surveys and determined accreditation status;
- ✓ The length of time, including start and end dates, that the Bidder continuously performed accreditation activities; and
- ✓ A summary of the financial and legal ramifications, if any, to a provider which failed the accreditation process.

If the Bidder is not an organization that accredits health care providers, state whether the Bidder is or was within the past five years a Professional Review Organization for CMS.

vi. *Penalties.*

Any contracts awarded pursuant to this RFP will contain penalty provisions for failures of performance. These are described in detail in Part F: Administrative, Section 8, Penalties, of this RFP. Bidder should consider this section when developing Proposals for Components 1 and 2 of this RFP.

i. Data Security and Reporting

The Technical Proposal will detail the approved method and formats for collecting, monitoring, and reporting data, conducting data analysis and generating reports required by the Component of this RFP for which the Bidder submits a Proposal. System Abbreviations used in this section are included on the list of acronyms at the beginning of this RFP.

- ✓ The Bidder will demonstrate its ability to meet the following protocol:

All complaint and survey processes to be performed in accordance with the instructions and timeframes contained in the current versions of the ASPEN manuals (version 9.1 at this writing):

ACO Procedures Guide;
 ACTS Procedures Guide;
 ASE Procedures Guide;
 Other relevant CMS and Department program-specific procedures.

These, and other manuals, are available at:

<https://www.qtso.com/aspenguide.html>

- ✓ The Bidder will provide data confidentiality plans and procedures as well as its plan for meeting HIPAA requirements as they relate to the RFP and the Component bid, including all subContractors. See paragraph k. below.

j. Quality Assurance Plan

Describe the plan to be implemented by the Bidder to monitor, measure and improve the quality, timeliness and effectiveness of the Contractor's deliverables and performance under its contract. Include the following information:

- i. Describe the key quality indicators of the Bidder's Proposal that the Bidder has identified and will monitor during the contract;
- ii. Describe the benchmarks and any other monitoring criteria the Bidder has identified for each of the key quality indicators and will use to measure its performance of each key quality indicator during the contract;
- iii. Describe the frequency with which monitoring activities will be conducted;
- iv. Describe the approaches and methodologies that the Bidder will use for remediation and to improve quality of contract performance in the event monitoring shows that benchmarks of key quality indicators are not being met.

- v. Describe how the Bidder will report the result of its monitoring activities to the Department.

Additional quality assurance must be done for each Unit of service provided under the contract to be awarded. The Department will decide what to do and how often for these additional activities. The Contractor must participate in these activities and show continuous evaluation and improvement activities as required by the Department.

The quality assurance plan shall include Bidder's plan to supervise, monitor and evaluate individual staff and monitor and evaluate program performance to ensure federal and state timelines and standards are met; and to monitor and ensure that all staff are compliant with SOM § 7202 concerning Conflicts of Interest and Reporting Investigation of Improper Acts at www.cms.hss.gov/manuals/downloads/som107c07.pdf

The Bidder should note that this Quality Assurance Plan is different from the QIP required by Part C, Section 2, Paragraph f. of this RFP. Each plan seeks different information and will be used by the Department for different purposes. Ambiguities in the quality assurance plan will not be interpreted in favor of a Bidder.

- k. HIPAA Procedures and Medicaid Confidentiality

Describe procedures, including but not limited to HIPAA procedures, the Bidder will use to ensure the confidentiality of all information collected by the Bidder's or any sub-Contractors' staff, and the confidentiality of information to which these staff have access. See Attachments O: HIPAA Business Associate Agreement, and P: Medicaid Confidential Data/Protected Health Information Privacy Language, which will be incorporated into the successful Bidder's contract for each Component of this RFP as Appendices H and I respectively.

- l. Curricula Vitae, Resumes, Licenses and Certifications

Include resumes for key project staff. Include copies of current New York State licenses and registration documents for all nurses and social workers who will be responsible for performing the surveillance, quality assurance and supervisory functions. Include similar information for any other licensed professionals who will be used to perform any activities of any contract awarded for either Component of this RFP. You may also include any additional documentation related to staff qualifications which will assist the Department in assessing the Bidder's capability of performing the requirements of the Component which is being reviewed.

m. Independently Audited Financial Statements

The Department requires audited financial statements in order to conduct its review of the Bidder's financial stability and ability to perform a contract for either of the Components of this RFP. These financial statements must be included in the Bidder's technical Proposal, as part of the Project Narrative. Do not include this information in the Financial Information package.

Include a complete copy of the Bidder's independently audited financial statements or Dunn and Bradstreet Business Information Reports for the last three years (calendar years 2005, 2006 and 2007, or fiscal years ending during those years, as applicable). If not included as part of the independently audited annual financial statements, the Bidder must also include in this section full disclosure of all significant litigation affecting the Bidder, whether as defendant or plaintiff, the status of any pending litigation, and the outcome of any litigation concluded within the same three-year period.

If the Bidder proposes to subcontract any portion of the work required under the contract for the Component bid, and the proposed sub-Contractor will be paid more than 25% of the bid price, include the same financial information for each such proposed subContractor as is required in this section for the Bidder. Include the percentage of the total contract which will be performed by each proposed sub-Contractor. Do not include any other bid information with the proposed subContractors' financial information. Inclusion of bid information other than the percentage of effort to be performed by a proposed sub-Contractor may result in disqualification of the Proposal.

n. References

Include contact information for three organizations with which the Bidder has contracted in the three year period ending December 31, 2007. "Contact information" is the name and title of the person most familiar with the Bidder's performance who is still employed by the organization, his or her telephone number at the organization, and the organization's name, address and general telephone number, if different. Each reference should describe the work performed by the Bidder for the organization, including start and end dates.

o. Technical Proposal Forms (Attachment F)

The Bidder must complete the four Technical Proposal Forms for each Component bid. Some of the forms may be used for either Component; others may only be used for the Component designated in the title of the form. The Bidder must use the correct form for the Component bid, or be disqualified. Form TP-4 is to be used for both Components. Additional instructions for completing these forms are included on the forms themselves.

- Direct Staffing Summary - Forms TP-1

- Indirect Staffing Summary – Forms TP-2
- Quality Assurance Plan – Forms TP-3
- Format for Required Information for Each Unit of Service – Form TP-4
- Optional Bidder Checklist

The information provided will be used in evaluating the Bidder's Technical Proposal.

3. **Cost Proposal**

The Bidder must submit the Cost Proposal for each Component bid separately from the Technical Proposal. The Cost Proposal must be provided in a separately sealed envelope labeled in bold "Cost Proposal" and the name and number of the Component bid from Part A: Introduction, of this RFP. All financial information is to be included in the Cost Proposal, except audited financial statements which are required to be included in the Technical Proposal. The Cost Proposal must be fully supported by cost data adequate to justify the proposed bid for each Component of this RFP. Price will be a significant consideration in the selection of qualifying Proposals for each Component of the RFP, but the award will not necessarily be made to the Bidder with the lowest price for a Component

The Cost Proposal for each Component shall include three (3) separate sections, presented in the order below. Each Component has separate forms for each section. Bidders shall use care to use the forms for the Component bid. Use of the incorrect cost forms may result in disqualification of the Bidder. Each section of the Cost Proposal must include at a minimum, the items listed below. Proposals should be direct, clear and concise. Proposals will be reviewed for the mathematical accuracy of the submitted Cost Proposal forms. The Department reserves the right to reject any Proposal with discrepancies in the Cost Proposal.

a. Bid Form – Attachment B

This form must accompany the Cost Proposal for the Component bid. It presents a calculation of the total bid price for the Unit bids for the first year of the contract and includes questions on prior non-responsibility, procurement terminations or withholds of the Bidder and certifies that all information is complete and accurate. To calculate the bid price for Line A of the Bid Form, the Bidder must first complete Form CP-1 for the Component bid. Line A on the Bid Form is the sum of all entries in Column C. See Paragraph c. below for details of how to complete Form CP-1.

The remaining two bid Components are reported on Form CP-2. See Part E for an explanation of how these bid Components are evaluated.

b. Proof of Incorporation and Financial Viability

The section must include proof of incorporation or other organizational structure. If the Bidder is a New York corporation, please include a copy of your certificate of incorporation. If a New York not-for-profit corporation, include proof of filing with the Division of Charities Registration. If a foreign corporation or other foreign entity, please include proof of authority to do business in New York. Partnerships, both general and limited, should provide a copy of their organizational documents, together with proof of filing, if required. Entities doing business under an assumed name should provide a copy of their assumed name certification and proof that it has been filed in all required jurisdictions.

The independently audited financial statements and / or Dunn and Bradstreet reports, submitted in support of the Technical Proposal (Part D.2.m) will be reviewed to assess financial viability, capacity and responsibility. While three years of financial statements are required, it is the Bidder's responsibility to demonstrate financial capability to the satisfaction of the State. If additional financial information is necessary to make this showing the Bidder should include such information in its Proposal.

Bidders must pass an evaluation of financial strength to be determined "qualified" for further considerations. A Bidder's financial strength and stability, along with that of any proposed subContractors, will be examined to ensure sufficient assets are available to perform the magnitude of services required.

The Bidder must complete and submit, either on-line or in paper, the appropriate VRQ for the Bidder type. Instructions for on-line submission of vendor responsibility information are in Part F, Section 11. of this RFP.

c. Cost Proposal Forms – Attachment G

Based upon the projected workload outlined in Part C: Detailed Specifications, Section 3 for Component 1 and Section 4 for Component 2, the Bidder must complete and supply any narrative explanation considered necessary and appropriate to assist the Department in its understanding and evaluation of the financial data provided in the Cost Proposal Forms set forth in Attachment G. These forms are used to present the Bidder's fixed Unit price bid for the required deliverables.

i. *Form CP-1 – Annual Price Schedule*

This form contains a list of all of the Units of service that must be bid for each of the Components. There are separate Forms CP-1 for Component 1 and Component 2. The Bidder must enter a Unit price bid for EVERY Unit in the Component bid. Failure to provide a bid for every Unit will result in disqualification of the Bidder. The Bidder must complete Column C of Form CP-1 for the Component bid by

multiplying the Unit price for each Unit by the estimated number of occurrences of the Unit as provided by the Department on the form. The sum of Column C is then entered on Line A of the Bid Form. This number will be used in the competitive evaluation of the bid.

ii. *Form CP-2 – Price Sheet for Additional Work*

This Form contains a list of Units of service and personnel for which the Department seeks an hourly price or special pricing. There are separate Forms CP-2 for Component 1 and Component 2. The Bidder must provide a bid for every Unit and every type of personnel listed on this form or face disqualification.

The Bidder for Component 1 must also provide a price and a methodology for each Unit 1-E (1-Ea through 1-Ee). The price shall be entered on this form. The methodology shall be described on one or more additional sheets of paper that will be included in the Cost Proposal portion of the bid, and labeled "Methodology for Unit [Unit name]." The information provided on Form CP-2 will be used by the Department to assess the quality of the Unit bid prices submitted by the Bidder for each Component.

E. METHOD OF AWARD

At the discretion of the Department of Health, all bids may be rejected. The evaluation of the bids will include, but not be limited to the following considerations:

1. Criteria for Selection**a. Overview**

This section of the RFP sets forth the criteria to be used by the Department for evaluation of the Technical and Cost Proposals submitted in response to the Department's RFP for Components 1 and 2 for assistance with quality assurance activities. All bids must contain two separate Proposals: a Technical Proposal (70 percent of total score) and a Cost Proposal (30 percent of total score). The Technical Proposal will be scored in two parts: General Technical Criteria (30 percent of the total score) and the Unit Criteria (40 percent of the total score).

b. Preliminary Review (Pass/Fail Criteria)

The Bidder is responsible to meet and pass the following provisions:

- submit the Proposal for the Component bid by the time and date required by the RFP;
- submit two separate Components for each Component bid: a Technical and a Cost Proposal;
- submit the cost Proposal for a Component in a separate and sealed envelope from the Technical Proposal
- if bidding on more than one Component, submit the Components and their Technical and Cost parts in separate sealed envelopes
- submit signed Bidder's Assurances (Attachment D) for each Component bid.

If the Bidder fails any of these provisions the Proposal is considered incomplete and will not be scored.

c. Proposal Formatting Requirements

Formatting and submission requirements for each Component bid of the Proposal are as follows:

- i. For each Component bid, submit an original and five (5) printed or typed copies of the Technical Proposal and the original and five (5) printed or typed copies of the Cost Proposal;

- ii. For each Component bid, submit one additional printed or typed copy of the Technical Proposal unbound;
- iii. For each Component bid, submit one additional printed or typed copy of the Cost Proposal unbound;
- iv. For each Component bid submit one (1) CD ROM of the Proposal. While a Bidder will not be disqualified for submitting an incorrectly formatted CD-ROM, the Department prefers that the Proposal be in .pdf format;
- v. Submit separate Proposals clearly marked on the outside cover with the name of the Bidder, the title and number of the procurement as stated on the first page of this RFP, the title and number of the Component bid, as stated in Part A: Introduction, of the RFP and notation whether the package contains the "Technical Proposal" or the "Cost Proposal;"
- vi. Prepare Proposals on letter size (8.5 x 11) paper, single sided text;
- vii. For each Component bid, submit Technical Proposals in a three ring binder;
- viii. For each Component bid, organize the Proposal with tab dividers identifying each section;
- ix. Clearly number pages of the Proposal, with each section of the Proposal separately numbered and identified in the Table of Contents;
- x. Prepare and format the Technical Proposal with the following sections: Transmittal Letter; Table of Contents; Executive Summary; Goals and Objectives; Scope of Work and Quality Assurance Plan; Technical Processes, Policies and Procedures; Personnel; Organization, Experience and Capability; Data Security; Work Plan and Deliverable Schedule; Unit Bids (Forms TP-4 for each Unit); all other Technical Proposal Forms from Attachment F; SubContractor Letters of Intent, if any;
- xi. Curricula Vitae, Licenses and Certifications, Financial Statements, Vendor Responsibility materials, Sales Tax Compliance Certification (Form ST-220-CA), Consultant Services Form A, proof of incorporation or other organizational document, and References, may be submitted in a Separate binder, from the rest of the Technical Proposal;
- xii. Submit the Cost Proposal either in a binder or stapled or otherwise fastened together;

xiii. Prepare and format the Cost Proposal with the following sections: Bid Form (Attachment B) or No Bid Form (Attachment C), Bidders Assurances (Attachment D), any documentation necessary to prove Bidder's financial viability and responsibility, including the VRQ and VRA, fiscal information regarding subContractors, if any, and all Cost Forms from Attachment G.

d. Understanding of survey, complaint investigation, complaint intake and information referral Programs

Bidders will be evaluated on how well they demonstrate scope of knowledge and ability to translate the goals and requirements contained in the RFP into an effective and efficient quality assurance program pursuant to Federal/State statutes, regulations, policies and practices. The Bidder's understanding of the nature, scope and purpose of the various required quality assurance and quality improvement projects will also be evaluated.

e. Technical Approach

The Bidder's overall annual and five year work plans will be evaluated on the quality of task definition including a statement of expected problems and proposed solutions with respect to conducting all required review activities set forth in Part C, Section 3 for Component 1 and Section 4 for Component 2, and in Part D of the RFP, meeting the data security requirements, and the overall project management plan. Specific attention will be given to the Bidder's understanding and demonstrated ability to develop, implement, and manage an effective quality assurance program, which will include both surveillance and complaint intake and investigation programs for each Component.

The Bidder will be evaluated on its plans to coordinate and develop linkage with physicians, hospitals, clinics, home-based service agencies, community coalitions, nursing facilities, adult care facilities, and other community resources in New York State.

The Technical Proposal will be evaluated on the completion and timeliness of its deliverable schedule as well as its management and implementation plan for conducting quality assurance activities.

The Bidder's policies and procedures for monitoring internal effectiveness (including sub-Contractors, if applicable) will be evaluated.

The appropriateness of the staffing levels and qualifications for each task will be evaluated with respect to their feasibility/adequacy to complete the required work in a successful manner and fully support the Bidder's work plan. The Bidder needs to provide rationale/justification i.e. workload estimates to demonstrate the feasibility of their staffing model. If the Bidder is submitting a bid for both Components, it will be evaluated on its plan for

providing sufficient Contractor or subContractor staff to meet all deliverables for both Components, even though the award of a contract for one Component will not guaranty the award of the second Component to the same Contractor.

f. Personnel

The credentials and expertise of the personnel involved (including sub-Contractors and consultants, if applicable) in the Units included in the Component bid will be carefully evaluated. The Bidder's Proposal will be judged on the skills, type, and length of experience of the individuals proposed as well as the extent to which the appropriate disciplines are adequately represented. Evidence of staff experience may include résumés, publications and work references, etc.

g. Organization, Experience, and Capability

- i. Evidence of the organization's experience and ability to implement the survey and complaint intake and investigation program of the Component bid within the specified time frame will be reviewed and evaluated. Experience over the three year period ending December 31, 2007, will be considered as most relevant. Evidence which demonstrates this experience and ability, may include published reports; programmatic data; and documentation of past experience. Evidence of experience working with large state and federal data files will be reviewed and evaluated.
- ii. The Bidder will also be judged on the extent to which their Proposal for a particular Component reflects experience in the subject area of each Unit within the Component and can reasonably be expected to successfully complete the tasks required by the Proposal.
- iii. Bidder's will also be evaluated on staff turnover data as requested in Part D.2.h of this RFP for each Component. The successful Bidder for each Component will be required to maintain experienced staff as included in the schedule of deliverables to be attached to the contract and will be penalized if such standards are not met during the term of the contract. See Part F.8. for additional information about penalties.

Bidders must provide the names, addresses, telephone numbers and contact persons for contracts within the past two years which the Bidder feels are relevant to the activity of each Component of this RFP bid. These references will be contacted by the Department as a means of confirming representation made in the Proposal for the Component. The references listed should be recent, i.e. someone the Bidder has engaged in business with within the most

recent two-year period. This information will be used by the Department as part of an overall evaluation of the Bidder's capabilities and experience.

h. Cost Proposal

The Bidder is expected to submit a bid for each of the Units in a Component of this Proposal for which the Bidder submits a Proposal. The Department will use these Unit price bids to compile a comprehensive cost Proposal which will be used as a foundation for evaluating competing Proposals for that Component. The Cost Proposal of each Bidder will be evaluated separately from the Technical Proposal. The pricing information must be correlated to the schedule of deliverables and projected workload described in the RFP for the Component bid and outlined in the Bidder's deliverable schedule for the Component bid. Price will be a major consideration in the selection of a Contractor from qualifying Proposals for each Component, but the award will not necessarily be made to the Bidder with the lowest bid in each Component. Proposals will be ranked, in part, based upon an estimate of total expenditures under a Component of this RFP for calendar year 2009. See Part D. Only the calculated maximum annual cost for the calendar year 2009 for the Unit bids will be evaluated in the competitive review of the Cost Proposal. The additional hourly Proposals will be awarded to the winning Bidder for each Component. The Department may chose to include or not include the special pricing Units in the award for Component 1.

The Cost Proposal must include proof of incorporation and financial viability. This information should include a minimum of three (3) years of audited financial statements or other appropriate documentation including credit report, Dunn & Bradstreet Reports, etc. If the Bidder has been in business for less than three years, the Bidder should provide audited financial statements for its entire business history. The Bidder is required to demonstrate financial viability to the satisfaction of the State.

i. Vendor Responsibility Review (VRR)

The Bidder with the highest scoring Proposal in a Component will then proceed to VRR. The members of the Selection Committee will conduct the VRR of the highest scoring Bidder for each Component.

i. *Financial Viability and Stability Review*

The highest Bidder in each Component will be reviewed for financial viability and stability first. The purpose of this phase of the review is to determine whether the Bidder has sufficient current and sustained financial capacity, with minimal negative indicators, to perform the terms of the contract for the Component successfully. Reviewers will use the information from the independently audited financial statements and any other information deemed appropriate and relevant to this review to determine this criterion. If the Bidder fails this review it

is not eligible to be awarded the contract and its Proposal will be eliminated from further review.

As part of this review, the Bidder will be responsible for demonstrating the ability to cover 20% of the annual value of the Component bid to ensure its capacity to provide or the activities needed for the surveillance and investigation coverage of all of the Units of the Component bid in this RFP.

ii. *Responsibility Review*

If the highest Bidder for a Component is successful in the Financial Viability and Stability Review, it will also be reviewed for responsibility. Reviewers will use the VRQ and any other information submitted in the bid Proposal or otherwise available to or obtained by the Department of Health to complete this process. Reviewers will consider whether the Bidder meets such criteria as

- ✓ Satisfactory record of prior performance,
- ✓ Necessary licenses,
- ✓ Satisfactory record of business integrity, and
- ✓ Compliance with public policy.

An unfavorable determination in one or more of these areas may result in a non-responsibility determination by the Department. Such determination means that the Bidder is not eligible to be awarded the contract for either Component of this RFP and will be eliminated from further review. The Committee will then submit the next highest Bidder in the Component to VRR. This process will continue until a Bidder for each Component passes VRR or all Bidders for a Component are eliminated.

j. Reference Review

The highest scoring Bidder from each Component to pass Vendor Responsibility Review will proceed to reference check. If the Bidder passes the reference check, the Bidder will be awarded the contract for that specific Component.

If the Bidder fails the reference check, the next highest scoring Proposal for that Component will be submitted to VRR and if it passes VRR to Reference Review. The highest ranked Bidder that passes both VRR and Reference Review in a Component will be awarded the contract for that Component. This process will be continued until a Bidder passes all reviews or until all Bidders of a Component have been reviewed and all have failed to pass.

F. ADMINISTRATIVE**1. Issuing Agency**

This RFP is a solicitation issued by the New York State Department of Health. The Department is responsible for the requirements specified herein and for the evaluation of all Proposals.

2. Qualified Organizations

The Department will accept Proposals from health care review organizations, health care organizations with the potential to initiate the quality assurance programs described in Components 1 and 2 of this RFP; business groups and councils interested in conducting the functions described in this RFP, health care insurers and other existing or potential proprietary or private review organizations. In order to qualify an organization must be composed of, or have available to it, the services of licensed health care professionals and other professionals with the experience and training necessary to conduct the required review activities.

A Contractor must not be a health care facility provider, an association of health care facilities, or a health care facility affiliate in New York State. The potential Contractor must provide assurance that it has no conflict of interest with respect to conducting the duties and responsibilities of the Component of this RFP bid.

It is preferred that the Contractor for each Component establish an office in or near New York State for the purpose of carrying out the activities and responsibilities of each Component of this RFP. The Bidder should also be available for face-to-face meetings with Department staff in NYS Capital Region or New York City on a quarterly or more frequent basis.

The Bidder must include as part of the Technical Proposal for each Component bid, the assurances listed in Attachment D. The assurances must be signed on behalf of the Bidder by an authorized individual who attests that the assurances are true and accurate.

3. **Inquiries**

Any questions concerning this solicitation must be directed to:

Priscilla Davis
Health Program Administrator 1
NYS Department of Health
Office of Long Term Care
Bureau of Continuing Care Policy Initiatives and Research
161 Delaware Avenue
Delmar, NY 12054
(518) 408-1132
quality@health.state.ny.us

Questions and answers, as well as any RFP updates and/or modifications, will be posted on the Department of Health's website at <http://www.nyhealth.gov/funding/> by the date listed in the Schedule of Events at the beginning of this RFP. Bidders wishing to receive a paper copy of these documents must send a request, in writing, to the Department at the address above. Due to the printed size of this RFP and the accompanying documentation, the Department will be unable to provide copies by mail. Bidders who do not have access to the Internet must arrange to pick up a copy of the RFP at Department offices at 161 Delaware Avenue, Delmar, NY, between the hours of 10:00 am and 4:00 pm. Because of the size of the printed RFP, Bidders wishing to obtain a paper copy must allow the Department at least five (5) business days for printing a paper copy of the RFP.

4. **Bidders' Conference**

A Bidders' Conference will be held for prospective Bidders on the date and location specified in the Schedule of Events. The purpose of the conference is to provide information concerning the Department's requirements, which may be helpful in the preparation of Proposals for the Components of the RFP, and to answer questions regarding this solicitation. Attendance at the conference is not required and will not be considered a factor in evaluating the Proposals. A summary of the conference and responses to any questions received outside the Bidder's conference will be posted on the Department web site (<http://www.nyhealth.gov/funding/>).

The Department will receive questions from interested Bidders until the date listed on the front of this RFP, which is one week after the scheduled date of the Bidder's conference. If the date of the Bidder's conference is extended the date for submission of questions will be extended until one week after the Bidder's conference.

5. **Submission of Proposals**

a. Separate Submissions.

Bid Proposals for each Component shall be prepared in two (2) parts: a Technical Proposal and a Cost Proposal, prepared in accordance with the requirements stated in this RFP. The Technical Proposal and the Cost Proposal must be submitted under separate sealed cover. One (1) copy each of the Technical and Cost Proposals for each Component bid must be unbound. One copy of the Technical and Cost Proposal must also be submitted on CD ROM in a Microsoft Office or Adobe Acrobat (PDF) format (.pdf preferred).

The outside cover of the separate, sealed package containing each Technical Proposal shall be clearly marked by Proposal Name and RFP #, the Component number and Title and Proposal type (Technical Proposal), followed by the Bidder's Name.

Example: New York State Department of Health
Assistance with Quality Assurance for Nursing Homes,
ICFs/MR, Home Care Services Agencies, Adult Care Facilities,
Hospitals and Diagnostic and Treatment Centers – RFP #
0802151214
Component ["1" or "2" and Name of Component]
Technical Proposal
(Bidder's Name)

The outside cover of the separate, sealed package containing the Cost Proposal shall be clearly marked by Proposal Name and Proposal type (Cost Proposal), followed by the Bidder's Name

Example: New York State Department of Health
Assistance with Quality Assurance for Nursing Homes,
ICFs/MR, Home Care Services Agencies, Adult Care Facilities,
Hospitals and Diagnostic and Treatment Centers – RFP #
0802151214
Component ["1" or "2" and Name of Component]
Cost Proposal
(Bidder's Name)

b. Delivery of Proposals

Responses to this solicitation should be directed to:

Sarah van Leer
Assistant Director
Bureau of Continuing Care Policy Initiatives and Research
Office of Long Term Care
NYS Department of Health

161 Delaware Avenue
Delmar, NY 12054
(518) 408-1132
quality@health.state.ny.us

It is the Bidders' responsibility to see that bids are delivered to the above address no later than 4:00 pm on the due date. Late bids due to delay by the carrier or any other reason will not be considered.

c. Other Requirements

- i. The Bid Form must be filled out in its entirety.
- ii. The responsible corporate officer for contract negotiation must be listed. This document must be signed by the responsible corporate officer.
- iii. All evidence and documentation requested under Part D: Proposal Requirements – Instructions to Bidders must be provided at the time the Proposal is submitted.

The Department will evaluate the Proposals for each Component according to the criteria set forth in this RFP. Only those Bidders who furnish a complete Proposal for a Component will be considered for evaluation for that Component.

6. The Department reserves the right to:

- a. Reject any or all Proposals received in response to this RFP.
- b. Waive or modify minor irregularities in Proposals received after prior notification to the Bidder.
- c. Adjust or correct cost or cost figures with the concurrence of Bidder if errors exist and can be documented to the satisfaction of the Department and the State Comptroller.
- d. Negotiate with Bidders responding to this RFP within the requirements to serve the best interests of the State.
- e. Eliminate mandatory requirements unmet by all Bidders.
- f. If the Department of Health is unsuccessful in negotiating a contract with the selected Bidder for a Component within an acceptable time frame, the Department of Health may begin contract negotiations with the next qualified Bidder(s) in that Component in order to serve and realize the best interests of the State.

7. Payment

If awarded a contract, the Contractor shall submit invoices to the State's payment office as designated at the time the contracts are awarded for each of the Components of this RFP.

a. General Payment Information.

Payment of such invoices by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be based on the successful completion of the deliverables set forth in the scope of work for each Component and paid according to the bid price for each Unit. The bid price for the Unit is the single price the Department will pay the Contractor for Units of that type regardless of the costs that the Contractor incurs to field staff to perform Unit activities according to the Department's specifications.

b. Payment for Units of Service.

In all circumstances, the Bidder must bid on the entire Unit of service as described in Part C of this RFP. In some instances the team described in the Unit will be filled in part by Contractor staff and in part by State staff. The ratio of Contractor to State staff and the selection of which positions will be State staff and which will be Contractor staff is entirely within the discretion of the Department, although the Department contract managers will consult with the Contractor about these assignments. In some instances fewer personnel will be assigned to a specific Unit than are anticipated in the Unit description.

If the Contractor fields fewer than the full complement of staff for any Unit, whether because some of the staff are State employees, or because the Department has determined that fewer than the full complement of staff are needed to perform the task, the Contractor will be paid a proportionate amount of the Unit price bid.

Example I. If the Contractor were to have bid \$1,000 for the completion of a Unit which requires 5 staff to execute, and the Contractor fields only 3 of the five staff, the Contractor may bill and be paid for 3/5 of the Unit price or \$600.

Example II. If the Contractor were to have bid \$100 for a Unit described as needing 1 or 2 staff and the Department determines that the assignment can be completed by one Contractor staff, the Contractor may bill and be paid for 50% of the Unit price or \$50.

Example III. If the Contractor were to have bid \$500 for a Unit described as needing "at least" 2 staff and the State assigns three Contractor staff to the activity, the Contractor may bill and be paid 50% more than the Unit price or \$750. However, in this scenario, if the third staff member assigned is State staff, the Contractor will not be paid the

additional \$250. Furthermore, in this scenario, if the Department assigns 2 State staff and one Contractor staff to the activity, the Contractor may bill and will be paid 50% of the Unit price or \$250.

The Contractor may not bill the Department for a Unit until the Unit is complete. The information about when each Unit is complete for the purposes of billing for the Unit is included in the charts in Part C of this RFP for each Unit. The time at which the Contractor may bill for a Unit is not necessarily the point in the process where all activities related to a Unit have been completed. Nevertheless, the Contractor must complete all the activities required for the Unit within the required time frames, or face a penalty. **Bidders should note that the Contractor may continue incurring costs for a Unit even after it is complete, billed to the Department and paid for in full.**

8. Penalties

The contracts awarded for the Components of this RFP are subject to a variety of penalties based on performance standards as determined by the Department. The Bidder must take these penalties into account and understand that there will be no exceptions to the enforcement of these penalties if the performance standards are not met. Penalties described in this section are cumulative unless they are described below as being alternative.

a. Competent Statements of Deficiencies (SOD).

For Units of service that require the Contractor to complete and submit an SOD to State staff for review, the Bidder must assure that Contractor staff are properly trained and able to prepare competent and professional SOD. If Department staff rejects more than 20% of the Contractor's SODs for a Unit during any month in which the contract is in effect, the Bidder's payment for those Units with rejected SODs will be reduced by 10% in the nature of a penalty for failure of performance.

In addition, should the Department reject more than 20% of a Contractor's SODs for a Unit during any month, the Contractor must submit a written plan to the Department by the 15th day of the following month, showing how the Contractor will cure this deficiency within 60 days. Failure to submit the remediation plan in a timely manner will result in a penalty to the Contractor of 1% of all billings for the Unit to which the plan applies in the month during which the remediation plan was due. Failure to implement the plan will result in a penalty of 1% of all billings for Unit until the plan is implemented.

The penalties in this paragraph are cumulative, not alternative.

b. Timely closing of complaints.

Complaints must be closed within 180 days of assignment for nursing homes and within 120 days for ACF and Home Care complaints. Other periods for timely closure of complaints will be included in the contracts resulting from this RFP. Any failure to meet closing dates for any complaint type will invoke the penalties described below.

For any complaint investigation for which the Contractor is paid prior to closure, 10% of the amount billed will be held by the Department to assure timely closure. If the complaint has not been closed within 180 days of assignment, or 120 days, as applicable, the Contractor will be penalized 10% of the billing for that complaint Unit.

For any complaint which is not billed until after closure, the Contractor is subject to a penalty of 10% of the billing for that complaint if the complaint was not closed within 180 days of assignment, or 120 days, as applicable.

c. Failure to replace terminated staff.

The Contractor must have a plan in place for replacing Contractor staff assigned to the contracts awarded pursuant to the RFP who resign or are terminated. These staff must be replaced within 45 days of the last day worked on the contract. Failure of the Contractor to implement this plan will result in a penalty of \$1,000 per week for each week that the plan is not implemented.

For each Contractor staff member not replaced within 45 days of last day of work, the Contractor will be subject to a penalty of \$100 per day for which the staff line remains unfilled.

d. Failure to meet monthly, quarterly, and annual deliverables.

The schedule in the Chart in Attachment E, describes the maximum number of each of the Units which the Department anticipates to complete during a calendar year. For each year of the contract, a specific deliverables schedule will be developed between the Contractor and the Department and included as Appendix D-2 to the contract. This schedule will indicate how many of each Unit are to be completed by the Contractor on a monthly, quarterly and annual basis. Failure to complete Units as required in each annual Appendix D-2, will subject to the Contractor to a penalty.

For each monthly deliverable not met, the penalty will be 10% of the value of the uncompleted Units for the month. For each quarterly deliverable not met, the penalty will be 25% of the value of the uncompleted Units for the quarter. For each annual deliverable not met, the penalty will be 100% of the value of the uncompleted Units for the year, plus the amount of any federal financial participation disallowed by CMS as a result of the failure to comply with federal standards.

e. Failure to field qualified staff

Each Unit lists required qualifications for the Contractor staff who will be performing the activities of that Unit. If the Contractor fails to provide sufficient qualified staff to perform Unit functions as required by the Department, a penalty will be imposed.

For each staff function listed on Forms TP-1 and TP-2, for which staff is not provided for more than 15 consecutive days in any period, there will be a penalty of \$100.

f. Failure to file required reports on time.

If the Contractor fails to submit any report required by the Contracts issued pursuant to this RFP by the date such report is due, there will be a penalty for each late report of \$250. This penalty may be waived if the late filing of the report was not due to the fault of the Contractor.

g. Failure to complete required processes within the required time frames, e.g. reports, follow-up inspections, reviews, etc.

Each of the Units includes a description of the standards under which the quality activity will be conducted. These standards, federal and State law and federal, State and Department regulations include time constraints within which certain activities must be performed. Whenever, under any of these standards, Contractor staff has a duty, obligation or charge to take action within a particular time frame and does not do so within that time frame, there will be a penalty of 10% of the value of the Unit for which time frames were not met. This penalty does not apply to a failure to close a complaint on a timely basis.

h. Violations of HIPAA or Medicaid confidentiality or privacy; breach of information security (see Section 14 below); breach of any other confidentiality or privacy requirement of law or regulation.

Any violation by a Contractor of these requirements which violation results in an fine or penalty being imposed on the State of New York, will subject the Contractor to a penalty equal to twice the amount of the fine imposed on the State. In addition, the Contractor will hold the State harmless and reimburse the State for any damages or other costs to which the State may be subject as a result of the Contractor's violation of these requirement.

9. **Term of Contract**

A contract awarded under this RFP shall be effective upon approval of the NYS Office of the State Comptroller. The expected contract term is for one year, renewable annually for four additional years, starting on January 1, 2009, and continuing through December 31, 2013, subject to availability of

funds, the needs of the Department, approval by the Office of the State Comptroller, and successful performance by the Contractor.

It is intended that the Proposal's bid price for each Unit of service will remain fixed for the five possible years of the agreement. However, the Contractor may request a cost increase annually. Cost increase requests may be considered at the time of each annual renewal if the contract is extended. In general, the maximum permitted cost increase will be the percentage increase in the Consumer Price Index for Urban Wage Earners and Clerical Workers (CPI-W) for the twelve month period ending in June before the end of the contract period. The increase in the CPI-W will be based on that issued by the United States Department of Labor for New York - Northern New Jersey for "All Items", and applied to each Unit of the contract. Requests for price increases greater than that amount, such as minimum wage increase, must include an explanation of the special circumstances, along with complete documentation of the increased cost. In any case, rate increases may not exceed five percent (5%). Any increase will be subject to availability of funds and the needs of the Department and must have the approval of the Office of the State Comptroller.

A contract awarded under this RFP may be canceled at any time by the Department giving to the Contractor not less than thirty (30) days written notice that on or after a date specified in the notice, the contract shall be deemed terminated and canceled.

Liquidated Damages. In the event the Department needs to cancel any contract awarded under this RFP, due to the fault or failure of performance of the Contractor, or if the Contractor terminates this agreement for any reason, the Department will be entitled to damages from the Contractor. These damages will include the costs of completing the current year of the contract with another Contractor or other staff. The damages will also include any losses of federal financial participation attributable to a failure to meet federal standards for the year in which the contract is terminated. The damages will also include the costs of reprocurring the services provided under the Contract. The damages will also include any other losses by the Department that can be shown to be consequential to the fault or failure of the Contractor resulting in the termination of the contract.

10. **Debriefing**

Once awards have been made, Bidders may request a debriefing of their Proposal(s). Please note the debriefing will be limited only to the strengths and weaknesses of the Bidder's Proposal(s), and will not include any discussion of other Proposals. Requests must be received no later than three months from date of award announcement.

11. Vendor Responsibility Questionnaire (VRQ)

New York State procurement law requires that state agencies award contracts only to responsible vendors. Bidders are invited to file the required VRQ online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at www.osc.state.ny.us/vendrep or go directly to the VendRep system online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us. Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the Office of the State Comptroller for a copy of the paper form. Bidders must also complete and submit the VRA (Attachment H to this RFP).

12. State Consultant Services Reporting

Chapter 10 of the Laws of 2006 amended certain sections of State Finance Law and Civil Service Law to require disclosure of information regarding contracts for consulting services in New York State.

The winning Bidders for procurements involving consultant services, i.e., the winning Bidders for Components 1 and 2 under this RFP, must complete a "State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term" in order to be eligible for a contract.

Winning Bidders must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Department, the Office of the State Comptroller, and Department of Civil Service.

Both of these forms are included in this RFP as Attachment I.

13. Lobbying Statute

Chapter 1 of the Laws of 2005, as amended by Chapter 596 of the Laws of 2005, provides, among other things, the following as pertains to development of procurement contracts with governmental entities:

- makes the lobbying law applicable to attempts to influence procurement contracts once the procurement process has been commenced by a state agency, unified court system, state legislature, public authority, certain industrial development agencies and local benefit corporations;
- requires the above mentioned governmental entities to record all contacts made by lobbyists and Contractors about a governmental

procurement so that the public knows who is contacting governmental entities about procurements;

- requires governmental entities to designate persons who generally may be the only staff contacted relative to the governmental procurement by that entity in a restricted period;
- authorizes the Temporary State Commission on Lobbying to impose fines and penalties against persons/organizations engaging in impermissible contacts about a governmental procurement and provides for the debarment of repeat violators;
- directs the Office of General Services to disclose and maintain a list of non-responsible Bidders pursuant to this new law and those who have been debarred and publish such list on its website;
- requires the timely disclosure of accurate and complete information from offerers with respect to determinations of non-responsibility and debarment;
- expands the definition of lobbying to include attempts to influence gubernatorial or local Executive Orders, Tribal–State Agreements, and procurement contracts;
- modifies the governance of the Temporary State Commission on lobbying;
- provides that opinions of the Commission shall be binding only on the person to whom such opinion is rendered;
- increases the monetary threshold which triggers a lobbyist's obligations under the Lobbying Act from \$2,000 to \$5,000; and
- establishes the Advisory Council on Procurement Lobbying.

Generally speaking, two related aspects of procurements were amended: (i) activities by the business and lobbying community seeking procurement contracts (through amendments to the Legislative Law) and (ii) activities involving governmental agencies establishing procurement contracts (through amendments to the State Finance Law).

Additionally, a new section 1-t was added to the Legislative Law establishing an Advisory Council on Procurement Lobbying (Advisory Council). This Advisory Council is authorized to establish the following model guidelines regarding the restrictions on contacts during the procurement process for use by governmental entities (see Legislative Law §1-t (e) and State Finance Law §139-j). In an effort to facilitate compliance by governmental entities, the Advisory Council has prepared model forms and language that can be used to meet the obligations imposed by State Finance Law §139-k, Disclosure of Contacts and Responsibility of Offerers. Sections 139-j and 139-k are collectively referred to as “new State Finance Law.”

It should be noted that while this Advisory Council is charged with the responsibility of providing advice to the New York Temporary State Commission on Lobbying (Lobbying Commission) regarding procurement lobbying, the Lobbying Commission retains full responsibility for the interpretation, administration and enforcement of the Lobbying Act established by Article 1-A of the Legislative Law (see Legislative Law §1-t (c)

and §1-d). Accordingly, questions regarding the registration and operation of the Lobbying Act should be directed to the Lobbying Commission.

14. Accessibility of State Agency Web-based Intranet and Internet Information and Applications

Any web-based intranet and internet information and applications development or programming delivered pursuant to the contract or procurement will comply with NYS Office for Technology Policy P04-002, "Accessibility of New York State Web-based Intranet and Internet Information and Applications", and NYS Mandatory Technology Standard S04-001, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and internet information and applications are accessible to persons with disabilities. Web content must conform to NYS Mandatory Technology Standard S04-00, as determined by quality assurance testing. Such quality assurance testing will be conducted by the Department, Contractor or other, and the results of such testing must be satisfactory to the Department before web content will be considered a qualified deliverable under the contract or procurement.

15. Information Security Breach and Notification Act

Section 208 of the State Technology Law (STL) and Section 899-aa of the General Business Law (GBL) require that State entities and persons or businesses conducting business in New York who own or license computerized data which includes private information including an individual's unencrypted personal information plus one or more of the following: social security number, driver's license number or non-driver ID, account number, credit or debit card number plus security code, access code or password which permits access to an individual's financial account, must disclose to a New York resident when their private information was, or is reasonably believed to have been, acquired by a person without valid authorization. Notification of breach of that private information to all individuals affected or potentially affected must occur in the most expedient time possible without unreasonable delay, after measures are taken to determine the scope of the breach and to restore integrity; provided, however, that notification may be delayed if law enforcement determines that expedient notification would impede a criminal investigation. When notification is necessary, the State entity or person or business conducting business in New York must also notify the following New York State agencies: the Attorney General, the Office of Cyber Security & Critical Infrastructure Coordination (CSCIC) and the Consumer Protection Board (CPB). Information relative to the law and the notification process is available at: <http://www.cscic.state.ny.us/security/securitybreach/>

16. New York State Tax Law Section 5-a

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain Contractors awarded state contracts for commodities, services and technology valued at more than \$100,000 to certify to the Department of Tax

and Finance (DTF) that they are registered to collect New York State and local sales and compensating use taxes. The law applies to contracts where the total amount of such Contractors' sales delivered into New York State are in excess of \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subContractors whose sales delivered into New York State exceeded \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain Contractors the obligation to certify whether or not the Contractor, its affiliates, and its subContractors are required to register to collect state sales and compensating use tax and Contractors must certify to DTF that each affiliate and subContractor exceeding such sales threshold is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agencies, from approving a contract awarded to an offerer meeting the registration requirements but who is not so registered in accordance with the law.

Contractor must complete and submit directly to DTF, Contractor Certification Form ST-220-TD (Attachment J to this RFP). Unless there are changes in information upon which the ST-220-TD is based, this form only needs to be filed once with DTF. If the information changes for the Contractor, its affiliate(s), or its subContractor(s), a new form ST-220-TD must be filed with DTF.

Contractor must complete and submit to the Department the form ST-220-CA (Attachment K to this RFP), certifying that the Contractor filed the ST-220-TD with DTF. Failure to make either of these filings may render an Bidder non-responsive and non-responsible in the financial responsibility review. Bidders shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law.

G. APPENDICES

The following will be incorporated as appendices into any contract resulting from this RFP. This RFP will, itself, be referenced as an appendix of the contract.

APPENDIX A - Standard Clauses for All New York State Contracts

APPENDIX B - Request for Proposal

APPENDIX C – Proposal. The Bidder's Proposal (if selected for award), including any Bid Forms and all Proposal requirements.

APPENDIX D - General Specifications

APPENDIX D-2 – Annual Schedule of Deliverables

APPENDIX E – Workers' Compensation and Disability

Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for:

Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

WC/DB-100 – Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; *OR*

C-105.2 – Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the *U-26.3*; *OR*

SI-12 – Certificate of Workers' Compensation Self-Insurance, *OR*

GSI-105.2 – Certificate of Participation in Workers' Compensation Group Self-Insurance.

Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:

WC/DB-100 – Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; *OR*

DB-120.1 – Certificate of Disability Benefits Insurance, *OR*

DB-155 – Certificate of Disability Benefits Self-Insurance.

APPENDIX H - Health Insurance Portability and Accountability Act (HIPAA) Agreement

APPENDIX I – Medicaid Confidential Data/Protected Health Information Privacy Language

ATTACHMENTS – Part 1

- A. Letter of Interest
- B. Bid Form
- C. No Bid Form
- D. Bidder's Assurances
- E. Data Chart
- F. Technical Proposal Forms
- G. Cost Proposal Forms
- H. NYS Office of the State Comptroller Vendor Responsibility Questionnaire and Attestation
- I. State Consultant Services Forms A and B and Instructions for Completion
- J. NYS Taxation and Finance Contractor Certification Form ST-220-TD
- K. NYS Taxation and Finance Contractor Certification Form ST-220-CA
- L. Standard Form of NYS Miscellaneous Services Contract
- M. Appendix A: Standard Clauses for All New York State Contracts
- N. Appendix D: General Specifications
- O. Appendix H: HIPAA Business Associate Agreement – Confidentiality Agreement
- P. Appendix I: Medicaid Confidential Data/Protected Health Information Privacy Language

ATTACHMENTS – Part 2

- 1. Adult Day Health Care Program Quality Activities - Desk Audit
- 2. Adult Day Health Care Program Quality Activities - Survey
- 3. Adult Day Health Care Program Quality Activities - Complaint Investigation
- 4. Adult Day Health Care Program Quality Activities - Complaint Intake
- 5. Adult Care Facility Quality Activities - Complete Inspection – ACF, ALR, SNALR
- 6. Adult Care Facility Quality Activities - Complete Inspection EALR
- 7. Adult Care Facility Quality Activities - Partial Inspection, including ALR, EALR, SNALR
- 8. Adult Care Facility Quality Activities - Complaint Intake, including ALR, EALR, SNALR, ALP
- 9. Adult Care Facility Quality Activities - Complaint Investigation Survey, including ALR, EALR, SNALR, ALP
- 10. Adult Care Facilities Quality Activities - Pre-opening Survey, including ALR and ALP
- 11. Adult Care Facility Quality Activities - Questionable Operations (Q-Op) Investigation
- 12. Adult Care Facility Quality and Surveillance Operations Manual – Death Investigations
- 13. Facility Closure Plan Guidelines
- 13a. Facility Closure Plan Guidelines – Additional Guidelines for Q-Op Closures
- 14. Home Care Services Agency Quality Activities - LHCSA Routine Operational Survey
- 15. Home Care Services Agency Quality Activities - LHCSA Pre-opening Survey
- 16. Home Care Services Agency Quality Activities - LHCSA Policy and Procedure Manual Review
- 17. Home Care Services Agency Quality Activities - Home Care and Hospice Complaint Intake
- 18. Home Care Services Agency Quality Activities - Home Care Complaint Investigation

19. ICF/MR Quality Activities - ICF/MR Federal Standard Survey
20. ICF/MR Quality Activities - ICF/MR Life Safety Code Review
21. ICF/MR Quality Activities - ICF/MR Extended Survey
22. ICF/MR Quality Activities - On-Site Complaint Survey
23. ICF/MR Quality Activities - Federal Revisit – Health
24. ICF/MR Quality Activities - ICF/MR Complaint Intake and Investigation
25. ICF/MR Quality Activities - ICF/DD Certification Review
26. Medicaid Waiver Related Quality Activities - Complaint Intake Related to Care At Home Waivers
27. Medicaid Waiver Related Quality Activities - Complaint Intake Related to Long Term Home Health Care Waiver Program
28. Medicaid Waiver Related Quality Activities - Complaint Intake Related to Nursing Home Transition and Diversion Waiver
29. Medicaid Waiver Related Quality Activities - Complaint Intake Related to Traumatic Brain Injury Waiver
30. Nursing Home Quality Activities - Federal Standard Survey
31. Nursing Home Quality Activities - Extended Survey
32. Nursing Home Quality Activities - Staggered Survey
33. Nursing Home Quality Activities - On-site Complaint Survey
34. Nursing Home Quality Activities - Partial Extended Survey
35. Nursing Home Quality Activities - Off-site Complaint Investigation
36. Nursing Home Quality Activities - Federal Initial Survey
37. Nursing Home Quality Activities - Federal Revisit – Health
38. Nursing Home Quality Activities - Federal Revisit – Complaint
39. Nursing Home Quality Activities - State Monitoring Visit
40. Nursing Home Quality Activities - Federal Revisit -- Life Safety Code
41. Nursing Home Quality Activities - Complaint Intake
42. Nursing Home Quality Activities - Informal Dispute Resolution
43. Nursing Home Quality Activities - Random Quality Assurance Audits
44. Nursing Home Quality Activities – Enforcements
45. Diagnostic and Treatment Center Quality Activities - D&TC Survey
46. Hospital Quality Activities - Hospital and D&TC Complaint Intake
47. Hospital Quality Activities - Hospital and D&TC Complaint Investigation / Survey
48. Hospital Quality Activities - Hospital Complaint Resolution
49. Hospital Quality Activities - NYPORTS Reviews – Central Office
50. Hospital Quality Activities - NYPORTS Reviews – Regional Offices
51. Hospital Quality Activities – Targeted Surveillance Team