

**New York State Department of Health
A Request for Proposal for
Pre-Admission Screening and Resident Review (PASRR)**

**Division of Long Term Care Resources- Bureau of Operations
Office of Long Term Care
RFP # 1001061024
April 30, 2010**

1. May an Executive Summary be added over and above the stated page limitation?

A brief Executive Summary is acceptable.

- a) If so, is there a limit to the number of pages for the Executive Summary?

Please limit the number of pages for the Executive Summary to three (3) pages.

2. Please clarify whether the state is requesting two CD-ROMs (1 Technical and 1 Financial) or four CD-ROMs (2 Technical and 2 Financial)?

Please submit two (2) CD-ROMs; one (1) containing the technical information and one (1) containing financial information as stated in Section F 4. Administrative, Page 15 of the RFP.

3. Please confirm that the Services of Lesser Intensity (SLI) validation sample under the upcoming contract term will be 20% instead of the current 5%.

Yes, the Services of Lesser Intensity (SLI) validation sample under the upcoming contract term will be 20%, as stated on Page 8 of the RFP.

4. Is the current Level II assessment tool expected to be revised during the term of this contract?

Yes, the current Level II assessment (evaluation) tool is currently under revision. Further changes may be expected during the term of this contract based upon ongoing review by the NYS PASRR Workgroup and/or in response to regulatory changes.

- a) If so, is the level of effort required to complete the new tool the same?

The level of effort will be dependent upon the bidder's ability to complete the tool in accordance with Federal PASRR requirements.

- b) Will any ancillary activities (e.g., training, programming) be required by the contractor to support the implementation of the new tool?

Yes, ancillary activities (e.g., training, programming) will be required by the contractor to support the implementation of the new tool. The contractor will be responsible for training its staff on the completion of the revised tool consistent with Federal PASRR requirements.

- c) How should any proposed change be reflected in the budget submitted with this proposal?

The bidder must determine how any proposed change should be reflected in the budget submitted with this proposal. The contractor will be responsible for assuring that Level II evaluations are conducted consistent with Federal PASRR requirements.

5. Are all reviews to be conducted in-state?

No, all reviews are not conducted within NYS. Out-of-state reviews are conducted when a NYS Medicaid recipient experiences a significant change in condition, requiring a Level II referral. The contractor will be expected to work with the team of out-of-state healthcare professionals and with the Department's out-of-state placement coordinator to collect and review all necessary documents and assessments to fulfill PASRR requirements. A paper review may be conducted if the contractor is able to solicit the required documents from the out-of-state provider. Additionally, the contractor may include phone interview(s) if necessary.

- a) If not, how many or what percent of reviews are expected to be conducted out-of-state?

The anticipated number of reviews conducted for out-of-state NYS Medicaid recipients is approximately 12 per year.

6. Attachment 14 (Cost Proposal Form) reflects an annual volume of 2,600 screens, while Section D instructs the bidder to "offer a total bid, based on an estimated 2,500 evaluations annually." Which number should be used for the budget, i.e., 2,500 or 2,600?

Please submit Attachment 14 (Cost Proposal Form) based on 2,600 as the number of screens (Level II evaluations) anticipated annually.

7. Will the contractor be expected to provide technical assistance relative to PASSR but not to a specific assessment, e.g., participate in a state workgroup or conduct other activities?

Yes, the contractor will be expected to provide technical assistance relative to PASSR including, but not limited to, participation on the NYS PASRR workgroup.

- a) If so, can the cost proposal include an hourly rate over and above the table in the cost proposal form for consulting and technical assistance?

No, the cost proposal cannot include an hourly rate over and above the table in the cost proposal form for consulting and technical assistance.

8. Please advise on the purpose of the Data Use Agreement (DUA) relative to this procurement. Will the contractor be given access to MDS and other Medicaid data from the state?

Yes, the contract awardee will be required to enter into a Data Use Agreement (DUA) to gain access to Minimum Data Set (MDS) and other Medicaid related data (Appendix I).

9. Can the Department provide information about the current contract value on a unit basis as well as the total contract cost?

Information regarding the current contract value may be requested under the Freedom of Information Law (FOIL). Submit a written request to:

Robert LoCicero
Records Access Office
New York State Department of Health
Corning Tower Room 2364
Albany, New York 12237-0044
Fax: (518) 486-9144
E-mail: foil@health.state.ny.us.

10. Please provide information concerning the number of individuals performing evaluations. Are these individuals full-time or consultants?

Information regarding the number of individuals performing evaluations, and specifically whether these individuals are full-time or consultants, is maintained by the current contractor and not by the Department.

11. Is there any seasonality in the activity/review volumes? Is it possible to receive summary data related to monthly or quarterly historical volumes?

There is no trended information to support seasonality in the activity/review volumes. For 2009 there was an average monthly total of 186 Level II Evaluations.

12. Does the Department have data collection tools that could be used by a new Contractor or should bidders anticipate the development of tools subject to Department approval?

The NYS PASRR Workgroup has developed evaluation tools to be used for the purpose of fulfilling Federal and State PASRR requirements. The bidder should anticipate that re-development and/or revisions to the current evaluation tools and any internal data collection tools may be required consistent with Federal and/or State PASRR requirements.

13. If the bidder should plan to create data collection tools are these to be completed during the 45 day transition period to full operations?

Yes. The contract awardee should plan on finalizing all internal data collection tools during the 45-day start-up period to full operations. The contract awardee will continue to work with the NYS PASRR Workgroup in the finalization of the Level II evaluation tool, if not completed during this period.

14. Could the Department provide information about the personnel conducting the Level I evaluation, e.g., are they staff members at the relevant entities or contracted vendors?

Level 1 SCREENS are completed by trained/certified screeners who are employed either independently or by the relevant entities.

15. Section C, Detailed Specifications, states on page 6 that the anticipated start date is July 1, 2010. Does the 45 day period to reach full operation as indicated in Section IV on page 11 begin on July 1, 2010?

The contract awardee is expected to reach full operation within 45 days following the contract start date.

16. Section C.1 on page 6 indicates that the vendor will conduct Level II evaluations for Mental Illness (MI). Please clarify how Level II reviews are handled if an individual has both a Mental Retardation (MR) and an MI diagnosis.

If an individual has both MR and an MI diagnosis, the initial referral should be based on the criteria identified in the Instruction Manual for SCREEN Form: DOH-695 (2/2009) which may be found on the NYS Department of Health website at www.nyhealth.gov. Click on Forms and then scroll to SCREEN/PASRR.

17. Section C.1 on the top of page 7 indicates that the Contractor may perform administrative reviews for out of state residents where the Level II PASRR evaluation was performed by the host facility with DOH approval.

- a) Can the Department indicate the number of these reviews conducted on average over the course of a year?

The anticipated number of reviews conducted for out-of-state NYS Medicaid recipients is approximately 12 per year.

- b) Are there occasions when the Department does NOT approval the host facility conducting PASRR Level II evaluations and if so what is the responsibility of the Contractor?

An out-of-state review is conducted when a NYS Medicaid recipient experiences a significant change in condition, requiring a Level II evaluation. The contractor will be expected to work with the team of out-of-state healthcare professionals and with the Department's out-of-state placement coordinator to collect and review all necessary documents and assessments to fulfill PASRR requirements. A paper review may be conducted if the contractor is able to solicit the required documents from the out-of-state provider. Additionally, the contractor may include phone interview(s) if necessary.

- c) If out-of-state evaluations are conducted onsite by the Contractor, is the five day timeframe extended?

No, if out-of-state evaluations were to be conducted onsite by the Contractor, the five-day timeframe may not be extended.

- d) If out-of-state evaluations are a requirement, can the Department provide the number of these evaluations conducted onsite by the Contractor during the last year?

The annual number of out-of state evaluations for 2009 was five.

18. Section C.1, in the middle of page 7 states that the person who performs the Level II evaluations must assess whether the individual's total needs can be met in an appropriate community setting. Does the Contractor have a responsibility to indicate the nature and scope of home and community-based services that are indicated? We would appreciate more detail on this important determination.

Yes, the Contractor does have responsibility to indicate the nature and scope of home and community-based services that may be indicated. This determination is based on the individual's comprehensive history and physical examination; functional assessment; psychosocial evaluation; psychiatric evaluation; the H/C PRI; the NYS SCREEN form; social service and discharge planning documentation; interviews; and additional information, as deemed appropriate.

19. Section C.1 indicates that evaluations must be completed within five business days of receipt of notification. Please provide the most recent statistics for compliance with the timeframes for Level II reviews.

Information regarding the most recent statistics for compliance with the timeframes for Level II reviews may be requested under the Freedom of Information Law (FOIL). A written request must be submitted to Robert LoCicero at the address provided in response to Question #9 above.

20. Please provide the historical number of appeals/hearings that have been conducted on an annual basis.

One (1) hearing related to PASRR was conducted in 2009.

- a) In the event of a Fair Hearing, may the PASRR staff attend the hearing via phone vs. in person?

No, PASRR staff may not participate in the hearing via phone. If staff is unable to attend in person, a request for a Waiver of Personal Appearance must be submitted to the Office of Administrative Hearings with an Evidence Packet of information that staff request be presented during the hearing. Contact information is included with the Evidence Packet so that staff may be contacted if the hearing officer needs additional information.

21. We have several questions about the SLI review described in Item 3 on page 8 and in Attachment 7, page 3:

- a) Is the population for the 20% random sample nursing facility residents for whom a comprehensive psychiatric evaluation has been performed since the onset of the contract period or on a quarterly basis? This question has significant implications for pricing, since if the sample frame for each selection extends back to the contract start, there will be an increasing number of SLI reviews on an annual basis over the life of the contract.

To provide clarification of the information provided in Attachment 7, the SLI review should be completed on a quarterly basis and the 20% random sample should be drawn on the SLI determinations rendered for nursing home residents in the previous quarter.

- b) Is the volume of review included with the 2,500/2,600 reviews or in addition to them?

The 2,500/2,600 reviews reference the number of PASRR evaluations conducted by the contractor annually. The SLI random sample review is conducted for 20% of the quarterly evaluations where a determination of need for SLI services is made for nursing home residents.

- c) Since this workload represents a distinct level of effort and deliverable reporting, would the Department consider pricing this component separately or should it be spread over the annual volume of Level II evaluations?

No, it should not be priced separately. A total bid is requested.

- d) The description of review references a multi-disciplinary team but states that the team comprises either a registered nurse (RN) *or* a Master's prepared social worker (MSW). Is the review team comprised of two staff members, both an RN *and* an MSW, or a single staff member and a Board-certified or Board-eligible psychiatrist?

To provide clarification of the information provided in Attachment 7, the team must comprise, at a minimum, either a NYS registered nurse, a NYS licensed MSW, OR a NYS licensed psychologist (all of which must have experience in conducting comprehensive psychiatric evaluations) AND a psychiatrist, who is board certified or board eligible in psychiatry. The RN, MSW or psychologist conducts the initial review of the resident's records; the psychiatrist conducts a subsequent review of the case.

- e) Has the Department defined the timeframe for the “subsequent” review by the psychiatrist?

No, there is not a defined timeframe for the psychiatrist to conduct the subsequent review.

- f) Please confirm that the psychiatrist may conduct the review of documentation off-site.

The psychiatrist may conduct the review of documentation off-site.

- g) As this process is currently conducted, does the review team obtain copies of the documentation during their onsite review that is then reviewed by the psychiatrist?

Yes, the review team obtains copies of the documentation during its onsite review that is then reviewed by the psychiatrist.

22. Section C.4, Reports. On page 8 the RFP describes reporting requirements. We have several questions about reports, as follows:

- a) Monthly detail and summary reports include data by Level II screening entity. Please clarify what is meant by “screening entity.”

The Level II “screening entity” is the contractor who conducts the Level II evaluations.

- b) A monthly report asks for detail and summary data by Payer. Aside from Medicaid, how are Payers currently described, e.g., by category such as “private” or “self-pay” or by individual Payer name? We ask this question to ensure we understand any requirement to include the identities of self-pay patients on reports.

Payers are currently described as Medicaid, Medicare, Other (including self-pay) and VA.

- c) Monthly reports are required for Services of Lesser Intensity (SLI). Does the SLI category report activities conducted according to Section C.3 also described on page 8?

The monthly report does not include a report of SLI activities.

- d) Please describe the difference between the “Reviews conducted for PAS, RR, and SLI” report and the “Reviews – All conducted recipients – PASRR – Level II” report.

The first 3 categories - PAS, RR, and SLI – provide a breakdown of the total number of reviews conducted. The total number of reviews conducted is reported in the “Reviews – All conducted recipients – PASRR – Level II.”

- e) Please clarify what the “Facilities non-compliant” report includes.

The “Facilities non-compliant” report means that a facility does not comply with some aspect of the PASRR process, which could include Level I or Level II reviews or the provision of the prescribed level of service.

- f) Quarterly Activity Report. Please confirm or correct our understanding that the Contractor will provide the 20% random sample for the quality assurance review but the OMH Clinical Director conducts the review.

The quality assurance review is conducted by the Contractor, who sends the findings to the OMH Clinical Director. Upon receipt of this report, the OMH Clinical Director conducts a 5% quality assurance review of the Contractor’s findings.

- g) Random sample SLI onsite review report. Will the Contractor select a random sample of 20% of each facility's SLI determinations or a 20% statewide random sample?

The Contractor selects a statewide 20% random sample.

- h) TBI Diagnosis Identification Report. We understand this requirement to mean that we will report individuals with a TBI diagnosis as documented in the patient's record, not determine a diagnosis of TBI.

Yes, the Contractor reports on individuals with TBI who were assessed for MI.

- i) Annual Billing Summary. The description requires a summary of yearly expenditures incurrent for performing comprehensive psychiatric evaluations, including administrative costs. Since the Cost Proposal Form (Attachment 14) only indicates a unit and total rate on an annual basis, how are expenditures summarized for reporting purposes? Does the Department have an example of this Summary that bidders can review for information purposes?

This report summarizes yearly expenditures incurred in performing Level II Evaluations, within the following categories: salaries, fringe benefits, consultants, travel, equipment other direct costs, indirect costs and the contractually approved rate per evaluation. The report will be produced annually within 30 days after the end of the reporting period.

23. Section D., Mandatory Requirements (RFP page 10): Please confirm if vendors are required to respond to this section in addition to Sections I-V in the Technical proposal.

Yes, the bidder must respond to the mandatory proposal requirements listed on page 10 of the RFP. Bidders should prepare a written response to the first mandatory requirement demonstrating a minimum of three-years of Medicaid Prior Approval experience and documentation of the quality and effectiveness of that experience.

24. Section III, Prior Experience indicates on page 11 that experience should be from work performed by individuals who will be assigned to this contract. This requirement suggests that the Department anticipates bidders will be companies in New York with available staff members. How will the Department evaluate experience from companies that are not currently conducting onsite evaluations in New York?

In accordance with the language contained within Section III, Prior Experience, the bidder is responsible for providing a description of their experience with Level II comprehensive psychiatric evaluations and similar MI/MR examinations; specify experience in those areas which is related to the long-term care system; describe governmental experience and documented program development and service delivery targeting special needs population. Experience indicated should be work performed by individuals who will be assigned to this contract as well as by the organization as a whole.

25. Section IV, Work Plan requires discussions of a number of key processes and activities. Given that bidders not already conducting PASRR Level II evaluations should provide significant detail concerning the transition plan, would the Department consider expanding the page limit to accommodate this detail, or should bidders place detailed discussions in attachments?

Each of the Technical Component Sections, I through V, indicates a page limit for the narrative of each section not including the attachments. Attachments may be provided separately.

26. Item 1 of the evaluation criteria on page 13 references an ability to describe an understanding of the PASRR program, and includes specific experience with the New York State PASRR program and processes.

- a) The description of the desired response for the Statement of Understanding section does not address this experience requirement. Is this requirement in addition to the experience requirements stated in Section III, Prior Experience?

Yes, this is an additional requirement. The Statement of Understanding provides for a description of the bidder's knowledge of the PASRR process.

- b) The requirement seems to add substantial expectations that the bidder has conducted Level II PASRR evaluations for New York. Please clarify this requirement as it relates to non-incumbent organizations.

The requirement does not add "expectations" that the bidder has conducted Level II PASRR evaluations in NYS, but does allow the bidder an opportunity to describe past experiences involving PASRR administration which may include experiences in NYS.

27. On the Cost Proposal form (Attachment 14) in reference to the 2,600 screens per year, it states that:

**This number reflects a projection only and is not a guarantee of the number of screens expected. It is provided for the purpose of pricing the screen and creating a total bid price*

When the contract starts, will the successful bidder invoice using the actual number of screens times the Cost per Screen on the Cost Proposal Form? Or will they invoice using 1/12 of the Total Cost (i.e. at a fixed price) on the Cost Proposal form?

Once approved by the Department, the contract awardee will be expected to request reimbursement using the actual number of screens multiplied by the Cost per Screen as documented on the Cost Proposal Form (Attachment 14).

28. Please clarify if bidders should use an estimate of 2,500 as stated on page 12 or 2,600 as stated on Attachment 14.

Please submit Attachment 14, Cost Proposal Form, based on 2,600 as the number of screens (Level II evaluations) anticipated annually.

29. Vendor Responsibility Questionnaire (RFP page 18): Please confirm where vendors should include Attachment 9, Vendor Responsibility Attestation within the Technical Proposal (e.g., after Section V - Personnel/Job Description).

The Vendor Responsibility Attestation (Attachment 9) should be included in the Technical Proposal.

30. RFP page 47: Please confirm vendors are not required to submit the "Addendum to the Medicaid Agency Data Use Agreement (DUA) with the proposal.

Bidders are not required to submit Appendix I with their proposal. The contract awardee will be required to enter into a Date Use Agreement (DUA) to gain access to Minimum Data Set (MDS) and other Medicaid related data.

31. Who is the current contractor for PASRR with DOH?

The current contractor is [Island Peer Review Organization, Inc.](#)

32. When does DOH expect to make an award?

The announcement of an award will depend on the number of proposals submitted in response to the RFP.

33. Can we please obtain a copy of the Pre-Admission Screening and Resident Review (PASRR) Request for Proposal?

Yes you may from the DOH website. <http://formosa:81/funding/index.htm>