

CRFP and EHCPSP Grants: Questions and Answers

Slide Availability

1. Q. Will the slides from the webinar be shared?
A. The slide deck from the March 23rd Awardee Webinar was emailed to all awardees on March 24, 2016. It will be posted on the NYS Department of Health website at a later date.

Grant Award Information

2. Q. How do I know if I am getting funding from the Essential or from the CRFP?
A. The reference line at the top of your award letter indicates the source of your funding award.
3. Q. We received one award however our other larger grant request fell just outside the 72 grants awarded. Is there any likelihood that a grant just outside the awarded 72 in NYC region may move up if someone drops out?
A. As stated in the CRFP award letter, it is possible that as a result of the DASNY Bond Counsel review process or because an applicant cannot meet other conditions of their award, applications that scored below the fundable rank (72 for NYC; 63 ROS) may become eligible for CRFP funding.

Partially Funded Awards

4. Q. Regarding the EHCPSP Innovator awards. When will the department send instructions regarding budget adjustments for projects not fully funded? We received less than requested. How do we know what was not approved so we can modify the budget?
A. Grants Management Bureau staff will communicate the elements of the application that were funded and other specifics for each award in the coming weeks.
5. Q. If the EHCPSP project was "partially funded", can we decide which of the requested elements of our original grant request to not undertake? Or are there state approvals required before we can move forward?
A. Grants Management Bureau staff will communicate the elements of the application that were funded and other specifics for each award in the coming weeks.

Fully Funded Awards

6. Q. Will a Board Resolution be needed for projects that are fully funded by CRFP/EHCPSP? Where no additional fund commitment is needed.
A. Yes, the CRFP/EHCPSP grants require acceptable commitments, including but not limited to, Board Resolutions to demonstrate that the amount of the grant is an amount

sufficient to finance the full project cost. The Grants Management Bureau will communicate specifics in the coming weeks.

Contract Dates

7. Q. What will the effective/start date be on the contract? Can you outline the expected time period for the contracts? We want to make sure we incur the in-kind expenses during the eligible time period.
- A. The CRFP contract term is 10/1/15 – 3/31/21 and the EHCPSP contract term is 6/1/16 – 5/31/19.

Modification of Project

8. Q. What flexibility is there in the use of funds? Can funds be used in a different county than anticipated in the CRFP application submitted last Feb? If the site we selected to purchase is no longer available due to the delay in awards, are there restrictions to the purchase of a new location? Does it have to be in the same borough as proposed in the application? If the original location of the project changes, whom do we need to contact?
- A. Proposed work plan modifications will be handled on a case-by-case basis and in accordance with the requirements from the applicable RFA, award recommendations and other factors. The Grants Management Bureau staff will work with awardees to determine allowable project modifications. The CRFP is a competitive procurement: CRFP awardees should note that project modifications that the Department determines would have resulted in a change to the project score will not be allowed.

Funding Advance

9. Q. I would like to know whether we may request an advance on these funds.
- A. The RFAs for CRFP and EHCPSP stated that no advances would be given.

Retroactive Payment

10. Q. If we already completed part of the project, are we eligible for retroactive reimbursement for this portion of the project? Can expenditures incurred prior to the contract period spent on architecture fees, development costs, etc., be included in the first quarterly invoice?
- A. Only expenses determined allowable under the contract budget and work plan and incurred on or after the start date of the contract (10/1/15 for CRFP and 6/1/16 for EHCPSP), may be vouchered for reimbursement.

Certificate of Need (CON)

11. Q. We projected in our proposal to implement capital expenditures in DY3. It would require a non-substantial CON. Would the current 180-day requirement be waived in our case?

A. The NYS DOH Center for Health Facility Planning, Licensure and Finance will review this issue with you. Send your CRFP questions to: CRFP@health.ny.gov. Send your EHCPSP questions to: essentialhealthcareprovider@health.ny.gov.

12. Q. Do all CRFP projects, including stand-alone movable equipment purchases, under CON cost ceilings, need to receive a CON approval?

A. CON review levels for CRFP and EHCPSP projects will be expedited as Administrative reviews, Limited or no CON review, as required by regulations. The exception are Establishment applications that require full review. Proposals for replacement of existing equipment, regardless of cost, do not require a CON, only a written notice to the Department including a written certification by a NYS licensed architect or engineer. For further information on CON requirements: <http://www.health.ny.gov/facilities/cons/>, or NYCRR Title 10 Part 710.

13. Q. This will be a facility licensed by NYS OMH? Do we do a CON or OMH's version a PAR?

A. The NYS DOH Center for Health Facility Planning, Licensure and Finance will review this issue with you. Send your CRFP questions to: CRFP@health.ny.gov. Send your EHCPSP questions to: essentialhealthcareprovider@health.ny.gov.

14. Q. For the CRFP CON, we have the PPS conduct CON review for the projects. Can we use that or we need to do our own CON?

A. CON applications need to be submitted by the awardee but can be prepared by the PPS on behalf of the awardee. The NYS DOH Center for Health Facility Planning, Licensure and Finance will review this issue with you. Send your questions to: CRFP@health.ny.gov.

15. Q. For EHCPSP award, does property acquisition without construction, such as a parking lot, require a CON?

A. The NYS DOH Center for Health Facility Planning, Licensure and Finance will review this issue with you. Send your questions to: essentialhealthcareprovider@health.ny.gov.

16. Q. Is there a possibility of extension on the 180-day CON submission requirement?

A. The NYS DOH Center for Health Facility Planning, Licensure and Finance will review this issue with you. Send your CRFP questions to: CRFP@health.ny.gov. Send your EHCPSP questions to: essentialhealthcareprovider@health.ny.gov.

Dormitory Authority of the State of New York (DASNY)

17. Q. I received an email from counsel to the dormitory authority and was asked to speak with bond counsel about some questions that bond counsel has. I'm not sure it's proper for them to ask these questions from the outside bond counsel at this point.

A. As a condition of your award, DASNY and its outside bond counsel must sign off on whether your application is a capital project that can be funded with state supported

bonds. You may include your counsel on a call with DASNY and their outside bond counsel, if desired.

18. Q. Where do we update our 'contact information sheet'? We have been contacted by DASNY, and responded to the outreach, but never heard back from anyone.
A. The Grants Management Bureau will contact you to verify/update your contact information sheet. If, however, your contact information has changed since you submitted your application, send your new information to CRFPgrants@health.ny.gov or Essentialsgrants@health.ny.gov.
19. Q. Can you cover the banking section briefly? We need to borrow from a lender and the lender will be repaid from DASNY?
A. Please clarify your question and resubmit to CRFPgrants@health.ny.gov.
20. Q. Can the person from DASNY speak to what portions of IT are considered capital - for example, can contracts for web-based IT solutions be considered as capital? What about yearly fees for the maintenance of the IT solution? One-time fee for software?
A. DASNY and its bond counsel will undertake this review and contact awardees if additional information is required.
21. Q. Can you speak about the specific IT Costs (software, web hosting fees, licenses, IT consultants, etc.) which will be considered "capital" and bondable. There is some literature which indicates that certain IT costs are not considered capital.
A: DASNY and its bond counsel will undertake this review and DASNY will contact awardees if additional information is required.
22. Q. Can you provide contact information for specific individuals at DASNY?
A: DASNY's contact is Debbie Paden: dpaden@dasny.org.

Minority & Woman-Owned Business Enterprise (MWBE) Goal

23. Q. Is the 30% MWBE goal on the amount of our CRFP award or on the entire project (including our match)? Does the 30% MWBE requirement apply only to Bond Proceeds or total cost (i.e., bond proceeds plus matching requirement)?
A. The MWBE goal of 30% is for the grant award only.
24. Q. Is the NYS Contract Reporter the means we use to report our MWBE? Or something else?
A. The NYS MWBE Compliance/Contract System, found at <https://ny.newnycontracts.com>, will be used for reporting MWBE utilization.
25. Q. Can you speak a little about those projects that are already under construction, following the time lines that were outlined in the application? Especially as it relates to any monies spent or MWBE solicitations already awarded?

A. The MWBE goal of 30% is for the grant award only. Any grant expenditures with an MWBE vendor during the term of the grant can be reported and will count toward achievement of the goal.

26. Q. When it comes to IT Equipment where we are a Dell environment, do we need to involve MWBE since we can get a better price directly from Dell.

A. It is expected that awardees work with MWBEs for 30% of the award funds. The grantee is responsible for determining which part of the grant is best suited for MWBE participation. Documented attempts to work with Certified MWBE vendors or documented attempts to negotiate pricing with Certified MWBEs vendors (to attempt to lower a price to a fair/reasonable market price) can often result in MWBE goal achievement.

Bidding Process for Contractors

27. Q. Is there a bidding process that needs to be done with contractors for capital projects, even though you have already determined the project costs with a contractor when the proposal was submitted?

A. If you have already identified your contractors, explain the selection process, including all bids obtained. If you have not yet solicited bids for grant-funded projects, you must do so.

Wage Requirements

28. Q. Is union labor required? Are prevailing wages required? Do construction projects have to be at prevailing wage rate? Can you speak about any rules surrounding prevailing wages?

A. This issue is still under review. Response will be released in near future.

Allowable Expenses

29. Q. Are leased spaces eligible for inclusion in the CRFP program or only acquisitions? If allowable, is there a required minimum term of lease?

A. General operating expenses, including operating lease payments for equipment, buildings and vehicles, are not allowable. Capital leases may be eligible. This will be part of the DASNY review.

30. Q. Are relocation costs for functions located in proposed renovated areas eligible for fund use?

A. Yes.

31. Q. Under what category do you claim capital eligible major equipment expenditures?

A. The budget includes a category for Equipment.

32. Q. If the project includes internal labor (hospital employees providing construction labor, etc.) what should we quote as our 'cost' - the actual portion of the salaries for the employees involved?
- A. If you can capitalize the labor costs as part of the depreciable asset, these costs may be eligible for grant reimbursement; otherwise these internal labor costs are not eligible expenditures for grant reimbursement.

Contract Information/Grants Gateway

33. Q. Is the primary mode of contact through the contract management bureau through grants gateway, or via email?
- A. The Grants Gateway will be used for contract development purposes only. The email addresses CRFPgrants@health.ny.gov and Essentialsgrants@health.ny.gov should only be used for communications and correspondence.
34. Q. Will someone from Grants Management contact us to give us name of person we should work with?
- A. A member of the Grants Management Bureau assigned to oversee your contract will contact you shortly.
35. Q. As a newly assigned grants manager to this project, how do we be sure we are the contact person going forward? You mentioned a contact info sheet that needs to be updated. I have not seen this form. Is this being sent to us?
- A. Grants Management Bureau staff will email each awardee a form to complete and return contact information that identifies the appropriate individual(s) to contact regarding various aspects of the contract development, execution and management processes.
36. Q. One of the next steps is to provide the awardee contract signature. On what document is this done? Is this a contract or form that is being sent to us?
- A. Contracts will be executed via electronic signature through the Grants Gateway. The awardee contract signature will be required during the contract development stages in the Grants Gateway. Once your contract is ready for signature, you will be notified by Grants Management Bureau staff that action is required.
37. Q. If there is contractee action required in Grants Gateway, will we receive an email to alert us or do we have to monitor it via Grants Gateway?
- A. The Grants Gateway does not provide alerts via email. Grants Management Bureau staff will notify you when action is required and a task has appeared in the Grants Gateway.
38. Q. Can you provide contact information for specific individuals at the contract unit?
- A. The assigned Grants Management Bureau staff member will email you shortly.

39. Q. When will the Grants Gateway training be offered? Who can we contact for more info?

A. Grants Gateway training, tailored specifically for CRFP and EHCPSP awardees, will be available shortly. The Grants Management Bureau will notify awardees as soon as these dates are confirmed. General Grants Gateway video tutorials and live webinars are available now on an ongoing basis and can be found at either:

<http://grantsreform.ny.gov/training-calendar> or <http://www.grantsreform.ny.gov/>.

Quarterly Reports

40. Q. Are there standard quarterly reporting periods in terms of the calendar or is the quarterly cycle dependent on contract execution date?

A. The quarterly reporting cycle begins with the start date of the contract. The reporting periods and submission deadlines will be included in Attachment D of your contract.

41. Q. Can you share what date the first quarter ends?

A. The CRFP contract started 10/1/15, with the first quarter ending 12/31/15. When the contract is fully executed, you can submit vouchers for the periods 10/1/15 – 12/31/15, 1/1/16-3/31/16, 4/1/16-6/30/16. The Grants Management Bureau will process those vouchers upon receipt of acceptable documentation of the expenditures and the corresponding progress report(s).

The EHCPSP contract will start 6/1/16, with the first quarter will ending 9/30/16. When the contract is fully executed, you can submit vouchers for the quarters that have ended (6/1/16-9/30/16, 10/1/16-12/31/16). The Grants Management Bureau will process those vouchers upon receipt of acceptable documentation of the expenditures and the corresponding progress report(s). However, EHCPSP debt retirement invoices can be submitted as soon as the required documentation is available. The reporting periods and submission deadlines will be available in Attachment D of your contract.

42. Q. Will there be a template for the quarterly progress reports?

A. Yes, progress report templates and instructions will be provided in the coming weeks.

Payment

43. Q. How long after each voucher is submitted can we expect payment? A. Once the voucher is submitted and reviewed for completeness and compliance with requirements, payments can be expected within 30 days.

44. Q. Will payments be 'milestone based'?

A. Payments will be made on invoiced work and may be withheld based on review of quarterly progress reports. For the EHCPSP, a sustainability plan acceptable to the DOH is a condition precedent to payment under contracts for this grant program.

Match Requirements

45. Q. How much flexibility is there regarding the match requirements in the original proposal?
 A. Awardees are expected to honor their match requirements, as this was a scoring element in the award determination process. As long as you meet the match stated in your application during the term of the contract, there is some flexibility as to the time frame to apply the match as well as the source of the match.
46. Q. How will the match dollars be processed? If project is a 50% match, will we be paid 50% of each voucher submitted?
 A. Awardees are expected to honor their match requirements. As long as you meet the match stated in your application during the term of the contract, there is some flexibility as to the time frame to apply the match as well as the source of the match.
47. Q. Could you clarify whether funds expended prior to the award may be counted toward the matching requirement? Specifically, generally can CRFP recipients use the funds expended during DSRIP Year 1 be counted toward the award? If not, is that a DASNY law prohibition/requirement, or is that something in DOH's discretion?
 A. For the CRFP the contract period begins 10/1/2015. Expenditures on or after 10/1/2015 are eligible for match and reimbursement consideration. For the EHCPSP the contract period begins 6/1/2016. Expenditures on or after 6/1/2016 are eligible for reimbursement.
48. Q. We understood that the contract date was April 1, 2015. If so, I would like to know if we can submit voucher for those projects eligible for DOH grant match in retrospect. Will that be award or approved?
 A. The CRFP contract start date is 10/1/15, and the EHCPSP contract start date is 6/1/16. Costs incurred before these dates are not eligible for reimbursement or match consideration.
49. Q. Will CRFP matching funds be required to be reported in quarterly reports? How do you want matching funds tracked?
 A. Yes, the Grants Management Bureau will provide a tracking form for reporting match.
50. Q. When do the contributory funds need to be paid?
 A. Coordination and reconciliation of the contributory/matching funds payments will be reviewed on a case-by-case basis.

Debt Retirement

51. Q. If you are receiving funds for debt restructuring what is the timeline for vouchering for the funds? It would be difficult to spend the funds and then voucher for reimbursement in this scenario.
- A. Invoices for debt restructuring can be submitted upon completion of the debt restructuring requirements that will be communicated to awardees in the coming weeks. Payment assignment will be made such that the State will pay your lender directly.
52. Q. For EHCPSP awards: As described in the presentation, the debt retirement funds will be disbursed directly to the lender. How will the reimbursement to the awardee work for payments made between 6/1/2016 and the date the funds are disbursed to the lender? Will the awardee be reimbursed for payments made during this lag in payment?
- A. See Question 52. The contract start date is 6/1/2016. No expenses incurred prior to this date will be reimbursed. Debt payments made by the awardee for the debt to be retired by the grant award, and made on or after 6/1/16 but prior to the disbursement of grant funds to the lender for purposes of retiring the debt, will be reimbursed to the awardee upon review of acceptable documentation to the Department.
53. Q. Is only debt to a financial lender "bank" acceptable or are debts to other municipal entities eligible?
- A. The list of specific lenders that can be paid from the award will be established as you work with Grants Management Bureau staff to complete your contract budget and work plan.

Sustainability Plan

54. Q. Can you please explain the requirements of an affiliation under the sustainability plan?
- A. The purpose of the EHCPSP grants are to facilitate the transformation of essential health care providers into financially sustainable systems of care through mergers, consolidation and other restructuring activities. As a condition of receiving an EHCPSP award, the awardee facility or system is required to submit a plan that demonstrates a multi-year detailed and comprehensive plan to achieve financial sustainability.