Improving Capacity of Severe Mental Illness Treatment Providers: Evidence-Based Practices and Social Enterprises

Request for Proposals Announcement

December 10, 2007
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In 2008, The Health Foundation of Greater Cincinnati intends to award grants totaling $800,000 for planning and start-up projects for:
• evidence-based practices for people with severe mental illnesses, or
• social enterprises that increase revenue for mental health treatment agencies.

These grants will continue the work for the Health Foundation’s Severe Mental Illness focus area.

The Health Foundation of Greater Cincinnati is now requesting letters of intent for planning and start-up proposals. Grants will be awarded on a competitive basis for those applicants who meet the program guidelines.

A Letter of Intent Workshop is scheduled for 1:00–3:00 p.m. (EST) on Monday, January 7, 2008, at the Health Foundation’s office. If you plan to attend the Letter of Intent Workshop, please RSVP to Vanessa James at 513-458-6656 by Monday, December 31, 2007. (For directions to the Health Foundation, please visit our web site at www.healthfoundation.org/directions.)
html.) If you do not RSVP, we will not be able to provide you with handouts and materials.

The **deadline for receipt of letters of intent is Wednesday, January 23, 2008 no later than 12:00 noon (EST)**. Mail (no faxes) one (1) original and two (2) copies to:

Janice Bogner, Senior Program Officer  
The Health Foundation of Greater Cincinnati  
Rookwood Tower  
3805 Edwards Road, Suite 500  
Cincinnati, OH 45209-1948

If invited to submit a proposal, **completed proposals must be submitted no later than 12:00 noon (EDT), on Wednesday, March 19, 2008.** Mail (no faxes) one (1) original and two (2) copies to:

Janice Bogner, Senior Program Officer  
The Health Foundation of Greater Cincinnati  
Rookwood Tower  
3805 Edwards Road, Suite 500  
Cincinnati, OH 45209-1948

For grant processing information or questions concerning the application, please contact Janice Bogner (513-458-6613) or jbogner@healthfoundation.org.
General Information

Background

Mental health services for people with severe mental illnesses have changed dramatically over the last 50 years. In the 1950s, a person with severe mental illness could expect to spend his or her life in an institution with little hope for recovery and with no expectation of independent community living. With the advent of new medications that better controlled symptoms, states began closing custodial mental hospitals in the 1970s. Because community support systems were not well developed, many people with severe mental illnesses cycled repeatedly through institutions. They often lived in congregate residential facilities or with family members and received agency-based services. There was still no expectation that the person would live independently, hold a job, or meaningfully participate in the community.

In the 1990s, treatment for people with severe mental illnesses became a very different experience. New atypical, anti-psychotic medications improved quality of life. New therapies and community service approaches—such as assertive community treatment, psychosocial rehabilitation, recovery models, and supported housing and employment—were demonstrated to be successful. Additionally, organized advocacy by families and consumers fostered service improvements and increased accountability for quality, responsiveness and effectiveness of care. For the first time, there is hope of recovery for people with severe mental illness.¹

Although some people with severe mental illnesses have benefitted from advances in medications and services, many others have not. The planning and funding of mental health services have been unable to keep pace with advances in care. Current payment systems in public mental health often fall short of what is needed to plan and support quality clinical care for people with severe mental illnesses. Some agencies have developed social enterprises—earned-income businesses—to generate revenue for

their agency. These can include contracting with other agencies to provide services, starting businesses that employ paid consumer staff, and other enterprises. The revenue from these social enterprises helps support the overall mission of the agency in providing high-quality, clinically effective care.

**Projects Considered under this RFP**

The Health Foundation's *Improving Capacity of Severe Mental Illness Treatment Providers: Evidence-Based Practices and Social Enterprises* initiative promotes the adoption of evidence-based practices to improve the recovery of consumers with severe mental illnesses and the development of social enterprise programs to enhance agency revenue for providers treating people with severe mental illnesses.

Projects that will be considered under this RFP can be either planning or start-up projects for either an evidence-based practice or for a social enterprise.

- **Planning Grants** are for agencies that might need to:
  - complete community needs assessments;
  - investigate, select, and plan for implementing an evidence-based practice;
  - determine feasibility of implementing an evidence-based practice, including agency readiness;
  - investigate, select, and plan for a social enterprise, including market analyses; or
  - develop a business plan for a social enterprise.

- **Start-Up Grants** are for those agencies that have a clear need, have documented their readiness, and have a sustainable business plan to implement.

The selected evidence-based practice must:

- Be a recognized evidence-based practice for people with severe mental illnesses supported by scientific studies and with specific operational guidelines and methods to measure fidelity.
- Be acceptable to agency leadership, staff, and consumers. *(Applicants should provide evidence of readiness to adopt an evidence-based practice.)*
- Meet an identified need or gap in the community, supported by needs assessment data.
• Be feasible within the current mental health community, including sufficient referrals and staffing.
• Be sustainable, after start-up, by current funding sources, including billing, realigned funds, and pooled funds.

New social enterprises to increase revenue must:
• Be consistent with the agency’s mission.
• Be financially viable after a period of start-up.
• Remain in a 501(c)(3) organization.

Definitions

Evidence-Based Practice
“Evidence-based practices are interventions for which there is consistent scientific evidence showing that they improve client outcomes.” The highest standard for evidence-based practices is the randomized clinical trial, in which the practice is compared to alternative practices or to no intervention. Sometimes researchers perform a meta-analysis, a quantitative method of combining the results of independent studies (drawn from published literature) and synthesizing summaries and conclusions. It is done to evaluate therapeutic effectiveness. The next best scientific evidence is a quasi-experimental study comparing nonrandomized groups receiving different interventions.

Examples of Evidence-Based Practices in Mental Health
• Assertive community treatment (ACT) is a comprehensive, community-based model for delivering treatment, support, and rehabilitative services to people with severe mental illnesses. The model features low consumer-to-staff ratios and most, if not all, treatment and services are provided within the ACT team.
• Integrated Dual Disorders Treatment (IDDT) has been shown to work effectively with consumers with both a severe mental illness and a substance use disorder. In this treatment model, one clinician or treatment team provides both mental health and substance abuse treatment services.
• Supported employment programs place individuals in competitive employment in accord with consumer choices and

capabilities without requiring extended prevocational training. Ongoing support is provided once the consumer is employed.

- **Medication algorithms** provide guidelines for medication treatment for people with severe mental illnesses. Examples include the Texas Medication Algorithm Project (TMAP) and the Ohio Medication Algorithm Project (OMAP) that provide guidelines for the use of atypical antipsychotic medication in the treatment of schizophrenia.

- **The Illness Management and Recovery (IMR)** model emphasizes that the control for the recovery process must be given in large part to the person with severe mental illness. Mental health interventions are designed to enable the consumers themselves to take responsibility for decisions about their lives.

- **Family psychoeducation programs** include emotional support, education, resources during periods of crisis, and problem-solving skills and have been shown to reduce relapse rates and facilitate recovery for people with mental illnesses.

**Social Enterprise**

The Social Enterprise Alliance defines social enterprise as any earned-income business or strategy undertaken by a nonprofit for the purpose of generating revenue in support of the nonprofit’s social mission.

**Examples of Social Enterprise in Mental Health**

- Providing psychiatric assessment to other systems such as Bureau of Rehabilitation, primary care practices, etc.
- Providing crisis intervention, assessment and referral, or prevention services to businesses
- Providing case management services to private pay consumers
- Running businesses staffed by paid consumers
- Using the agency’s special expertise to provide consultation, education, or materials
- Providing transportation services
- Providing temporary staffing services
- Providing pharmacy services
Eligibility Criteria

Eligible applicants include public or private non-profit organizations that:
• are direct providers of mental health or support services for people with severe mental illnesses or mental health boards;
• serve low-income, uninsured, or underinsured people with severe mental illnesses; and
• provide services in at least one of the Foundation’s 20 counties (see map).

Grant Awards

Grant awards will vary in size depending upon the scope of the project and the impact upon the population being served. The Foundation will award a total of up to $800,000 in grants. The maximum award for Planning Grants will be $75,000 for 9–12 months. The maximum award for Start-Up Grants will be $300,000 for 24–36 months.

Proposal Submission Timeline

Letter of Intent Workshop: January 7, 2008
1:00–3:00 p.m. (EST)
Letter of intent due: January 23, 2008
12:00 noon (EST)
Notification of acceptance: February 1, 2008

For organizations invited to submit a proposal:

Planning Proposal Workshop February 7, 2008
1:00–2:15 p.m. (EST)
Start-Up Proposal Workshop February 7, 2008
2:15–4:00 p.m. (EST)
Proposal application deadline: March 19, 2008
12:00 noon (EDT)
Notification of grant award: May 9, 2008
Letter of Intent Workshop

The Foundation will offer a Letter of Intent Workshop as an opportunity for potential applicants to ask questions about the RFP concept and letter of intent application process. The workshop is scheduled for Monday, January 7, 2008, from 1:00–3:00 p.m. (EST) at the Health Foundation’s office. Directions to the Foundation’s office can be found at our website at http://www.healthfoundation.org/directions.html. People planning to attend should RSVP to Vanessa James at 513-458-6656 by Monday, December 31, 2007. If you do not RSVP, we will not be able to provide you with handouts and materials.

Attendance at the workshop is not required to submit a letter of intent. However, it is highly recommended that agencies interested in submitting a letter of intent attend the workshop.

Letter of Intent Requirements

A letter of intent, no more than two pages single-spaced, must be submitted by the organization developing the proposal. If the organization intends to seek ongoing funds from its local mental health board (or equivalent in Kentucky and Indiana), an endorsement of the project by that entity must be attached to the letter of intent.

The letter of intent should include a brief statement of why you think the project is needed, a description of the project, and the approximate cost.

• If the proposed project is an evidence-based practice, the letter of intent should identify how the practice will improve care for people with severe mental illnesses and how introduction of the practice could affect the care system, including costs of sustaining the program.
• If the proposed project is a social enterprise, the letter of intent should identify the planning and sustainability issues associated with the endeavor, as well as the expected benefits to the agency and its consumers.
The Health Foundation will invite agencies whose letters of intent best demonstrate the ability to meet the proposal selection criteria for the appropriate type of grant to submit proposals. (See page 13 for Planning Proposal Selection Criteria, page 21 for Evidence-Based Practice Proposal Selection Criteria, and page 28 for Social Enterprise Proposal Selection Criteria.)

**Letters of intent must be submitted no later than 12:00 noon (EST), on Wednesday, January 23, 2008.** Mail (no faxes) one (1) original and two (2) copies to:

Janice Bogner, Senior Program Officer  
The Health Foundation of Greater Cincinnati  
Rookwood Tower  
3805 Edwards Road, Suite 500  
Cincinnati, OH 45209-1948
If your letter of intent is selected, you will be asked to submit a full proposal, which will be considered for funding. You will receive all necessary application forms if you are selected.

Planning Proposal Workshop

The Foundation will offer a proposal workshop as an opportunity for invited applicants to ask questions about the RFP concept and application process.

The Planning Proposal Workshop is scheduled for Thursday, February 7, 2008, from 1:00–2:15 p.m. (EST) at the Health Foundation’s office. Directions to the Foundation can be found at http://www.healthfoundation.org/directions.html. People planning to attend should RSVP to Vanessa James, Program Assistant, at 513-458-6656 by Monday, February 4, 2008. If you do not RSVP, we will not be able to provide you with handouts and materials.

Attendance at the workshop is not required to submit a proposal. However, it is highly recommended that agencies invited to submit a proposal attend.
Planning Proposal Requirements and Format

These requirements and format apply to proposals for planning an evidence-based practice or a social enterprise. Please use the headings in this RFP when preparing your application materials.

Cover Sheet
The Foundation's Proposal Cover Sheet must be completed and will serve as the cover page for the grant application.

Section A: Organizational Description
1. Describe your organization (less than 100 words). Include the year established, geographic region served, services offered, number of staff, number of consumers served per year, annual budget, primary funding sources, and certifications and accreditations.

2. Identify the reasons this request is being made of the Foundation instead of being handled by your organization or your organization's funding source(s). (Limit to 50 words.)

Section B: Description of Planning Process

Required format: The program description (Section B of the proposal)
• is limited to 10 pages, single-spaced;
• uses a type font not smaller than 12 points; and
• has margins of not less that one inch.

1. Problem, Opportunity, or Needs
In this section, the applicant must identify and describe, in general, the needs or issues that led to interest in a planning proposal.
2. Planning Process

- Describe the process, methods, organizations, and individuals to be involved in the planning process.
- Discuss the agency’s ability to conduct a planning project including:
  - the agency’s structure as it relates to the planning project and how it will manage the project, and
  - plans for staffing the planning project.
- Discuss what resources will be explored to implement and sustain a start-up program.
- Discuss the work products—such as a needs assessment, readiness assessment, or business plan—that will result from the planning project.

Section C: Timeline

Complete a timeline that details the steps in the planning process, including target dates for completion and person responsible for completion. There is no page limit for this section of the proposal. The purpose of the timeline is to provide enough detail to help all involved track progress and manage tasks. Completion dates should be realistic and tasks assigned appropriately. The reviewers of the proposal will gain an understanding of the planning process and how it is organized by examining the timeline. (Note: a timeline form will be included in the application packet given to organizations whose letters of intent for planning grants are accepted.)

Section D: Budget

The Foundation’s Budget Request Form must be completed for the grant period and be accompanied by a line item narrative justification. This form will be distributed to applicants who are invited to submit proposals. This form will also be discussed at the Proposal Workshop and the Senior Program Officer will be available to assist applicants in completing the form.

Grant funds may be used for personnel (salaries and benefits), consultants, professional fees, local travel, conferences (travel and fees), office equipment, supplies including printing and copying, meeting facilitation costs, and utilities such as telephone and fax.

Grant funds may not be used for space rental, overhead, capital items, or support of existing personnel or programs. If you have
special budgetary requests, consult your Senior Program Officer, Janice Bogner.

Applicants are encouraged to identify matching or in-kind contributions from their organization or other organizations. Indirect costs such as overhead (facility and administrative costs) can be counted as contributions of the organization to the project and documented in the overall project budget.

Section E: Collaboration and Endorsements
Endorsements, such as letters of support, may be attached. However, these endorsements should be limited to no more than three (3).

Section F: Required Materials
Without all the required materials, a proposal is considered incomplete.

Please attach the materials in this order:
1. IRS letter of determination of 501(c)(3) status or tax-exempt status under IRS sections 115 and 170
2. Most recent: a) IRS Form 990 and b) audited financial statement (if not included in annual report)
3. Copy of current operating budget
4. Most recent annual report (if available)
5. Resume of the project director
6. List of the organization’s Board of Trustees, including name, employer, and position title
7. The Foundation’s Required Disclosures Form and any explanations (this form will be distributed to agencies invited to submit proposals)
8. A concluding statement, signed and dated by the organization’s CEO, attesting that the application is complete and true
Proposal Selection Criteria

The Foundation will use the following criteria in selecting planning proposals to fund. Selected projects will:
• Plan for either an evidence-based practice for people with severe mental illnesses or a social enterprise that increases revenue for a mental health treatment agency.
• Involve consumers and their families.
• Identify a solid planning method and specific outcomes.
• Detail a realistic implementation plan.
• Have a clearly delineated budget with justification for each line item.
• Have a clear idea of what resources will be explored to sustain the program.

Planning Proposal Submission

If invited to submit a planning proposal, **completed proposals must be submitted no later then 12:00 noon (EDT), on Wednesday, March 19, 2008.** Mail (no faxes) one (1) original (with attachments) and two (2) copies (without attachments) to:
Janice Bogner
Senior Program Officer
The Health Foundation of Greater Cincinnati
Rookwood Tower
3805 Edwards Road, Suite 500
Cincinnati, OH 45209-1948

Please do not bind the proposals or use individual folders, as this creates difficulties for the Foundation in reviewing, handling, and filing them.
Expected Work Products of Planning Grants

If you are awarded a Planning Grant, you will be expected to submit certain work products to the Foundation upon completion of your planning process.

• If you determine that implementation of the plan is feasible, you will be expected to submit:
  - a business plan for the proposed implementation (the elements of a business plan will be discussed at the proposal workshop [see page 9]); and
  - an explanation of the facilitators and barriers to your planning process. (See the “Special Cases” booklet of the Foundation’s Evaluation Packet, which will be distributed to agencies who are invited to submit proposals. For more information about the Evaluation Packet, visit our web site at http://www.healthfoundation.org/resources/evaluation.html.)

• If you determine that implementation of the plan is not feasible, you will be expected to submit:
  - a narrative explaining why implementation is not feasible; and
  - an explanation of facilitators and barriers to your planning process. (See the “Special Cases” booklet of the Foundation’s Evaluation Packet, which will be distributed to agencies who are invited to submit proposals. For more information about the Evaluation Packet, visit our web site at http://www.healthfoundation.org/resources/evaluation.html.)

Site Visits

Prior to the selection of proposals for funding, Janice Bogner, Senior Program Officer, will make site visits to all organizations that submitted complete proposals.
For More Information

Please direct all questions to:

Janice Bogner
Senior Program Officer, Severe Mental Illness
513-458-6613
jbogner@healthfoundation.org
If your letter of intent is selected, you will be asked to submit a full proposal, which will be considered for funding. You will receive all necessary application forms if you are selected. To prepare you, the content of the proposal follows in this section. This proposal is similar to a business plan.

Start-Up Proposal Workshop

The Foundation will offer a proposal workshop as an opportunity for the invited applicants to ask questions about the RFP concept and application process.

The Start-Up Proposal Workshop is scheduled for Thursday, February 7, 2008, from 2:15-4:00 p.m. (EST) at the Health Foundation’s office. Directions to the Foundation can be found at http://www.healthfoundation.org/directions.html. People planning to attend should RSVP to Vanessa James, Program Assistant, at 513-458-6656 by Monday, February 4, 2008. If you do not RSVP, we will not be able to provide you with handouts and materials.

Attendance at the workshop is not required to submit a proposal. However, it is highly recommended that agencies invited to submit a proposal attend.
Evidence-Based Practice Start-Up Proposal Requirements and Format

Please use the headings in this RFP when preparing your application materials.

Cover Sheet
The Foundation’s Proposal Cover Sheet must be completed and will serve as the cover page for the grant application.

Section A: Organizational Description
1. Describe your organization (less than 100 words). Include the year established, geographic region served, services offered, number of staff, number of consumers served per year, annual budget, primary funding sources, and certifications and accreditations.

2. Identify the reasons this request is being made of the Foundation instead of being handled by your organization or your organization’s funding source(s). (Limit to 50 words.)

Section B: Description of Evidence-Based Practice Start-Up Project

Required format: The description (Section B of the proposal):
• is limited to 15 pages, single-spaced;
• uses a type font not smaller than 12 points; and
• has margins of not less than one inch.

1. Problem, Opportunity, or Needs
In this section, the applicant must identify and describe the specific needs, gaps, or issues that the project intends to address through implementation of an evidence-based practice. Describe in detail:
• the background of the community you will serve,
• the history of the need in this community,
• the services that currently exist or have existed in the past in this community to address the need, and
• information about the target population you will serve.

2. Intervention (Solution)
• Document the process used to select the proposed evidence-based practice.
• Describe how your proposed intervention will address the need, including realistic estimates of the number of people you will serve.
• Describe the model you are using, including how its efficacy has been established and the history of its use as a standard or guideline.
• Identify the goal and objectives of the intervention. Key objectives generally address developing the infrastructure (hiring, policies and procedures, protocols, training, etc.), recruiting and retaining clients, providing the services, and sustaining the program. These will be the same as the ones you fully detail in Section C: Evaluation Plan.

3. Management of the Intervention
• Discuss the lead agency’s ability to implement the program, including:
  ◦ the agency’s structure as it relates to this project and how it will manage the project, and
  ◦ plans for staffing the project (including consultants) and the recruitment and training of personnel if necessary.
• Discuss the services that will be offered, including:
  ◦ the physical location of the services and why this location was selected;
  ◦ how services will be delivered;
  ◦ hours of operation and why these hours were chosen; and
  ◦ accessibility of this location for your target population (i.e., is it located on a bus line? Does your target population live in the neighborhood?).
• Describe what kind of furnishings and equipment you will need to provide the services.
4. Community Involvement and Relations
   - How will you reach your target population to tell them about your services and get them to access your services?
   - How will you reach referral sources to get them to refer members of your target population to you?
   - How will you inform the community about your services and your program?
   - How will you reach potential funders (i.e., newsletters, open houses, media campaigns, fundraising drives, etc.)?

5. Timeline
   In general, describe the timeline of the implementation of your project. You do not need to include specific dates, but you should have a general idea of when various activities will occur. For example, part of your timeline might be, “By Month 3 of this project, we will have the staff hired and trained and the furniture and equipment installed in the offices.”

6. Public Policy
   If applicable, describe the potential for the project to affect public policy. Policy impact can be at the local, state, national, or multiple levels.

7. Risks
   Identify the top five (5) risks associated with this project. These risks may be internal or external in nature.

Section C: Evaluation Plan
   Complete a logic model and Process and Outcome Evaluation Plans as outlined in the Evaluation Packet, which will be distributed to applicants who are invited to submit proposals. Attach copies of the completed logic model and evaluation plans.

   For more information about the Foundation’s Evaluation Packet, please visit our web site at http://www.healthfoundation.org/resources/evaluation.html.

Section D: Budget
   The Foundation’s Budget Request Form must be completed for each grant year and the year following the grant period and be accompanied by a narrative justification of each line item. This
form will be distributed to applicants who are invited to submit proposals. This form will also be discussed at the Proposal Workshop and the Senior Program Officer will be available to assist applicants in completing the form.

Grant funds may be used for personnel (salaries and benefits), consultants, professional fees, local travel, conferences (travel and fees), office equipment, supplies including printing and copying, meeting facilitation costs, and utilities such as telephone and fax.

Grant funds may not be used for space rental, overhead, capital items, or support of existing personnel or programs. If you have special budgetary requests, consult your Senior Program Officer, Janice Bogner.

Applicants are encouraged to identify matching or in-kind contributions from their organization or other organizations. Indirect costs such as overhead (facility and administrative costs) can be counted as contributions of the organization to the project and documented in the overall project budget.

Section E: Sustainability

Required format: The sustainability plan (Section E of the proposal) is limited to 5 pages, single-spaced.

Describe your plan for sustaining this project after Health Foundation funding ends. Your sustainability plan should include:

• A description of how you will bill for services, including:
  ✦ potential payers, such as consumers and private insurance companies;
  ✦ a plan for billing the payers for appropriate services;
  ✦ estimates of the numbers of billable hours you will provide;
  ✦ estimates of the collection rates for billed services; and
  ✦ estimates of revenue other than through billing that must be generated to sustain the project.
• Names of specific funders you will approach, including:
  ✦ information about their funding cycles and where in these cycles you will apply for funding, and
✧ an explanation of why you are qualified to apply to these organizations for funding.
✧ A description of which (if any) of your agency’s funds will be realigned for funding this project.
✧ If this is a collaborative effort, a description of shared or pooled funding arrangements that the collaborators on this project will explore.
✧ Other fundraising strategies your organization may use to help sustain the project.

Section F: Collaboration and Endorsements
Endorsements, such as letters of support, may be attached. However, these endorsements should be limited to no more than three (3).

Section G: Required Materials

Without all the required materials, a proposal is considered incomplete.

Please attach the materials in this order:

1. IRS letter of determination of 501(c)(3) status or tax-exempt status under IRS sections 115 and 170
2. Most recent: a) IRS Form 990 and b) audited financial statement (if not included in annual report)
3. Copy of current operating budget
4. Most recent annual report (if available)
5. Resume of the project director
6. List of the organization’s Board of Trustees, including name, employer, and position title
7. The Foundation’s Required Disclosures Form and any explanations (this form will be distributed to agencies invited to submit proposals)
8. A concluding statement signed and dated by the organization’s CEO, attesting that the application is complete and true
Proposal Selection Criteria

The Foundation will use the following criteria in selecting evidence-based practice start-up proposals to fund. Selected projects will:

- Address gaps, needs, or opportunities in the local mental health care delivery system.
- Involve consumers and their families.
- Access knowledge of the selected evidence-based practice from successful implementations elsewhere.
- Use an established evidence-based practice.
- Have a feasible implementation plan for the selected evidence-based practice.
- Have a sustainability plan for the evidence-based practice after grant support ends.
- Explain the extent to which the project improves community health and/or consumer outcomes.
- Demonstrate the capability of the applicant to implement the proposed activities.
- Explain the probability of successfully extending or replicating the program once it is established.
- Have an adequate proposed budget and budget justification.

Evidence-Based Practice Start-Up Proposal Submission

If invited to submit a proposal, completed proposals must be submitted no later than 12:00 noon (EDT), on Wednesday, March 19, 2008. Mail (no faxes) one (1) original (with attachments) and two (2) copies (without attachments) to:

Janice Bogner
Senior Program Officer
Rookwood Tower
3805 Edwards Road, Suite 500
Cincinnati, OH 45209-1948
Site Visits

Prior to the selection of proposals for funding, Janice Bogner, Senior Program Officer, will make site visits to all organizations that submitted complete proposals.

For More Information

Please direct all questions to:
Janice Bogner
Senior Program Officer, Severe Mental Illness
513-458-6613
jbogner@healthfoundation.org
If your letter of intent is selected, you will be asked to submit a full proposal, which will be considered for funding. You will receive all necessary application forms if you are selected. To prepare you, the content of the proposal follows in this section. This proposal is a business plan.

Start-Up Proposal Workshop

The Foundation will offer a proposal workshop as an opportunity for the invited applicants to ask questions about the RFP concept and application process.

The Start-Up Proposal Workshop is scheduled for Thursday, February 7, 2008, from 2:15-4:00 p.m. (EST) at the Health Foundation's office. Directions to the Foundation can be found at http://www.healthfoundation.org/directions.html. People planning to attend should RSVP to Vanessa James, Program Assistant, at 513-458-6656 by Monday, February 4, 2008. If you do not RSVP, we will not be able to provide you with handouts and materials.

Attendance at the workshop is not required to submit a proposal. However, it is highly recommended that agencies invited to submit a proposal attend.
Social Enterprise Start-Up Proposal Requirements and Format

Please use the headings in this RFP when preparing your application materials.

Cover Sheet

The Foundation’s Proposal Cover Sheet must be completed and will serve as the cover page for the grant application.

Section A: Organizational Description

1. Describe your organization (less than 100 words). Include the year established, geographic region served, services offered, number of staff, number of consumers served per year, annual budget, primary funding sources, and certifications and accreditations.

2. Identify the reasons this request is being made of the Foundation instead of being handled by your organization or your organization’s funding source(s). (Limit to 50 words.)

Section B: Description of Start-up Social Enterprise Project

Required format: The description (Section B of the proposal):

• is limited to 15 pages, single-spaced;
• uses a type font not smaller than 12 points; and
• has margins of not less than one inch.

1. Executive Summary

Provide a clear, stand-alone overview of the social enterprise opportunity and plan.

2. Business Description

Describe in detail:

• the type of social enterprise,
• how the social enterprise fits into the organization’s mission,
• the genesis of the concept,
• history of similar social enterprises inside or outside the organization,
• actual products and services to be generated,
• unique qualities and value to the customer of the products and services,
• an overview of overall strategy and objectives, and
• how the agency will maintain non-profit status after the addition of the social enterprise.

3. Market Analysis
Describe in detail:
• target market,
• identification of competitors in the marketplace,
• how and why you will be better than your competition, and
• pricing strategy to penetrate and maintain a market share to produce profits.

4. Marketing Strategy
Describe your advertising, promotional, and sales strategies for reaching your target market.

5. Timeline
Describe the steps needed to get the social enterprise up and running. In general, describe the timeline of the implementation of your project. You do not need to include specific dates, but you should have a general idea of when various activities will occur. For example, part of your timeline might be, “By Month 3 of this project, we will have the staff hired and trained and the furniture and equipment installed in the offices.”

6. Operations
Describe in detail:
• plan for production or delivery of product or services;
• product or services cost and margins;
• how you will address issues of zoning regulations, tax considerations, transportation, equipment, or other issues related to your specific enterprise; and
• resources required.
7. Management
Describe in detail:
• key individuals involved in the social enterprise,
• personnel needs,
• organizational structure,
• consultants you will use, and
• regulations, risk management, and supervision issues that will affect the enterprise.

8. Critical Risks
Describe in detail:
• potential problems,
• top five (5) risks, and
• alternative courses of action.

9. Public Policy
If applicable, describe the potential for the project to affect public policy. Policy impact can be at the local, state, national, or multiple levels.

Section C: Evaluation Plan
Complete a logic model and Process and Outcome Evaluation Plans as outlined in the Evaluation Packet, which will be distributed to applicants who are invited to submit proposals. Attach copies of the completed logic model and evaluation plans.

For more information about the Foundation’s Evaluation Packet, please visit our web site at http://www.healthfoundation.org/resources/evaluation.html

Section D: Budget
The Foundation’s Budget Request Form must be completed for each grant year and the year following the grant period and be accompanied by a narrative justification for each line item. This form will be distributed to applicants who are invited to submit proposals. This form will also be discussed at the Proposal Workshop and the Senior Program Officer will be available to assist applicants in completing the form.

Grant funds may be used for personnel (salaries and benefits), consultants, professional fees, local travel, conferences (travel and...
fees), equipment, supplies including printing and copying, meeting facilitation costs, and utilities such as telephone and fax.

Grant funds may not be used for overhead or support of existing personnel or programs. If you have special budgetary requests, consult your Senior Program Officer, Janice Bogner.

Applicants are encouraged to identify matching or in-kind contributions from their organization or other organizations. Indirect costs such as overhead (facility and administrative costs) can be counted as contributions of the organization to the project and documented in the overall project budget.

**Section E: Sustainability**

Required format: The sustainability plan (Section E of the proposal) is limited to 5 pages, single-spaced.

Describe your plan for sustaining this project after Health Foundation funding ends. Your sustainability plan should include:

- A description of how you will bill for products and services, including:
  - a plan for billing for and collecting income from products and services,
  - estimates of the numbers of products and services you will provide,
  - estimates of the income from billed products and services, and
  - estimates of income other than through billing that must be generated to sustain the project.
- A description of which (if any) of your agency’s funds will be realigned for funding this project.
- Other fundraising strategies your organization may use to help sustain the project.

**Section F: Collaboration and Endorsements**

Endorsements, such as letters of support, may be attached. However, these endorsements should be limited to no more than three (3). Other relevant attachments may include memoranda of
understanding or letters stating potential customers’ (of the social enterprise) interest or commitment.

Section G: Required Materials

Without all the required materials, a proposal is considered incomplete.

Please attach the materials in this order:
1. IRS letter of determination of 501(c)(3) status or tax-exempt status under IRS sections 115 and 170.
2. Most recent: a) IRS Form 990 and b) audited financial statement (if not included in annual report)
3. Copy of current operating budget
4. Most recent annual report (if available).
5. Resume of the project director.
6. List of the organization’s Board of Trustees, including name, employer, and position title.
7. The Foundation’s Required Disclosures Form and any explanations (this form will be distributed to agencies invited to submit proposals).
8. A concluding statement signed and dated by the organization’s CEO, attesting that the application is complete and true.

Proposal Selection Criteria

The Foundation will use the following criteria in selecting start-up proposals to fund. Selected projects will:
• Address a revenue opportunity.
• Involve consumers and their families.
• Access knowledge of the selected social enterprise program from successful implementations elsewhere.
• Have a feasible implementation plan for the social enterprise program.
• Have a sustainability plan for the social enterprise program after grant support ends.
• Explain the extent to which the project fits with the organization’s mission.
• Demonstrate the capability of the applicant to implement the proposed activities.
• Explain the probability of successfully expanding the enterprise in the future
• Have an adequate proposed budget and budget justification.

Social Enterprise Start-Up Proposal Submissions

If invited to submit a proposal, **completed proposals must be submitted no later than 12:00 noon (EDT), on Wednesday, March 19, 2008.** Mail (no faxes) one (1) original (with attachments) and two (2) copies (without attachments) to:

Janice Bogner  
Senior Program Officer  
Rookwood Tower  
3805 Edwards Road, Suite 500  
Cincinnati, OH 45209-1948

Site Visits

Prior to the selection of proposals for funding, Janice Bogner, Senior Program Officer, will make site visits to all organizations that submitted complete proposals.

For More Information

Please direct all questions to:

Janice Bogner  
Senior Program Officer, Severe Mental Illness  
513-458-6613  
jbogner@healthfoundation.org