



4/21/2023

Subject: Amendment 3 to RFA – SETT 23008 Connections to Care

Dear Providers:

Reference is made to the Request for Applications (RFA) – SETT 23008 Connections to Care dated March 30, 2023. The following modifications to the RFA are being made:

- Update to the Expected Timetable for Key Events.

Cover Page - EXPECTED TIMETABLE FOR KEY EVENTS:

	DATE	TIME
RFA Release Date	3/30/23	5:00 PM EST
Applicant Conference	4/5/23 4/6/23 4/14/23	3:00 PM 11:00 AM 2:00PM
Deadline for Submission of Applicant’s Inquiries	4/7/23 4/14/23	5:00 PM EST 5:00 PM EST
Anticipated Release of Inquiries & Answers, on or about by OASAS	4/12/23 4/19/23	
Application Submission Due Date and Time	5/10/23 5/22/23	5:00 PM EST 5:00 PM EST
Anticipated Notification of Award	6/7/23 6/21/23	

- Update to 1.4 Eligible Applicants.

Eligible applicants are providers that meet **all** of the following criteria:

- Are voluntary agencies or local governmental units (LGU)
- Meet at least **one** of the following criteria:
 - Are OASAS-certified and/or funded by OASAS State Aid as of the Application due date;
 - Are an OMH Integrated Outpatient Services (IOS) – core requirements mental health and addiction;
 - Are a graduate of the OMH clinic initiative to support provision of MAT for Opioids and other addictions;
 - ~~Are a behavioral health Independent Practice Association (IPA) or;~~
 - ~~Are an entity applying as a lead agency for a SOR-funded regional network.~~

OR either of the following criteria:

- Are a non-profit behavioral health Independent Practice Association (IPA) or;
- Are a non-profit entity applying as a lead agency for a SOR-funded regional network.

By form of this letter, Amendment 3 replaces RFA SETT-23008.

End of Document



April 5, 2023

Subject: Amendment 2 to RFA – SETT 23008 Connections to Care

Dear Providers:

Reference is made to the Request for Applications (RFA) – SETT 23008 Connections to Care dated March 30, 2023. The following modifications to the RFA are being made:

- Update to the Expected Timetable for Key Events.

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Application Submission Due Date and Time	5/10/23	5:00 PM EST
Anticipated Notification of Award	6/7/23	

By form of this letter, Amendment 2 replaces RFA SETT-23008.

End of Document



April 3, 2023

Subject: Amendment 1 to RFA – SETT 23008 Connections to Care

Dear Providers:

Reference is made to the Request for Applications (RFA) – SETT 23008 Connections to Care dated March 30, 2023. The following modifications to the RFA are being made:

- Update to the Applicant conference date and time have been update.
- Section 8 – REQUIRED ATTACHMENTS AT BID SUBMITTAL
 - 8.7 Attachment 12: Equity and Diversity Response
 - Question 3 has been stricken, as is duplicative.

Cover Page - EXPECTED TIMETABLE FOR KEY EVENTS:

	DATE	TIME
RFA Release Date	3/30/23	5:00 PM EST
Applicant Conference	4/5/23 4/6/23	3:00 PM 11:00 AM
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Anticipated Release of Inquiries & Answers, on or about by OASAS	4/12/23	
Application Submission Due Date and Time	5/10/23	5:00 PM EST
Anticipated Notification of Award	6/7/23	

Section 8 – REQUIRED ATTACHMENTS AT BID SUBMITTAL

8.7 Attachment 12: Equity and Diversity Response

~~3. Describe any efforts your agency has taken to reduce disparities in access to services for marginalized and/or underserved individuals/communities.~~

By form of this letter, Amendment 1 replaces RFA SETT-23008.

End of Document

NEW YORK STATE OFFICE OF ADDICTION SERVICES AND SUPPORTS

**REQUEST FOR APPLICATIONS (RFA) SETT-23008
Connections to Care**

EXPECTED TIMETABLE FOR KEY EVENTS:

	DATE	TIME
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Application Submission Due Date and Time	5/10/23 5/22/23	5:00 PM EST 5:00 PM EST
Anticipated Notification of Award	6/7/23 6/21/23	

ALL INQUIRIES TO:

Grants@oasas.ny.gov

Subject: **RFA SETT – 23008**

EMAIL SUBMISSION OF APPLICATIONS TO:

Grants@oasas.ny.gov

Subject: **RFA - OASAS SETT-23008, "Provider Name"**

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1 INTRODUCTION

1.1 Purpose

The Office of Addiction Services and Supports (OASAS) is seeking applications for the development of a comprehensive Connections to Care Program that will support the long-term substance use disorder (SUD) recovery and overall wellbeing of **one or more** of the following underserved, vulnerable target populations:

- Pregnant or postpartum persons
- Transitional youth, or individuals ages 18 through 25
- Aging adults, or individuals ages 55 and older
- Individuals diagnosed with or suspected to have a traumatic brain injury
- Individuals diagnosed with or suspected to have a developmental disability
- Individuals returning to the community from a carceral setting
- Individuals transitioning from stabilization and withdrawal services or inpatient rehabilitation services

Organizations that elect to serve multiple target populations must identify one as primary.

Individuals belonging to these groups who also misuse substances or have SUD face additional barriers to accessing and engaging with SUD treatment and other vital resources such as harm reduction services, physical healthcare, mental health services, affordable housing programs, legal services, and others. Comprehensive care connection services help dismantle these barriers through linking individuals to care across systems and disciplines.

The services may be provided by certified peer advocates, care managers, and/or clinical staff and are intended to provide support for target populations to connect to care across systems. The services include direct in-person and telehealth contacts, coordination of transportation, direct linkage, and may include funding to help solve barriers to access to needed care. Applicants may propose the use of wraparound funding to resolve immediate barriers to receiving services or accessing care, including harm reduction and recovery services.

1.2 Funding Available

\$2,200,000 per year is currently available for Connections to Care Programs for a maximum of 11 awards; each award may be up to \$200,000 per year for an anticipated three-year period; an eligible applicant can apply for a maximum of one award.

1.3 Funding Restrictions and Core Objectives

Funding Restrictions

- Award dollars cannot be used to supplant existing funded services or staff. Dollars can only be used for new services or to enhance existing services.

Core Objectives

- Improve linkages between levels or types of care utilizing engagement strategies and removing barriers to access.
- Improve connections to social needs, community, and recovery supports for vulnerable population(s).
- Work with a provider or provider network to identify addiction treatment, harm reduction, and recovery services that match individualized needs. Where specialized services are not currently available, applicant will need to work with network to build capacity to provide such services for the target population(s).
- Identify and connect individuals with specialized needs with services that match their needs, for example, specific treatment providers or tracks, services that support success, non-traditional approaches to care, and individualized care planning.

1.4 Eligible Applicants

Eligible applicants are providers that meet **all** of the following criteria:

- Are voluntary agencies or local governmental units (LGU)
- Meet at least **one** of the following criteria:
 - Are OASAS-certified and/or funded by OASAS State Aid as of the Application due date;
 - Are an OMH Integrated Outpatient Services (IOS) – core requirements mental health and addiction;
 - Are a graduate of the OMH clinic initiative to support provision of MAT for Opioids and other addictions;
 - ~~○ Are a behavioral health Independent Practice Association (IPA) or;~~
 - ~~○ Are an entity applying as a lead agency for a SOR-funded regional network.~~

OR either of the following criteria:

- Are a non-profit behavioral health Independent Practice Association (IPA) or;
- Are a non-profit entity applying as a lead agency for a SOR-funded regional network.

1.5 Glossary of Terms

For purposes of this solicitation, the following definitions may apply:

OASAS-Certified: Pursuant to Article 32 of the New York State Mental Hygiene Law, possession of operating certificate(s) issued by the OASAS commissioner to engage in the provision of Outpatient and Opioid Treatment Services as defined in 14 NYCRR Part 822.

Local Governmental Unit: As defined in New York State Mental Hygiene Law, section 41.03 paragraph 5, local governmental unit “means the unit of local government given authority in accordance with this chapter by local government to provide local services.”

Voluntary Agencies: As defined in New York State Mental Hygiene Law, section 41.03 paragraph 11, a voluntary agency means a corporation organized or existing

pursuant to the not-for-profit law for the purpose of providing local services

In Good Standing: All of a provider's operating certificates which are subject to a compliance rating must have a current compliance rating of partial (2 years) or substantial (3 years) compliance.

"Bidder" and "Applicant": Terms that may be used interchangeably meaning the entity responding to this solicitation.

"Bid", "Application" and "Proposal": Terms that may be used interchangeably meaning the documentation submitted by an entity in response to this solicitation.

1.6 Applicant Conference

An applicant conference is scheduled for this procurement and will take place virtually VIA Webex on the date and time found on the cover page of this RFA.

Participation details will be posted on the OASAS website under this procurement 24 hours before the event. Attendance is not mandatory.

Official responses to questions received during the applicant's conference will be included with the Applicant Inquiries and Clarifications response.

1.7 Inquiries And Clarifications:

Any inquiries or requests for clarification about this RFA must be received in writing by the "Deadline for Submission of Applicant's Inquiries" due date and time found on the cover page of this document **and** must be submitted by email to Grants@oasas.ny.gov and should have the subject line "**RFA SETT-23008**"

Responses to Applicant Inquiries and Clarifications will be posted to the OASAS Procurement web page on or around the "Anticipated Release of Inquiries & Answers by OASAS" date found on the cover page of this document.

In the event it becomes necessary to clarify any portion of this RFA, a clarification will be posted to the OASAS website.

1.8 Addenda and Amendments to the Solicitation

In the event that it becomes necessary to revise any part of this solicitation, an addendum or an amendment will be posted on the OASAS website.

2 OASAS PRIORITIES: INTEGRATION OF MENTAL HEALTH AND SUD AND DIVERSITY

2.1 Integration of Mental Health and Substance Use Disorder

Applicant should have the ability to provide a full range of evidence-based practices that integrate treatments for both addictions and mental health conditions. Care should be organized around the individual's presenting problem and goals. Individuals should expect and receive competent screening, assessment, and comprehensive care for addictions and mental health conditions regardless of where they access care.

Individuals often present to an addiction treatment program with goals that are driven by their addiction but who also have mental health conditions that cannot be separated from and treated independently of the addiction. Both must be addressed simultaneously for the presenting problem to resolve and patient goals to be reached. Rather than considering severity or primacy of diagnoses, treatment is organized around the patient's presenting problem, assessed and planning includes the presenting problem and all addictions or mental health conditions. Integrated care activities that should be considered include (list is not comprehensive):

- Evidence-based prevention that addresses a range of mental health, physical health and addiction across the lifespan;
- Harm reduction strategies to reduce the harm of substance use, chronic health conditions and behaviors associated with mental health disorders;
- A recovery orientation where all individuals are expected to thrive in their community;
- Screening for mental health and addiction conditions;
- Comprehensive Assessment including Psychosocial Evaluations in treatment settings;
- Evaluation for and management of medications to treat mental health conditions and addiction in treatment settings;
- Individual, group, and family Psychotherapy/Counseling, including the use of evidence-based treatments;
- Peer involvement;
- Skills-building group or individual counseling to manage symptoms of all presenting concerns;
- Trauma-informed care including assessment of trauma;
- Treatment of trauma including skills-building; and,
- Coordination of services.

2.2 Equity and Diversity

Applicants are expected to affirmatively address and advance justice and equity and to create and enhance diversity and inclusive practices. Decades of disinvestment coupled with historical and current inequities in access for communities of color, especially Black, Indigenous and Latinx communities, rural communities, LGBTQI+ and other underserved communities require establishing practices that: demonstrate the entity's commitment to equity, identify efforts to reduce disparities in access to services and address opportunities to recruit and retain a diverse

workforce. Since bias plagues our systems and flourishes in unexpected and unanticipated ways, progress toward equity requires a multi-faceted approach.

3 SCOPE OF WORK/DELIVERABLES

3.1 General Program Objectives

Each target population has unique needs and faces complex barriers to accessing vital services that support their long-term recovery, stability, and wellbeing. The successful applicant will:

- identify their experience with the population(s),
- describe the specific needs and barriers to care for the target population(s) and,
- identify treatment, harm reduction and recovery services that have or can develop expertise working with the population(s)

The core objective of this initiative is to develop and implement a comprehensive care connection program that will provide linkages to care and follow-up services to SUD participants who are part of one or more of the targeted populations identified in Section 1.1 and further defined in section 3.4 below by:

- working collaboratively with organizations that have experience working with, or treating the specific needs of the target population(s),
- identifying the unique and individualized needs of the individuals and making referrals to relevant services,
- advocating on behalf of individuals and their families,
- using motivational approaches to support engagement,
- removing barriers to engagement and connection to treatment or other services using award dollars.
- providing follow up services to ensure a successful connection to care, and
- enrolling the number of participants that you identified into the linkage/connections to care program.

3.2 Program Expectations and Deliverables

The following is expected across all target populations.

Organizational Linkage

- A) Develop a network of partners consisting of providers and agencies who specialize in working with one or more of the targeted populations.
- B) Develop or identify a screening tool to identify individuals eligible for the connections to care service.
- C) Develop a better understanding of the target population(s) that you have selected to serve by working with the network of partners.

- a. Develop and/or identify relevant trainings about the unique needs and treatment of the target population(s) for the SUD provider.
 - b. Develop and/or identify relevant trainings about SUD for the network of partners that work with the targeted population(s).
- D) Develop a referral system (possible suggestions include but are not limited to an online directory, a phone operated, or text supported service, an app) for potential clients and their families to seek out a connection to care program

Direct Services

- A) Use evidence-based screening and assessment tools to identify the biopsychosocial needs of the individual receiving services. Domains to assess include, but are not limited to, physical and behavioral health, social support, housing, finances, transportation, legal services, employment, and education.
- B) Utilize a collaborative, person-centered approach to categorize and prioritize needs based on the individual's personal preferences and goals.
- C) Develop a comprehensive plan to connect or refer individuals to services and other resources based on their expressed needs, preferences, and goals.
- D) Regularly monitor the care connection plan to evaluate whether additional resources or linkages are necessary to meet the needs of the individual in care.
- E) Provide ongoing outreach and follow up on linkages to ensure successful connections and supports for client engagement.
- F) Identify and assist in removing barriers to care that may arise during the individual's treatment experience. Award dollars can be used to address and dismantle identified barriers (for example, payment for a health ride share to get to treatment)
- G) Use evidence-based practices such as motivational interviewing to assess and maintain engagement in care.
- H) When clinically appropriate, engage family, significant others, or other supports in the individual's care.
- I) Educate individuals and their families on effectively navigating various systems.
- J) Provide opportunities for individuals and their families to develop and practice self-advocacy skills.
- K) Empower individuals to make self-determined and self-directed choices about their recovery pathway.

Overall:

- A) Adapt current models of service provision to accommodate the unique needs of the target population(s).
- B) Designate staff or contracted provider(s) that have experience working with the target population(s) and substance use disorder to provide comprehensive care connection services.

- C) Document all services including but not limited to screening(s), assessment(s), case management, collateral contacts, releases of information, referral, and follow up in the participants' chart or electronic medical record (EMR).
- D) Develop policies and procedures for all connection to care services including but not limited to outreach, engagement, screening, assessment, referrals, care management, and follow up.
- E) Establish protocols for ongoing supervision, management, and continuous quality improvement (QI) for this project.
- F) Implement outreach and engagement strategies that will advertise connection to care services for the target population(s) you will serve.
- G) Meet all stated data and evaluation requirements as established by NYS OASAS.

3.3 Performance Measurements/Milestones:

- 1 Become established with the target population(s)
- 2 Track efficacy in engagement strategies
- 3 Engage in process improvement to expand reach into the target population(s)
- 4 Strengthen connection between the SUD community and target population(s)
- 5 Retention of identified individuals receiving any kind of support services

3.4 Target Population Focus

The following focus areas are suggestions tailored to each specific target population. However, this is not an exhaustive list of possibilities. Providers are not limited by the focus areas listed below and are encouraged to offer additional connections to meet the unique needs of each individual.

Pregnant and Postpartum People: Provide connections to services for pregnant persons and their families during pregnancy and up to one-year post-partum that support healthy birth outcomes, reduce child welfare involvement, encourage parent-child bonding, and support the overall recovery and wellbeing of the infant, parent, and their family. People who are pregnant and who use substances face heightened stigma, often from providers involved in their care. They may be reluctant to seek help due to fear they will be reported to child welfare agencies and self-stigmatization. Furthermore, postpartum persons are at heightened risk of recurrence of use and fatal overdose due to the many life changes and stressors that accompany childbirth.

Possible connections include but are not limited to prenatal, obstetrical, and pediatric care, mental health services, treatment that includes family as clinically appropriate, housing programs, legal advocacy, and childcare services.

Transitional Youth (ages 18-25): Provide connections to developmentally appropriate services for young adults that support recovery, successful transition into adulthood, and overall wellbeing. This age group is often caught between systems of care that serve children

and those that serve adults. They may also be transitioning out of institutional care or foster care. They have specific needs as they gain independence and learn skills for successful independent living.

Possible connections include but are not limited to safe supportive housing or age-appropriate residential care, peer support, treatment that includes family as clinically appropriate, physical and mental health care services, vocational training, and educational support.

Aging Adults (55 and above): Provide connections to services for aging adults and their families to support recovery, independence, and overall wellbeing. This population is vulnerable to increased effects of substances due to physiological changes and are at risk of increased use due to the stressors that may accompany aging such as social isolation, grief and loss, and chronic illness.

Possible connections include but are not limited to peer support and socialization opportunities, treatment that includes family and caregivers as clinically appropriate, specialized physical and mental health care services, in-home services, peer support services, and recreational programs.

Individuals Diagnosed with or Suspected to Have a Traumatic Brain Injury: Provide connection to services for individuals diagnosed with or suspected to have a traumatic brain injury (TBI) to support their recovery and overall wellbeing. People who use substances have a higher incidence of TBI that often goes undetected. Behaviors associated with TBI can be seen by providers as secondary to “resistance” to treatment for their substance use or care in general.

Possible connections include but are not limited to physical and mental health care, treatment that includes family as clinically appropriate, occupational and other rehabilitative therapies, in-home services, and peer support.

Individuals Diagnosed with or Suspected to Have a Developmental Disability: Provide connections to services for individuals diagnosed with or suspected to have a developmental disability, including but not limited to individuals with intellectual or learning disabilities, that support their and their family’s recovery, independence, and overall wellbeing. People with developmental disabilities may face obstacles accessing the full range of services for substance use and SUD. Many providers lack services that are welcoming of and adapt to the unique needs of this population.

Possible connections include but are not limited to diagnostic services, physical and mental health care, treatment that includes family as clinically appropriate, independent living supports, occupational and other rehabilitative therapies, and peer support.

Individuals Being Released from a Carceral Setting: Provide connections to services for individuals transitioning out of incarceration in order to promote reintegration, recovery, and support overall wellbeing. People who are released from carceral settings are at heightened risk of returning to substance use and experiencing fatal overdose due to a reduction in tolerance. People with Opioid Use Disorder (OUD) or Alcohol Use Disorder (AUD) may need

immediate connections to medical providers to initiate or continue medications for addiction treatment prior to or immediately upon release.

Possible connections include but are not limited to physical and mental health care, treatment that includes family as clinically appropriate, legal assistance, supportive housing, and peer supports.

Individuals Transitioning Out of Crisis or Inpatient Facilities: Provide connections to services to those who are frequently hospitalized for mental health disorders, substance use disorders, and/or chronic health conditions, and their families, to avoid further re-hospitalization and to promote recovery and overall wellbeing. People who are transitioning from crisis or inpatient care too often do not have follow up care within thirty days of discharge. This can contribute to high service utilization and poor treatment outcomes.

Possible connections include but are not limited to physical and mental health care, other clinical services, peer and recovery support services, and housing programs.

4 APPLICATION REQUIREMENTS AND SUBMISSION

Applications should be emailed to Grants@oasas.ny.gov. The subject of the email should read: **SETT-23008, “Provider Name.”**

Complete applications must be received by NYS OASAS by the “Application Submission Due Date and Time” found on the cover page of this RFA.

APPLICATION FORMAT AND CONTENT

4.1 Administrative/Fiscal Application:

Each Bidder must submit an Administrative/Fiscal Application. The Administrative/Fiscal Application must include all of the following.

1. Proposal Cover Letter – A cover letter will transmit the application to OASAS. It should:

- Be completed, signed, and dated by an authorized representative of the Applicant
- Include the Applicant’s designated contact name, phone number, e-mail and physical address
- Identify the primary target population as defined in the “Purpose” section of this RFA
- Identify if the organization applying is a
 - Voluntary agency, or
 - Local governmental unit (LGU)
- Identify the eligibility criteria the organization is applying under as defined in the “Eligible Applicants” section of this RFA.

2. Notification of Intent to Local Governmental Unit – *See below

- Required for Non-LGU applicants only
- 3. **ATTACHMENT 3** – Budget
 - Successful applicants may need to submit a budget narrative to ensure the allowability and reasonableness of costs prior to contract execution.
- 4. **ATTACHMENT 4** – Vendor Assurance of No Conflict of Interest or Detrimental Effect Form
- 5. **ATTACHMENT 8** – Executive Order 177 Certification
- 6. **ATTACHMENT 9** – §139-I Statement on Sexual Harassment
- 7. **ATTACHMENT 10** – Executive Order 16
- 8. **ATTACHMENT 11** – Integration of Mental Health and SUD Response
- 9. **ATTACHMENT 12** – Equity and Diversity Response

***Notification of Intent to Local Governmental Unit**

The applicant must demonstrate proof that a designated Local Governmental Units (LGUs) have been notified of the applicant’s intent to deliver the proposed services. This notification should be addressed to the Director(s) of Community Services for the LGU(s) in the proposed service area(s) and can take the form of written letter(s) or email(s).

The notification should contain the following:

- A description of the services to be provided.
- The location(s) of the services.
- Any data used to determine the need for services in this area.
- The number of people estimated to be served annually.
- The applicant’s contact information and an invitation to meet to discuss the proposal.

As proof of the notification the applicant should attach a copy of the letter or email as well as:

- proof of delivery receipt (if a written letter); or
- a copy of the sent email with headers indicating the date sent and the to/from email addresses

Contact information for LGUs and Directors of Community Services can be found at: https://www.clmhd.org/contact_local_mental_hygiene_departments/.

Applicants who intend to serve more than one county will need to notify all counties in the planned service area, and provide the supporting documentation described above to each individual county.

4.2 Application Narrative

The Application Narrative should be typed, double-spaced, single sided on 8 ½ x 11-inch paper. Pages should be paginated and no longer than 20 pages in length. Font should be 12-point Times New Roman and all margins should be .5 inch wide. The Application Narrative should address all the following sections:

Agency/Organization History and Relevant Experience

Provide a brief and concise summary of the applicant's background and experience that demonstrates the applicant's ability to fulfill the obligations of the RFA. The written narrative shall:

1. Describe the agency's history, mission, purpose, current licenses, and service modalities.
2. Describe the applicant's experience implementing care coordination or similar services.
3. Describe the applicant's experience providing specialized services to the selected target population(s).
4. Describe the applicant's experience building relationships and working collaboratively with other agencies across systems and disciplines, including medical providers, social services, the criminal justice system, and other SUD prevention, treatment, and recovery providers.
5. Demonstrate the applicant's commitment to cultural humility, diversity, equity, and inclusion.
6. Summarize the applicant's administrative and organizational capacity to establish and implement sound administrative practices and successfully carry out the proposed program.

Program Description

In this section, the applicant will provide an overview of how the services detailed in the scope of work will be implemented. The written narrative shall address the following categories:

Target Population

Applicants should clearly identify which of the target population(s) the applicant will serve. For their target population(s), the applicant shall:

1. Provide a basic needs assessment that identifies the SUD treatment and recovery needs of the target population(s), the availability of services within the community that support the wellbeing and recovery of participants, and barriers to accessing or engaging in care.
2. Describe how they will identify individuals in need of care connections services, conduct outreach to engage those individuals, and how they will raise community and provider awareness of their care connection services.
3. Detail how the applicant will adapt current practice and/or develop new procedures to effectively engage and support participants belonging to the selected target population(s).

Organizational Linkages

Applicants should develop linkages with providers who offer services that meet the unique needs of their target population(s), The written narrative shall:

1. Describe how the applicant will identify and build collaborative relationships with programs in their community that provide specialized, developmentally appropriate services for the target population(s).
 - a. Providers can include letters of support from local organizations.
2. Provide a procedure for cultivating information sharing between all providers on the individual's needs and progress after securing informed consent.
3. Identify and describe how a referral system will be developed that can be utilized by potential clients, their families, and/or other organizations to seek out connections to care.
4. Describe how the applicant will identify or develop relevant trainings for both their own agency staff and relevant community agencies and partners that serve the target population(s).

Overall Services

Applicants should provide an overview of how services of individual care, outlined in the scope of work, will be implemented, and tailored to meet the needs of the selected target population(s) specifically addressing the following:

1. Describe how the applicant will screen and/or assess current or prospective participants using evidence-based screening and assessment tools.
2. Describe how the applicant will utilize a non-judgmental, person-centered, and trauma-informed approach to meet the target populations' unique needs, preferences, and goals.
3. Describe how the applicant will adapt or develop their current services to engage, work, connect/refer, monitor, and follow up with the participant of the selected target population(s).
4. Describe how the applicant will use or develop resources to identify and assist in removing barriers to care that may arise during the individual's treatment experience.
5. Identify the evidence-based practice the applicant intends to use to engage and maintain the participant in the connections to care program and justify the reason this practice was selected for the target population(s) that you will be working with.
6. Describe how direct care staff will be trained in the selected evidence-based practice.
7. Describe how the applicant will engage and educate individuals, family, significant others, or other supports of the selected target population(s) to effectively navigate various systems.
8. Identify and describe how the applicant will teach and educate self-advocacy skills to the participant and their families.

9. Describe how the applicant will empower individuals to make self-determined and self-directed choices about their recovery pathway.
10. Describe the applicant's current procedures and/or protocols on clinical documentation assuring that it is accurate, objective, and submitted in a timely manner.
11. Describe how the applicant will develop, if not already existing, policies to assure that services including outreach, engagement, screening, assessment, treatment planning, referrals, releases, case management and follow-up are in place. If policies already exist, applicant should submit as an attachment.

Staffing

Applicants should determine staffing structure to satisfy the requirements for this initiative.

There are no exclusions to who can provide referral/linkage services to the target population(s). Preferably, the staff will have some experience working in the field of addiction and/or have some knowledge or experience working with the target population(s). The following professionals are examples of who can provide referral/linkage services; CASAC, CASAC-T, CPP, CPS, LMSW, LCSW, LMHC, RN, LPN, CRPA, Peer, Recovery Coach, and/or Case Manager.

1. Describe how your current staffing structure and skills set is suited to meet the needs of the identified target population(s) with whom you plan to service.
2. Since you cannot supplant staff, describe how your current staff and their skill set will be utilized to provide the individualized care services described in the scope of work.
3. If you plan on hiring new staff, describe your plan including timeframes for posting the position, recruiting and hiring potential candidates to work with the target population(s).
4. Provide a copy of the job description(s) for current and/or proposed staff you plan to work on this initiative.
5. Provide a copy of the policies, including background and credential checks, as well as handling of prior criminal convictions.
6. Describe your organizational process and or protocols to train staff.
7. Describe how your organization plans, including an organizational chart, to supervise and oversee the staff who will be providing direct care and managing this initiative.

Facilities, Logistics and Equipment:

1. Describe how the applicant will manage the service delivery if provided at more than one program site.
2. Describe the plan for telehealth need specific to this project.
3. Describe the way tangible assets such as computers, phone, other special service equipment, etc., will be acquired and allocated.
4. Describe the applicant's American with Disabilities Act (ADA) accessibility to its facilities and/or offices for individuals with disabilities.

5. Describe the applicant's accessibility to language access program to its facilities and/or offices.

5 EVALUATION OF APPLICATIONS AND SELECTION

5.1 Completeness Review/Non-Responsive Applications

Applications submitted in response to this RFA shall first undergo a completeness review. Those determined to be responsive and complete shall continue in the evaluation process. Conversely, those submissions deemed as incomplete and non-responsive shall be removed from further consideration.

To pass the completeness review, an application must meet the mandatory requirements as follows:

- A. The application was received by OASAS by the submission deadline date as set forth in the RFA.
- B. The applicant is eligible to apply as set forth in "Eligible Applicants" section of this RFA.
- C. The applicant was prequalified in Grants Gateway on the submission deadline date as set forth in the RFA.
- D. The applicant included an Administrative/Fiscal Application, and all required sections as defined in the "Administrative/Fiscal Application" section of this opportunity.
- E. The applicant included an Application Narrative.

5.2 Evaluation Process

Applications passing the Completeness Review will be evaluated and ranked in order of highest score based on an evaluation of each applicant's submission, and awards will be made to the highest successful Application in each Target Population.

After the initial awards are made, the remaining applicant pool will be combined into a single state award pool and ranked. The remaining awards will be made to the highest successful Applicants.

Applications that score below a 70 may be eliminated from consideration and not be eligible for award.

Scoring:

Application scoring will be as follows:

1. Application Narrative - Agency History and Experience (12 Points)
2. Application Narrative - Program Description (42 points)
3. Application Narrative - Staffing (12 points)
4. Application Narrative - Facilities, Logistics, Equipment (14 points)
5. Attachment 11 - Integration of Mental Health and SUD Response (10 points)

6. Attachment 12 - Equity and Diversity Response (10 points)

TOTAL: 100 Points

If two or more Applications have the same highest overall final score the following tie breaker criteria will be applied to determine which Application will be ranked highest:

- A. The Application(s) that serves a “Target Population,” as defined in this RFA, with the least number of Applications already awarded.
- B. If the above scores are tied, the Application(s) with the highest Program Description will be ranked highest.
- C. If the above scores are tied, the Application(s) with the highest total Facilities, Logistics, Equipment score will be ranked highest.
- D. If the above scores are tied, the Application(s) with the highest Attachment 12 - Equity and Diversity Response score will be ranked highest.

All provisions of this RFA and the resulting contract award are contingent upon the availability of NYS funds.

6 ADMINISTRATIVE INFORMATION

6.1 OASAS Reserved Rights

OASAS reserves the right to:

- Reject any or all applications received in response to this RFA.
- Not make an award to any applicant who is not in good standing or who proposes to subcontract with an entity that is not in good standing at the time a contract is awarded.
- Not make an award to any applicant who proposes to subcontract with any entity that OASAS determines does not meet the criteria of a responsible vendor.
- Withdraw the RFA at any time, at OASAS’s sole discretion.
- Make an award under this RFA in whole or in part.
- Make awards based on geographical or regional consideration to serve the best interests of the State.
- Make awards in a culturally humble and ethnically diverse manner as determined necessary and appropriate in the sole discretion of OASAS to serve best the interests of the State.
- Negotiate with the successful applicant within the scope of the RFA in the best interests of the State.

- Disqualify any applicant whose conduct and/or application fails to conform to the requirements of this RFA.
- Seek clarifications and revisions of applications.
- Use application information obtained through site visits, management interviews and the State's investigation of an applicant's or its proposed subcontractor's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the OASAS's request for clarifying information in the course of evaluation and/or selection under the RFA.
- Amend the RFA to correct errors of oversight, or to supply additional information as it becomes available.
- Direct applicants to submit application modifications addressing subsequent RFA amendments.
- Make additional awards in excess of the posted amount if additional funding is made available.
- Change any of the scheduled dates.
- Eliminate any mandatory, non-material specification that cannot be met by all of the prospective applicants.
- Waive any requirement that is not material.
- Conduct contract negotiations with the next successful applicant, should the OASAS be unsuccessful in negotiating with the selected applicant.
- Utilize any and all ideas submitted in the applications received.
- Require correction of simple arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's application and/or to determine an applicant's compliance with the requirements of the solicitation.
- Accept applications after the due date for submissions, if OASAS in its sole discretion, determines there is good cause shown for the delay in the submissions.

6.2 Prequalification Requirements for Not-For-Profit Bidders

Pursuant to the NYS Division of the Budget Bulletin H-1032 Revised, dated July 16, 2014, NYS has instituted key reform initiatives to the grant contract process, which require that **not-for-profits must register in the NYS Grants Gateway and complete a Vendor Prequalification process.**

Applicants must be pre-qualified in the NYS Grants Gateway when submitting their application. In addition, any award is contingent on the Applicant(s) being pre-qualified at the time of contract execution. (See: <http://grantsgateway.ny.gov/>)

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The Vendor User Manual in the Grants Reform Website details the requirements and can be found at <https://grantsmanagement.ny.gov/grantee-documents>.

1. Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username, please email grantsreform@budget.ny.gov. If you do not know your Password, please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2. Complete your Prequalification Application.

- Log in to the [Grants Gateway](#). **If this is your first-time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

3. Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes, you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Failure to prequalify and maintain your prequalification status will serve as a bar to grant eligibility. If you have any questions about prequalification, please go to the Grants Reform website or contact Grants@oasas.ny.gov.

6.3 Compliance Requirements

All activities performed with funds from this solicitation must be carried out in a manner that complies with all applicable federal and New York State laws and regulations.

6.4 Reporting Requirements

Applicants will be required to report a series of data elements that will enable OASAS to determine the impact of the program on opioid use, and opioid-related morbidity and mortality. Applicants will be required to report client-level data on elements including but not limited to: diagnoses, demographic characteristics, substance use, services received, types of medication-assisted treatment received; length of stay in treatment; employment status, criminal justice involvement, and housing. Additional data elements will be provided after award. Applicants are required to ensure all data reported are accurate.

7 CLAUSES AND REQUIREMENTS

7.1 MWBE and EEO Requirements

Business Participation Opportunities for NYS Certified Minority-and Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women Requirements and Procedures

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations, the New York State Office of Addiction Services and Supports (NYS OASAS) is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of NYS OASAS contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, the NYS OASAS hereby establishes an overall goal of 0% for MWBE participation (based on the current availability of MBEs and WBEs). Bidders/Contractors are however strongly encouraged and expected to consider MWBEs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how NYS OASAS will evaluate a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8.

Equal Employment Opportunity Requirements

By submission of a bid or Application in response to this solicitation, the respondent agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women (https://ogs.ny.gov/system/files/documents/2019/10/AppendixA_0.pdf) OR Authority equivalent to Appendix A] The respondent is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

Further, pursuant to Article 15 of the Executive Law (the “Human Rights Law”), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and

sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

7.2 New York State Certified Service-Disabled Veterans

PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE-DISABLED VETERAN-OWNED BUSINESSES

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOBs”), thereby further integrating such businesses into New York State’s economy. NYS OASAS recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of NYS OASAS contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders/Contractors are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

For purposes of this procurement, NYS OASAS conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the Contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed at: <https://ogs.ny.gov/veterans/>

Bidder/Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veteran’s Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss methods of maximizing participation by SDVOBs on the Contract.

7.3 NYS Vendor Responsibility

The OSC has issued Vendor Responsibility Standards, Procedures and Documentation requirements, which are intended to provide reasonable assurance that a proposed contractor is a responsible vendor. Consistent with these requirements, a Vendor Responsibility Questionnaire must be completed prior to the execution of a contract.

NYS Agencies are required to undertake an affirmative review of the responsibility of any Contractor to whom they propose to make a contract award. Such review is designed to provide reasonable assurances that the proposed Contractor is responsible. A responsibility determination will involve a review of the following four major categories: legal authority, integrity, financial and organizational capacity, and previous contract performance.

NYS OASAS recommends that Contractors file the required Vendor Responsibility Questionnaire online via the NYS VendRep System. To enroll in and use the NYS VendRep System, see the VendRep System Instructions available at https://www.osc.state.ny.us/vendrep/info_vrsystem.htm or go directly to the VendRep System online at <https://onlineservices.osc.state.ny.us/Enrollment/login?0>

Contractors must provide their NYS Vendor Identification Number when enrolling.

To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at (866) 370-4672 or (518) 408-4672 or by email at: ciohelpdesk@osc.state.ny.us.

Contractors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website http://www.osc.state.ny.us/vendrep/forms_vendor.htm or may contact NYS OASAS or OSC's Help Desk for a copy of the paper form.

If paper format is chosen, the printed Vendor Responsibility Questionnaire should be signed and returned with this Bid. The online format may be submitted electronically through the VendRep System. Regardless of which format is chosen, the questionnaire will be used by NYS OASAS to make a responsibility determination for the purposes of this Bid.

The Successful Bidder agrees that if it is found by the State that the Bidder's responses to the Questionnaire were intentionally false or intentionally incomplete, on such finding, NYS OASAS may terminate the Contract. In no case, shall such termination of the Contract by the State be deemed a breach thereof, nor shall the State be liable for any damages for lost profits or otherwise, which may be sustained by the Successful Bidder as a result of such termination.

7.4 Ethics Compliance

The Successful Bidder and its Subcontractor(s) and their employees must comply with the requirements of §§73 and 74 of the Public Officers Law, other state codes, rules, regulations, and executive orders establishing ethical standards for the conduct of business with New York State. In signing the Contract, the Successful Bidder certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relations, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the bidding

process, termination of contract, and/or other civil or criminal proceedings as required by law.

The Successful Bidder and its Subcontractor(s) shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). The Successful Bidder certifies that all of its employees and those of its subcontractor(s) who are former employees of the State and who are assigned to perform services under the Contract shall be assigned in accordance with all Ethics Requirements. During the term of the Contract, no person who is employed by the Successful Bidder or its subcontractor(s) and who is disqualified from providing services under the Contract pursuant to any Ethics Requirements may share in any net revenues of the Successful Bidder or its Subcontractor(s) derived from the Contract.

The Successful Bidder shall identify and provide the State with notice of those employees of the Successful Bidder and its subcontractor(s) who are former employees of the State that will be assigned to perform services under the Contract, and make sure that such employees comply with all applicable laws and prohibitions. The State may request that the Successful Bidder provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate the Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

7.5 Indemnification

The Successful Bidder shall assume all risks of liability for its performance, or that of any of its officers, employees, or agents, of any contract resulting from this solicitation and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any claim, action or proceeding relating to or in any way connected with the performance of this contract and covenants and agrees to indemnify and hold harmless the State of New York, its agents, officers and employees, from any and all claims, suits, causes of action and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the Successful Bidder, its officers, agents, or employees, or the failure by the Successful Bidder, its officers, agents, or employees to perform any obligations or commitments to the State or third parties arising out

of or resulting from any contract resulting from this solicitation. Such indemnity shall not be limited to the insurance coverage herein prescribed.

7.6 Worker's Compensation and Disability Benefits Certifications

Section 57 and 220 of the New York State Workers Compensation Law (WCL) provide that NYS OASAS shall not enter into any contract unless proof of workers' compensation and disability benefits insurance coverage is produced. Prior to entering into a contract with NYS OASAS, Successful Bidder will be required to verify for NYS OASAS, on forms authorized by the New York State Workers' Compensation Board, the fact that they are properly insured or are otherwise in compliance with the insurance provisions of the WCL. The forms to be used to show compliance with the WCL are listed below. The Successful Bidder must submit the following documentation before a contract may take effect.

ONE of the following forms as Workers Compensation documentation:

Proof of Workers' Compensation Coverage:

- **C-105.2 – Certificate of Workers' Compensation Insurance**; contractors insured through the New York State Insurance Fund should send form **U-26.3**;
- **SI-12 – Certificate of Workers Compensation Self-Insurance**; or
- **GSI-105.2 – Certificate of Participation in Workers' Compensation Group Self-Insurance**; or
- **CE-200, Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities.**

ONE of the following forms as Disability Insurance documentation:

A. Proof of Disability Insurance Coverage:

- **DB-120.1 – Certificate of Disability Benefits Insurance**;
- **DB-120.2 – Certificate of Participation in Disability Benefits Group Self Insurance**; or
- **DB-155 – Certificate of Disability Benefits Self Insurance**;
- **CE-200, Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities.**

7.7 Public Officers Law

Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two years following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a “lifetime bar” from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with the State Agency or Authority. Any questions about the appropriateness of employing or utilizing a former State Agency or Authority employee should be resolved by obtaining an advisory opinion from the NYS Joint Commission on Public Ethics (JCOPE) which can be contacted at <https://jcope.ny.gov>.

7.8 Conflict of Interest

The Bidder shall submit, as part of the bid, a completed **Vendor Assurance of No Conflict of Interest or Detrimental Effect Form (Attachment 4)** signed by an authorized representative providing an attestation that its performance of the services outlined in this RFA does not and will not create a conflict of interest with nor position the Bidder to breach any other contract currently in force with the State of New York. Furthermore, the Bidder shall attest that it will not act in any manner that is determinantal to any State project on which the Bidder is rendering services.

7.9 Executive Order 177

In accordance with Executive Order (EO) No. 177, the Bidder shall certify that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law. Such certification shall be made utilizing **Attachment 8**.

Executive Order No. 177 does not affect institutional policies or practices that are protected by existing law, including but not limited to the First Amendment of the United States Constitution, Article 1, Section 3 of the New York State Constitution, and Section 296(11) of the New York State Human Rights Law.

7.10 Executive Order 16

In accordance with Executive Order No. 16, State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia. On March 24, 2022, the United States, in coordination with the

European Union and the Group of Seven (G-7), imposed sanctions on an additional 400 Russian individuals and entities. The federal sanctions include efforts to block moves by Russian entities and individuals to evade the sanctions imposed or to use international reserves. While the federal sanctions seek to target specific entities and individuals within Russia, Executive Order No. 16 is intended to ensure that New York State is not entering into contracts with entities conducting business in Russia and thereby indirectly supporting Russia's unjustified war against the Ukrainian people. In order to comply with Executive Order No. 16, State Entities must obtain a certification from applicants as part of a solicitation for a new contract or extension of an existing contract. Such Applicant certification shall be made utilizing **Attachment 10**.

7.11 State Finance Law, Article 9- §139-I Statement on Sexual Harassment

In accordance with New York Consolidated Laws, State Finance Law, Article 9- §139-I Statement on Sexual Harassment, Bidder shall certify that it has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law. Such certification shall be made utilizing **Attachment** Error! Reference source not found..

A bid shall not be considered for award nor shall any award be made to a bidder who has not complied with subdivision one of §139-I; provided, however, that if the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor.

Any bid hereafter made to the state or any public department, agency or official thereof, by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where such bid contains the statement required by subdivision one of this section, shall be deemed to have been authorized by the board of directors of such bidder, and such authorization shall be deemed to include the signing and submission of such bid and the inclusion therein of such statement as the act and deed of the corporation.

8 REQUIRED ATTACHMENTS AT BID SUBMITTAL

All attachments in this section will be required to be completed and submitted with all bid proposals. All attachments in this section will have a fillable version of these forms available on the OASAS website under this opportunity.

Missing or skipped numbered attachments indicate that a particular attachment will not be required by this particular procurement and was therefore omitted.

8.1 Attachment 3: Budget

REQUEST FOR APPLICATION

A separate fillable version of this form is available under this opportunity

OASAS PROJECT NO. SETT-23008

PART I - PROVIDER INFORMATION

1. Printed Legal Name of Bidder Entity:		
2. Bidder's OASAS Provider Number:		
3. Bidder's Street Address/P.O. Box		
4. Bidder's City/Town/Village:	5. Postal Zip Code:	6. Date Prepared:
7. Printed Name of Bidder Contact Person:		8. Printed Title of Contact:
9. Contact Telephone #:	10. Contact Email:	

PART II – OPERATIONAL FUNDING REQUEST

1. Date Initiative expected to be operational:	
REQUESTED OPERATING BUDGET FOR PROPOSAL	ANNUAL OPERATING BUDGET
2. Gross Expense Budget (see instructions for details): Round Amounts to the nearest \$1 (no cents).	
Personal Services	
Fringe Benefits	
Non-Personal Services	
Equipment	
Property/Space	
Agency Administration	
TOTAL GROSS EXPENSE BUDGET	
3. Revenue Budget (see instructions for details): Round Amounts to the nearest \$1 (no cents).	
Patient Fees	
SSI and SSA	
Public Assistance (Safety Net & TANF)	
Medicaid	
Medicare	
Third Party Insurance/Private Pay	
Food Stamps	
Closely Allied Entity Contributions	
Donations	
Other: Specify:	
Specify:	
Specify:	
TOTAL REVENUE BUDGET	
4. NET OPERATING COST	
5. OASAS State Aid Funding Requested	
6. Full-Time Equivalent (FTE) Staff Requested:	

Applicant Official:	
Printed Name:	Printed Title:
Signature:	Date:

**Instructions for Completing the Initiative Funding Request Form (IFR)
(Annual Operating Budget)**

PART I - PROVIDER INFORMATION

1. **Printed Legal Name of Bidder Entity** – Print the incorporated or legal name of the agency submitting the Initiative Funding Request on the IFR and on any additional pages that are attached. **Do not enter the common name or acronym.**
2. **Bidder’s OASAS Provider Number** – Enter the unique 5-digit number that identifies the agency and that is used for reporting purposes to OASAS. This number is the same as the **Agency Code** number used when submitting Consolidated Fiscal Report (CFR) documents.
- 3-5. **Bidder’s Address** – Enter the mailing address, including zip code, where the administrative office of the applicant entity is located.
6. **Date Prepared** – Enter the date the Initiative Funding Request Form (IFR) was prepared.
- 7-10. **Bidder Contact Person** – Enter the printed name and title, the telephone number (including area code), and email address of the person who can answer questions concerning the information provided on the IFR.

PART II – OPERATIONAL FUNDING REQUEST

1. **Date Program Expected to be Operational** – Enter the date, in the xx/xx/xxxx format, that the proposed initiative is expected to be operational and will require Aid to Localities funding from OASAS.

Requested Operating Budget for Proposal

Requested operating budget amounts must represent **12-month, full annual costs**, revenues, net deficit and OASAS State aid funding requested.

ALL AMOUNTS REQUESTED MUST BE ROUNDED TO THE NEAREST DOLLAR (\$1.00)

2. **Gross Expense Budget** – Applicants should refer to the Consolidated Fiscal Reporting (CFR) Manual for a more detailed general description of the following expense items:
 - Personal Services
 - Fringe Benefits
 - Non-Personal Services (i.e. Other than Personal Services (OTPS))
 - Equipment
 - Property/Space
 - Agency Administration

3. **Revenue Budget** – Applicants should refer to the CFR Manual for an explanation of each revenue category, and enter applicable annual projected amounts that they anticipate receiving to offset costs attributable to the proposed program.

If the applicant does not anticipate receiving any revenue to offset costs of its proposal it should so indicate by entering \$0 for each category.

4. **Net Operating Cost** - Enter the amount obtained by subtracting **Total Revenue Budget** from **Total Gross Expense Budget**.

5. **OASAS State Aid Funding Requested** – Enter the amount of OASAS State aid funding being requested for this initiative. This amount **should equal** the **Operating Budget Net Deficit** amount.

- 6 **Full-Time Equivalent (FTE) Staff Requested** – Enter the number of FTE’s requested as part of this initiative.

Applicant Official

Enter the printed name and title of the applicant agency representative submitting the IFR proposal.

The IFR must be signed and dated by the applicant agency representative.

Signature and Date – The IFR should be signed and dated by the bidder agency representative.

8.2 Attachment 4: Vendor Assurance of No Conflict of Interest or Detrimental Effect

A separate fillable version of this form is available under this opportunity

The Bidder offering to provide services pursuant to this RFA, as a contractor, joint venture contractor, subcontractor, or consultant, attests that its performance of the services outlined in this RFA does not and will not create a conflict of interest with nor position the Bidder to breach any other contract currently in force with the State of New York.

As such, the Bidder will disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated Contractor, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Bidder or former officers and employees of the Bidder or their Affiliates, in connection with your rendering services pursuant to this RFA.

If a conflict does or might exist, describe how the Bidder would eliminate or prevent it.

Indicate what procedures will be followed to detect, notify OASAS of, and resolve any such conflicts.

In addition, the Bidder must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Furthermore, the Bidder attests that it will not act in any manner that is detrimental to any State project on which the Bidder is rendering services. Specifically, the Bidder attests that:

The fulfillment of obligations by the Bidder, as proposed in the response, does not violate any existing contracts or agreements between the Bidder and the State;

1. The fulfillment of obligations by the Bidder, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Bidder has with regard to any existing contracts or agreements between the Bidder and the State;

2. The fulfillment of obligations by the Bidder, as proposed in the response, does not and will not compromise the Bidder's ability to carry out its obligations under any existing contracts between the Bidder and the State;
3. The fulfillment of any other contractual obligations that the Bidder has with the State will not affect or influence its ability to perform under any contract with the State resulting from this RFA;
4. During the negotiation and execution of any contract resulting from this RFA, the Bidder will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
5. In fulfilling obligations under each of its State contracts, including any contract which results from this RFA, the Bidder will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. No former officer or employee of the State who is now employed by the Bidder, nor any former officer or employee of the Bidder who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and
7. The Bidder has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

Bidders responding to this RFA should note that the State recognizes that conflicts may occur in the future because a Bidder may have existing or new relationships. The State will review the nature of any such new relationship and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name _____, Title: _____

Signature: _____, Date: _____

This form must be signed by an authorized executive or legal representative.

8.3 Attachment 8: EO 177 Certification

A separate fillable version of this form is available under this opportunity

The New York State Human Rights Law, Article 15 of the Executive Law, prohibits discrimination and harassment based on age, race, creed, color, national origin, sex, pregnancy or pregnancy-related conditions, sexual orientation, gender identity, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics.

The Human Rights Law may also require reasonable accommodation for persons with disabilities and pregnancy-related conditions. A reasonable accommodation is an adjustment to a job or work environment that enables a person with a disability to perform the essential functions of a job in a reasonable manner. The Human Rights Law may also require reasonable accommodation in employment on the basis of Sabbath observance or religious practices.

Generally, the Human Rights Law applies to:

- all employers of four or more people, employment agencies, labor organizations and apprenticeship training programs in all instances of discrimination or harassment;
- employers with fewer than four employees in all cases involving sexual harassment; and,
- any employer of domestic workers in cases involving sexual harassment or harassment based on gender, race, religion or national origin.

In accordance with Executive Order No. 177, the Bidder hereby certifies that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law.

Executive Order No. 177 and this certification do not affect institutional policies or practices that are protected by existing law, including but not limited to the First Amendment of the United States Constitution, Article 1, Section 3 of the New York State Constitution, and Section 296(11) of the New York State Human Rights Law.

Contractor: _____

Signature: _____

Name: _____

Title: _____

Date: _____, 20__

8.4 Attachment 9: Statement on Sexual Harassment Certification

(New York Consolidate Laws, State Finance Law, Article 9–§139-l)

A separate fillable version of this form is available under this opportunity

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

Any bid hereafter made to the state or any public department, agency or official thereof, by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where such bid contains the statement required by §139-l, shall be deemed to have been authorized by the board of directors of such bidder, and such authorization shall be deemed to include the signing and submission of such bid and the inclusion therein of such statement as the act and deed of the corporation.

Contractor: _____

Signature: _____

Name: _____

Title: _____

Date: _____, 20__

If the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor.

8.5 Attachment 10: Executive Order 16

A separate fillable version of this form is available under this opportunity

Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found [here](#).

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations.

As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

Is Vendor an entity conducting business operations in Russia, as defined above? Please answer by checking one of the following boxes:

1. No, Vendor does not conduct business operations in Russia within the meaning of Executive Order No. 16.
- 2.a. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but has taken steps to wind down business operations in Russia or is in the process of winding down business operations in Russia. (Please provide a detailed description of the wind down process and a schedule for completion.)
- 2.b. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but only to the extent necessary to provide vital health and safety services within Russia or to comply with federal law, regulations, executive orders, or directives. (Please provide a detailed description of the services being provided or the relevant laws, regulations, etc.)
3. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16.

The undersigned certifies under penalties of perjury that they are knowledgeable about the Vendor’s business and operations and that the answer provided herein is true to the best of their knowledge and belief.

Vendor Name:
(legal entity) _____

By:
(signature) _____

Name: _____

Title: _____

Initiative Name – Connections to Care

Date: _____

8.6 Attachment 11: Integration of Mental Health and Substance Use Disorder Response

**A separate fillable version of this form is available under this opportunity
If additional space is required write “see attached” and attach additional documents.**

1. Describe how your program incorporates the principles of harm reduction into mental health and substance use disorder services as detailed in Section 2.1 of this RFA. Identify the care that the program provides to patients to utilize harm reduction approaches, incorporate peers and recovery principles, screen, assess, directly provide or coordinate care for individuals.
2. Describe how program ensures comprehensive services to address the holistic needs of persons served.
3. Describe how program provides a full continuum of services for addiction, mental health or physical health needs of persons served either directly or through coordination with other providers.
4. Describe training on assessment of co-occurring conditions and referral to care.

8.7 Attachment 12: Equity and Diversity Response

A separate fillable version of this form is available under this opportunity

1. Describe the population in the catchment area served by this initiative including the demographic composition of the population (race, ethnicity, gender and gender identity, sexual orientation, language, disability, etc.).
2. Describe how your agency meets the cultural and linguistic needs of the population(s) to be served by your agency as part of this initiative.
3. ~~Describe any efforts your agency has taken to reduce disparities in access to services for marginalized and/or underserved individuals/communities.~~
4. Describe any efforts your agency has taken to reduce disparities in access to services for marginalized and/or underserved individuals/communities.
5. Does your agency mission statement, vision statement and/or values statement reflect a commitment to serving marginalized or underserved communities and/or regions? Provide the statement(s).
6. Identify the staff person responsible for addressing justice, equity, diversity and inclusion within your agency, including their name, title, background/education and contact information.
7. Describe any committees or workgroups developed within your agency to address justice, equity, diversity and inclusion, as well as the staff and/or patients/clients who participate in those committees, including how often they meet and impact on the agency. A general description of the participants is satisfactory, do not name patients or clients participating any specific committees or workgroups.
8. Provide information on any external committees or workgroups related to justice, equity, diversity and inclusion that your staff participate in. Provide the name of the committee or workgroup, including a general description of the focus, attendees and how often the group meets.
9. Supporting diversity in the workforce:
 - a. Describe agency efforts to recruit, hire and retain staff representative of, or experienced in working with, the dominant cultural groups of the individuals served by your agency and the community in which your agency is located.
 - b. Describe the leadership structure of your agency and how leadership are representative of, or experienced in working with, the dominant cultural groups of the individuals served by your agency and the community in which your agency is located.

10. Describe staff training requirements related to justice, equity, diversity and inclusion.

9 REQUIRED ATTACHMENTS BEFORE CONTRACT EXECUTION

All Attachments in this section will be required to be completed by successful applicants only. They may be included as part of the application submission or applicants may choose to submit them only after receiving an award and before contract execution.

Missing or skipped roman numerals indicate that a particular attachment will not be required by this particular procurement/contract.

10 APPENDIXES

All Appendixes are informational and do not have to be completed by the applicant.

Missing or skipped letters indicate that a particular appendix is not relevant to this particular procurement/contract.

End of RFA SETT-23008