

NEW YORK STATE OFFICE OF ADDICTION SERVICES AND SUPPORTS

REQUEST FOR APPLICATIONS (RFA) SETT-23009
Community Prevention Coalitions – Fentanyl, Opioids, Rx

EXPECTED TIMETABLE FOR KEY EVENTS:

	DATE	TIME
RFA Release Date	5/10/23	5:00 PM EST
Deadline for Submission of Applicant’s Inquiries	5/17/23	5:00 PM EST
Anticipated Release of Inquiries & Answers on or about by OASAS	5/22/23	
Application Submission Due Date and Time	6/16/23	5:00 PM EST
Anticipated Notification of Award	7/21/23	

ALL INQUIRIES TO:

Grants@oasas.ny.gov

Subject: **RFA SETT – 23009**

EMAIL SUBMISSION OF APPLICATIONS TO:

Grants@oasas.ny.gov

Subject: **RFA - OASAS SETT-23009, “Provider Name”**

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1 INTRODUCTION

1.1 Purpose

Addressing the impact of Opioid Burden in health disparate counties.

The Office of Addiction Services and Supports (OASAS) recognizes the urgent need for a comprehensive evidence-based response to reduce preventable deaths from the opioid crisis. To address this crucial public health issue, OASAS intends to adapt proven opioid misuse prevention strategies from SAMHSA's 2014 Partnership for Success grant and the Strategic Prevention Framework (SPF) Coalition model to build community partnerships and community readiness for harm reduction services. OASAS is seeking applications for this unique initiative, Fentanyl, Opioids, Rx Coalitions (FOR Coalitions), which will build on the successful implementation of evidence-based opioid and heroin use prevention strategies developed in NYS OASAS' administration of Partnership for Success (PFS) 2014. FOR Coalitions will use their established relationships as a basis to support the affected community's role in addressing the opioid and synthetic opioids other than methadone (SOOTM) overdose crisis at a local level. While the epidemic impacts the entire state, there are counties and communities in NYS which are disproportionately impacted by opioid-related overdoses and deaths. Using NYS Opioid Burden Data from the NYSDOH Opioid Data, counties with Opioid Burden crude rates above that of NYS (249.8 including NYC; 231.6 excluding NYC) are prioritized for this comprehensive prevention approach to reduce opioid and SOOTM overdoses and deaths.

The FOR initiative will fund community coalitions in 7 high need counties to follow the Strategic Prevention Framework's (SPF) data-driven 5-step process to deliver targeted, community-based opioid prevention services. FOR Coalitions will promote the alignment of resources and priorities at the State, tribal and community-levels using the SPF model to bring measurable changes over time. FOR-funded communities will use community-based opioid prevention approaches to reduce access and availability to opioids and SOOTM. These include the distribution of drug destruction kits and medication lock boxes to high-need populations, and the initiation or promotion of Take Back Days. Funded coalitions will assess and build community readiness for harm reduction through brokering harm reduction informational sessions and training events for coalition and community members, families, and individuals. Coalitions will build youth coalitions using data-driven approaches and building intentional partnerships between prevention coalitions, prevention, treatment, recovery, harm reduction, and mental health services. By working together to foster change, FOR coalitions and their communities of high need can more effectively begin to overcome the challenges underlying their opioid and SOOTM overdose prevention priorities and achieve the goals of the program.

At the community level, successful prevention of substance misuse or overuse requires a mixed methods approach of evidence-based prevention strategies that rely on local data sources and community input to produce culturally responsive prevention messages. NYS OASAS recognizes the value of community-based prevention and prevention-focused coalitions that use local data to create tailored, culturally competent efforts, such as Environmental Change Strategies, as cost-effective means to reduce or delay substance use/misuse. Environmental Change Strategies developed using SAMHSA's Strategic

Prevention Framework (SPF) employ a multi-pronged approach that combines policy change, enforcement awareness, and media to promote positive health behaviors and to increase awareness of the negative consequences associated with substance use/misuse.

Acknowledging availability and access as risk factors for the nonmedical use of prescription opioids, we support the use and promotion of Prescription Drug Lock Boxes, Drug Deactivation Kits, Community Drug Take Back Days, and Drug Drop Boxes as effective Environmental Change Strategies to decrease the potential for the Nonmedical use of prescription opioids and other drugs.

1.2 Funding Available

- \$1,400,000 in annual funding is available for this initiative to fund 7 applicants up to \$200,000 each, per year for an anticipated four-year period based on funding availability.
- OASAS seeks to award one program in each of the high NYS Opioid Burden counties as determined by data from Department of Health (DOH) and listed below:
 - Chautauqua
 - Bronx
 - Ulster
 - Sullivan
 - Greene
 - Dutchess
 - Chemung

1.3 Core Objectives

Funding Restrictions

- Agency administration costs may not exceed 20% of the total Personal Services, Fringe Benefits, and Other Than Personal Services costs.
- 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

This initiative has three distinct goals that will serve to strengthen the state's prevention infrastructure and to increase the capacity of high-need communities to deliver targeted opioid use and misuse prevention and to increase community readiness for harm reduction strategies.

1. Implement proven evidence-based Environmental Change Strategies to reduce access to opioid and SOOTM in the community and to increase awareness of preventable opioid overdose deaths. Year one required strategies include distribution of drug destruction kits and medication lock boxes, and instituting community Drug Take Back Days.
2. Building on the existing partnerships of the prevention-focused community coalition, the funded coalition will form agency and service collaborations that span the continuum of prevention, treatment, recovery, and harm reduction services to promote opioid and

SOOTM overdose prevention awareness and to increase community readiness to be trained in and use lifesaving harm reduction approaches.

3. Following SAMHSA's data-driven Strategic Prevention Framework (SPF), build sustainable prevention leadership in disproportionately impacted communities by mentoring or developing a prevention-focused youth coalition in a middle and or high school in the funded-coalition's catchment area. Youth coalition members will be required to participate in OASAS and CADCA trainings.

1.4 Eligible Applicants

Eligible applicants are Not for Profit or Local Governmental Unit (LGU) entities that meet **one** of the following criteria:

- Existing prevention-focused coalition working in one of the high-risk counties listed in section 1.2 Funding Availability and in collaboration with one of the OASAS Prevention Resource Centers.
- A fiscal agent acting on behalf of an existing prevention-focused coalition working in one of the high-risk counties listed in section 1.2 Funding Availability and in collaboration with one of the OASAS Prevention Resource Centers.
 - Proof of agreement between fiscal agent and prevention coalition will be required as part of the application submission.

1.5 Glossary of Terms

For purposes of this request for applications, the following definitions may apply:

Prevention-focused Community Coalition: is defined by SAMHSA as a group of stakeholders who represent diverse organizations, constituencies, and community members who agree to work together to achieve a common goal to reduce substance use/misuse behaviors. More than any other entity, community coalitions are poised to connect the 12 sectors of businesses, parents, media, law enforcement, schools, faith organizations, health providers, prevention providers, addictions treatment, mental health, social service agencies, and government for a wide-ranging representation of a community. Acting in concert, coalition partners gain a more complete understanding of the community's concerns and together they identify opportunities to implement evidence-based prevention solutions. The result is a comprehensive, community wide approach that makes efficient use of limited community resources to achieve measurable cross-systems outcomes in reduced and delayed substance use/misuse behaviors.

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.

Currently Operate: Having an operational program at the time of application submittal.

Strategic Prevention Framework and Environmental Change Strategies



Funded communities will use the Strategic Prevention Framework (SPF) to develop culturally appropriate tailored prevention and to build community capacity to address the ongoing opioid and SOOTM crises. The SPF steps are designed to help prevention planners and communities build the necessary infrastructure for effective, responsive, and sustainable prevention. Please use this [link](#) to access SAMHSA’s website for detailed requirements of SPF implementation.

Environmental Change Strategies - Environmental Change Strategies are evidence-based approaches combining policy change, enforcement awareness, and media to promote positive health behaviors and to increase awareness of the negative consequences

associated with substance use/misuse. Using a public health approach, Environmental Change Strategies emphasize modifying the broader physical, social, cultural, and institutional forces that contribute to health problems in the general population. Preventing access, limiting availability, and changing community norms that knowingly or unknowingly promote substance use/misuse is at the heart of environmental prevention. Efforts such as state-wide seat belt laws, bike helmet laws, and smoke-free campus initiatives are excellent examples of large- and small-scale Environmental Change Strategies that boost positive behavior change to reduce negative health outcomes.

The three **Environmental Change** approaches defined:

POLICY: Policy is defined as “standards for behavior that are formalize and embodied in rules, regulations, and procedures.” Policy can be considered at a national level, such as the National Minimum Drinking Age Act which strives to limit access to alcohol for persons under 21 years old; or at the state-level such as the NY state policy that requires both servers and bartenders to be 18 years old or older. However, policies can be more internal and more local to a community or organization. These policies are sometimes termed, “Little p” policies and they “represent changes to internal policy, practice and or funding within an organization or system.” They may not require approval from an elected body, and often the changes can be made administratively. For example, an apartment complex could adopt a social host policy to prohibit underage alcohol use on its premises.

ENFORCEMENT: To be effective, policies, regulations, and rules must be enforced. Enforcement traditionally involves police officers who provide consequences when policies and laws are not followed. Police officers are often necessary partners when implementing certain enforcement strategies; however, other stakeholders may be more appropriate to enforce local and community-based policies.

While having police officers involved may assist in implementing some effective enforcement strategies, they may not be a necessary stakeholder for all strategies. Other enforcement stakeholders may be considered, such as administrators, parents, business owners, apartment building owners or managers. It is important to think of the appropriate stakeholders that have the enforcement capacity required to enforce the policy and what is feasible given your community resources.

Another consideration is that the perception of enforcement can motivate people to comply with regulations. High visibility enforcement serves as a deterrent and even perceived

enforcement will reduce the likelihood of youth purchasing and consuming alcohol and using drugs underage.

MEDIA: Media should be used to support the policy and enforcement strategies selected for implementation. Media can bring awareness to policies, enforcement, and consequences, as well as influence public support to change community norms.

Three main media strategies that OASAS supports are:

Media Advocacy. Media advocacy strategically uses media (e.g., radio, newspapers, TV, op-eds, blogs, social network sites) to advance a prevention initiative. It can raise awareness of Alcohol and Other Drug (AOD) use, generate public debate about related issues, and garner support for prevention efforts. Implementation involves having a clear purpose, support from community stakeholders, research on the targeted audience, a carefully crafted message, strong relationships with media partners, and a well-thought-out dissemination plan. The term, “*earned media*” often accompanies media advocacy work. *Earned media* refers to the free publicity and promotion the prevention initiative receives (i.e., op-ed article in the newspaper; radio interview) rather than through paid advertising.

Social Marketing. Social marketing can be used to influence community attitudes and norms regarding AOD as well as outcome expectancies of use. This approach uses techniques adapted from commercial marketing to encourage positive, voluntary behavior change. It involves disseminating messages that reinforce the benefits of engaging in a specific behavior while minimizing the perceived negative consequences typically associated with behavior change. Effective implementation of social marketing involves a comprehensive needs assessment with a clear understanding of the targeted population, the creation of a message based on formative research, and the message being frequently disseminated through multiple communication channels. The message should be branded and marketed so it is easily recognizable. The hallmark of a successful social marketing campaign is the varied forms of media used to publicize the prevention message.

Social Norms Campaign. A Social Norms Campaign is used to correct misperceptions by disseminating actual statistics highlighting the misperception within a population. For example, young people may assume inaccurate normative beliefs such as “everybody drinks” which can lead to problem drinking behaviors among underage youth. If the needs assessment data reveal a large percentage of underage youth do not drink alcohol, a social norms campaign can be used to correct the misperception with a

positive message. A social norms campaign uses data to educate the public about the actual drinking rates and it can refute community misperceptions.

Please review the Environmental Change Strategy recorded training on NYS OASAS' website for definitions and examples of the three components of Environmental change strategies: <https://oasas.ny.gov/applying-comprehensive-environmental-strategy-approach>.

1.6 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-23009**"

The Applicant Inquiries and Clarifications response 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.

1.7 Addenda and Amendments to the RFA

In the event that it becomes necessary to revise any part of the Request for Applications, 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 strategies for both addictions and mental health conditions. Prevention activities should address primary prevention for a range of mental health conditions and addictions. Primary prevention evidence-based programs (EBP) that address social emotional learning, have been effective in preventing both substance use and mental health problems as many are interrelated. Providers should identify an understanding of risk and protective factors including Adverse Childhood Events (ACE) and strategies that increase resilience and decrease risk factors for the development of later problems.

- 1 Evidence-based programs addressing a range of mental health, physical health and substance across the lifespan;

- 2 Harm reduction strategies to reduce the harm of substance use, chronic health conditions and behaviors associated with mental health disorders;
- 3 A recovery orientation where all individuals are expected to thrive in their community;
- 4 Screening for substance use/misuse, substance use and mental health;
- 5 Peer involvement;
- 6 Skills-building;
- 7 Trauma-informed care including assessment of trauma;
- 8 Treatment of trauma including skills-building; and,
- 9 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. For this application, equity procurement criteria are inclusive of Opioid Burden Rates.

3 SCOPE OF WORK/DELIVERABLES

Fentanyl, Opioids, Rx Coalitions (FOR Coalitions), must use the Strategic Prevention Framework (SPF) as the planning model. Successful Applicants will use the 5-step SPF process to describe the data-driven decision-making process used to develop their plan while infusing the guiding principles of cultural responsiveness and sustainability. The FOR Coalitions must collaborate with local resources to develop culturally responsive and sustainable environmental prevention strategies targeting vulnerable communities.

FOR Coalitions must:

1. Complete all five steps of the Strategic Prevention Framework
 - Assessment
 - Capacity Building
 - Planning
 - Implementation
 - Evaluation
2. Use evidence-based prevention strategies to reduce availability and access to opioids, SOOTM, and heroin in their community. Specific required strategies include:
 - distribution of drug destruction kits,
 - medication lock boxes, and
 - the expansion and promotion of Drug Take Back days.

3. Use community readiness assessment tools to adopt community readiness strategies that increase engagement with harm reduction services.
4. Develop a logic model to align needs with responsive strategies and outcomes.
5. Work across the continuum of care of Prevention, Treatment, Recovery, Harm Reduction, and Mental Health including the OASAS Funded Regional Addiction Resource Centers (RARC), to:
 - promote trainings,
 - provide information related to harm reduction and opioid overdose recovery, and
 - develop a plan for sustainability of the initiative's services across the continuum of care.
6. Demonstrate their capacity to engage their identified population and to engage key stakeholders to plan and implement sustainable evidence-based environmental prevention for opioid overdose and attributable deaths.
7. In Year 1, conduct a comprehensive needs assessment using survey and archival data to identify local conditions contributing to opioid overdose and opioid attributed deaths.
8. In Year 2, implement tailored Environmental Change Strategies (ECS) to address the local conditions identified in the Year 1 comprehensive needs assessment.

FOR Coalitions Partnerships Must:

1. Work with their region's Prevention Resource Center (PRC) for training and technical assistance.
2. Demonstrate working partnerships with the continuum of care: prevention, treatment, recovery, harm reduction and mental health services.

FOR Coalitions Must Have or Hire:

1. A full-time coalition coordinator who represents or has strong connections to the identified community. Additionally, the 12 sectors of the coalition membership should be representative of and/or serve the intended identified health disparate community.
2. A youth coalition coordinator to mentor and work with a local middle/high school coalition through the steps and principles of the SPF. Youth Coalition members should be trained in the core knowledge of community-based substance use/misuse prevention, youth advocacy and the implementation of Environmental Change Strategies.

3. A part time data coordinator to oversee the needs assessment, data collection, and process and outcomes evaluation to assess changes in consumption, consequence, and risk/protective factors.

FOR Coalition Reporting:

1. Submit reports of process and outcome data as instructed by OASAS.
2. Complete SPF online assessment tools, and complete online monthly reports.

Anticipated Timeline:

The below breakout of activities outlines the anticipated timetable of contract events using the five steps of the Strategic Prevention.

YR1: Anticipated funding for 4 years based on funding availability

SPF Step	Activity
Assessment:	<ul style="list-style-type: none"> -Start to collect archival and administrative data -Contract a data coordinator -Conduct and submit the coalition capacity checklist -Conduct and submit a community readiness assessment -Begin process for collecting data from the identified population -Administer an OASAS-approved Survey
Planning & Capacity Building	<ul style="list-style-type: none"> -Hire a youth coalition coordinator -Contract with a youth coalition coordinator -Meet with PRC to develop an annual T/TA plan, and obtain T/TA -Prepare a capacity building plan to engage underserved health disparate communities -Develop and submit a health disparities impact statement -Develop a strategic plan including a logic model, an action plan, and a cultural responsiveness plan -Develop a relationship with the OASAS Regional Addiction Resource Center (RARC) to promote harm reduction resources and opioid overdose recovery trainings.
Implementation	<ul style="list-style-type: none"> -Work on activities listed in capacity building plan -Submit strategic plan to the state for approval -Immediately implement Evidenced-Based Environmental Change Strategies for Opioid and SOOTM use prevention such as take-back programs and events, permanent drop-off sites, and social marketing of prescription drug safe storage and disposal - Identify a middle and/or high school in the community to mentor or develop a youth coalition
Evaluation	<ul style="list-style-type: none"> -Complete monthly data entry for OASAS

	-Form an Evaluation subcommittee and Evaluation Plan for this initiative
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YR 2:

SPF Step	Activity
Assessment	-Complete data collection of local risk indicators -Submit needs assessment report for prevention and community readiness -Conduct and submit the coalition capacity checklist -Identify priority Risk and Protective factors for opioid and SOOTM -Reassess Year 1 Implementation Strategies to include interventions that address local conditions
Capacity Building	-Work on activities listed in capacity building plan -Update capacity building plan -Create a Sustainability subcommittee -Attend OASAS-sponsored PFS Virtual Learning Institutes -Mentor or develop a Youth Coalition focused on youth empowerment and advocacy
Planning	-Update strategic plan based on needs assessment report -Identify priority Risk and Protective factors -Identify appropriate evidence-based prevention strategies -Develop culturally responsive prevention messaging based on the risk and protective priorities and the community of focus' feedback -Assess the prevention strategy and the coalition's cultural responsiveness -Develop Sustainability plan
Implementation	-Implement activities from approved strategic plan -Complete prevention strategy fidelity assessment form
Evaluation	-Prepare and submit an evaluation plan -Complete monthly data entry for OASAS

YR 3:

SPF Step	Activity
Assessment	-Conduct and submit the coalition capacity checklist -Administer an OASAS approved Survey
Capacity Building	-Meet with PRC to develop an annual T/TA plan, and obtain T/TA -Work on activities listed in capacity building plan -Review coalition capacity checklist results and make changes
Planning	-Update strategic plan based on preliminary and process evaluation -Develop sustainability plan -Review cultural competence and prevention strategy's responsiveness

	-Review health disparities impact statement
Implementation	-Continue implementation of prevention activities from updated strategic plan -Adjust prevention approaches, prevention social marketing campaigns and messages based on process evaluation and community feedback
Evaluation	-Continue monthly data entry -Review and adjust Evaluation Plan based on new data or updates -Conduct process evaluation

YR 4:

SPF Step	Activity
Assessment	-Conduct and submit the coalition capacity checklist -Continue collection of archival data and identify new sources -Administer the Youth Development Survey, Adult Survey
Capacity Building	-Meet with PRC to develop an annual T/TA plan, and obtain T/TA -Work on activities listed in capacity building plan -Update capacity building plan
Planning	-Update strategic and sustainability plans based on preliminary data and process evaluation -Review/ revise health disparities impact statement
Implementation	-Continue implementation activities from updated strategic plan and sustainability plan -Adjust prevention approaches based on process evaluation and community feedback
Evaluation	-Continue monthly data entry -Update evaluation plan -Conduct final evaluation surveys -Continue collection of archival and administrative data - Submit final evaluation report

4 APPLICATION REQUIREMENTS AND SUBMISSION

Applications should be emailed to Grants@oasas.ny.gov. The subject of the email should read: **SETT23009, "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 a complete 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 county they are applying for as defined in Section 1.2 of the RFA
 - If the Applicant’s designated contact information is not within the county they are applying for, identify the physical location where work will be performed within the county they are applying for
 - Identify if they are:
 - a prevention-focused coalition, or
 - a fiscal agent of a prevention-focused coalition
2. **Notification of Intent to Local Governmental Unit** – *See below
 - Required for non-LGU applicants
3. **Fiscal Agent Agreement** – A copy of the fiscal agent agreement with the prevention - focused coalition
 - Required for fiscal agents only
4. **ATTACHMENT 3** – Budget
5. **ATTACHMENT 4** – Vendor Assurance of No Conflict of Interest or Detrimental Effect Form
6. **ATTACHMENT 8** – Executive Order 177 Certification
7. **ATTACHMENT 9** – §139-I Statement on Sexual Harassment
8. **ATTACHMENT 10** – Executive Order 16
9. **ATTACHMENT 11** – Integration of Mental Health and SUD Response
10. **ATTACHMENT 12** – Equity and Diversity Response

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

The applicant must demonstrate proof that the designated Local Governmental Unit (LGU) has 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 LGUs from 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 no more than 15 pages typed, double-spaced, single sided on 8 ½ x 11-inch paper. Pages should be paginated. Font should be 12-point Times New Roman, and all margins should be .5 inch wide. Letters of support, budget forms, figures or tables will not count towards the page limit. If an Application Narrative exceeds the page limit above, OASAS will limit its review to information provided within the page limit.

The purpose of the Application Narrative is to demonstrate an understanding of the objectives and the services to be provided, how the coalition's objectives will be operationalized and evaluated, and responsiveness to the goal of the initiative by way of the proposed activities. The Application Narrative should address all the following sections, in order:

Needs Assessment

Describe the opioid crisis in the county and communities to be served by the coalition. The written narrative shall:

1. Using data, explain where overdose and deaths attributable to opioid and SOOTM are occurring and the demographics of the communities who are most severely impacted. Use National, NYS, and/or community-level quantitative, archival, and/or qualitative data to describe the community. Data must be from the past five years.
2. Using data, describe the risk/protective factors associated with opioid and SOOTM overdoses in your community. Describe the community's consumption patterns, and the lasting consequences (healthcare, justice system, families, foster care, etc.) particular to the community or population the coalition will serve. These data should reflect the local conditions. Describe the prevention priorities the coalition will address to increase opioid and SOOTM use prevention in this community. Describe how the coalition will identify the local conditions that are driving the opioid and SOOTM overdose crisis.

3. Document the need for increased capacity to build equitable opioid overdose and SOOTM awareness, prevention services, and community readiness for Harm Reduction approaches. Include gaps in services and prevention data. Explain how local data will be used for meeting the goals of this project.

Coalition Membership, Activities and Resources

This narrative section shall:

1. Include a list of opioid misuse prevention and community readiness for prevention activities that the coalition implemented. Include the data-driven allocation process used in the planning and implementation of the prevention and community readiness strategies.
2. Briefly describe the current active coalition membership in terms of their sector and representation of and ties to the community (ies) identified above. Include letters of support from at least three organizations that work predominantly with families or individuals directly impacted by the opioid and SOOTM overdose crisis. Include the letters in the attachments.
3. Describe an ongoing evaluation plan that assesses gaps in coalition membership to ensure appropriate representation from the affected populations' stakeholders.

Capacity to Engage

1. Describe how your coalition will implement the required activities to meet the goals of the grant. Reference your organization's knowledge of and/or experience in:
 - Adhering to SAMHSA's SPF;
 - Community Readiness Assessments and strategies;
 - Knowledge or experience with engaging community members in SPF-focused capacity building trainings and activities;
 - Using the Prevention Technology Transfer Centers (PTTC) and Prevention Resource Centers (PRC).
2. Provide an example of the coalition's community engagement activities conducted for a recent substance use prevention environmental change strategy. Describe engagement for all coordinating components – media, enforcement, and policy implemented by the coalition.
3. Describe your organization's plan to build prevention, treatment, recovery, harm reduction, and mental health partnerships to reduce opioid and SOOTM preventable deaths in the community. Include details about local conditions influencing the plan.

4. Describe your coalition's plan to increase community readiness to use Harm Reduction approaches to reduce opioid and SOOTM overdose. Include details about the local conditions that will influence the strategies.
5. Describe challenges anticipated in building capacity to increase community awareness for and engagement in Harm Reduction and how the barriers will possibly be removed.

Cultural Considerations

1. Describe how you will use Culturally and Linguistically Appropriate Services (CLAS) Standards to ensure that the community readiness activities, opioid misuse, and opioid and SOOTM overdose prevention strategies being implemented remain responsive and align with community needs.

Evaluation

1. Describe how the coalition is currently evaluating its prevention service delivery and strategies. Explain the coalition's current capacity to collect, analyze and report data as well as its ability to conduct process and outcome evaluation.

Staffing Plan

Provide a Staffing Plan that includes job titles, job descriptions, relevant experience required, professional credentials, and general responsibilities. At a minimum, the Staffing Plan should include:

1. A Coalition Coordinator. Responsible for the general day to day activities and organization of the coalition and its work on this initiative's objectives. The coordinator will be responsible for leading the coalition through the SPF stages: assessment, capacity building, planning, implementing, and evaluating activities associated with the Risk and Protective Factor priorities. The coordinator will guide the coalition to develop and implement evidence-based culturally responsive prevention strategies that will lead to long-term involvement of community institutions, organizations, and individuals in substance use prevention. The community coalition coordinator is a full-time dedicated position responsible for ensuring that the necessary reporting requirements are completed and submitted.
2. A Youth Coalition Coordinator. Responsible for organizing activities, trainings and technical assistance needed for mentoring a sustainable youth coalition in a local middle/high school through the SPF steps and overarching principles. The youth coalition coordinator arranges for Environmental Change Strategies for Prevention training and opportunities to operationalize its concepts.
3. A Data Analyst (part-time, up to 50%). Responsible for overseeing the prevention needs assessment and all aspects of evaluation. The analyst will need to demonstrate proficiencies in the evaluation of environmental prevention strategies and measuring the

processes and outcomes associated. They will ensure that all evaluative activities are culturally sensitive and will aim to bridge any age, gender, cultural, racial, or institutional barriers using appropriate communications and methodologies.

4. Describe how new staff will be recruited and trained to meet the positions' requirements.
5. Describe a plan for ongoing professional development for coalition staff and members.
6. Include an Organizational Chart of the current or proposed coalition structure; resumes of core members (if available).

Fiscal

Explain the coalition's current fiscal situation. Include current funding levels and any in-kind resources the coalition currently receives or expects to receive.

1. In the listing of funding sources include a description of the type of, if any, experience the applicant has with cost reimbursement-based contracts. In addition, please include dates for when the current funding expires (if applicable). Any anticipated revenues should be listed, such as matching funds, current grants, or in-kind contributions, with sources identified.
2. Explain how the funding will be used to expand or enhance current health equity efforts. Funds cannot be used to duplicate or supplant existing funding that the coalition receives. The financial resources narrative must justify the proposed expenses and clearly describe any funding that will be braided with this funding. However, the applicant will be required to track this funding separately. Please also include a timeline of any funding that will be braided with this funding.

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 separated by eligible applicant group and evaluated and ranked in order of highest score within each county and awards will be made to the highest successful application(s) in each eligible county.

Scoring will be as follows:

- 1. Application Narrative – Needs Assessment (15 pts)
- 2. Application Narrative – Coalition Membership, Activities and Resources (10 pts)
- 3. Application Narrative – Capacity to Engage (20 pts)
- 4. Application Narrative – Cultural Considerations (15 pts)
- 5. Application Narrative – Evaluation (10 pts)
- 6. Application Narrative – Staffing Plan (5 pts)
- 7. Application Narrative – Fiscal (5 pts)
- 8. Attachment 11 - Integration of Mental Health and SUD Response (10 points)
- 9. Attachment 12 - Equity and Diversity Response (10 points)

TOTAL: 100 Points

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

- A. The Application(s) with the highest Capacity to Engage score will be ranked highest.
- B. If the Capacity to Engage score is tied, the Application(s) with the highest total Program Narrative Cultural Considerations score will be ranked highest.
- C. 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 Requests for Funding.
- 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 and/or unable to be accurately assessed

- 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.

1. 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.
2. 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.

3. 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.
4. 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 Grantsgateway@its.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: itservicedesk@osc.ny.gov.

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 must 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:

- 4. DB-120.1 – Certificate of Disability Benefits Insurance;**

5. **DB-120.2 – Certificate of Participation in Disability Benefits Group Self Insurance; or**
6. **DB-155 – Certificate of Disability Benefits Self Insurance;**
7. **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 Error!** Reference source not found..

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-23009

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
 - Agency administration costs may not exceed 20% of the total Personal Services, Fringe Benefits, and Other Than Personal Services costs.

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 FTEs 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.

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 – Community Prevention Coalitions - Fentanyl, Opioids, Rx

Date: _____

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

RFA SETT – 23009

**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 coalition will incorporate the principles of harm reduction, mental health and substance use disorder services as detailed in Section 2.1 of this RFA into community-based prevention services. Identify the services that the coalition promotes to community members to destigmatize harm reduction approaches, incorporate peers and recovery principles, increase access to screening, assessment, direct or coordinated care for individuals.
2. Describe how the coalition will promote comprehensive services to address the holistic needs of persons served.
3. Describe how the coalition promotes access to 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 how the coalition and community members will receive training on assessment of co-occurring conditions and referral to care.

8.7 Attachment 12: Equity and Diversity Response

RFA SETT – 23009

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 coalition meets the cultural and linguistic needs of the population(s) to be served by your coalition as part of this initiative.
3. Describe any efforts your coalition has taken to reduce disparities in access to services for marginalized and/or underserved individuals/communities.
4. Does your coalition mission statement, vision statement and/or values statement reflect a commitment to serving marginalized or underserved communities and/or regions? Provide the statement(s).
5. Does the coalition have a member who is responsible for addressing justice, equity, diversity, and inclusion within your Coalition, including their name, title, background/education and contact information. If not, describe the Coalition's process for addressing justice, equity, diversity, and inclusion within your Coalition.
6. Describe any committees or workgroups developed within your coalition to address justice, equity, diversity and inclusion, as well as the coalition member who participates 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.
7. Provide information on any external committees or workgroups related to justice, equity, diversity and inclusion that your coalition members participate in. Provide the name of the committee or workgroup, including a general description of the focus, attendees and how often the group meets.
8. Supporting diversity in the workforce:
 - b. Describe coalition efforts to recruit, hire and retain coalition member representative of, or experienced in working with, the dominant cultural groups of the individuals served by your coalition and the community in which your coalition is located.
 - c. Describe the leadership structure of your coalition and how leadership are representative of, or experienced in working with, the dominant cultural groups of the individuals served by your coalition and the community in which your coalition is located.

9. Describe coalition member 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.

N/A

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.

N/A

End of RFA SETT-23009