



## **MITIGATING THE IMPACT OF TRAUMA IN SCHOOLS**

### **Request for Applications (RFA)**

**(December 2022)**

**Table of Contents**

**SECTION 1**

**A. Introduction and Background ..... 3**

**B. Target Population/Eligibility Criteria ..... 5**

**C. Key Events/Timelines..... 6**

**D. Eligible Applicants ..... 6**

**E. Program Requirements ..... 6**

    E.1 School Mental Health Assessment ..... 6

    E.2 Menu of Program Options ..... 7

        a. Dynamic Mindfulness ..... 7

        b. Mindful Schools ..... 8

        c. MindUP ..... 8

        d. Olweus Bullying Program ..... 8

        e. Second Step (with Bullying Prevention Unit)..... 8

        f. Trauma Illness and Grief (TIG) ..... 8

    E.3 Implementation Meetings..... 9

    E.4 NYS Trauma Informed Network ..... 9

    E.5 Equity, Diversity, and Inclusion ..... 9

    E.6 Reporting and Data Collection ..... 10

**F. Operating Funding ..... 10**

**G. Method for Evaluating Applications ..... 11**

**H. Disqualification Factors ..... 11**

**I. Process for Awarding Contracts ..... 11**

**SECTION 2 Administrative Information**

**A. Designated Contact/Issuing Officer ..... 12**

**B. RFA Questions and Clarifications ..... 12**

**C. Addenda to Requests for Applications ..... 13**

**D. Instructions for Bid Submission and Required Format..... 13**

**E. Reserved Rights ..... 15**

**F. Debriefing ..... 16**

**G. Protests Related to the Solicitation Process ..... 16**

**H. Minority and Women Owned Business Enterprises ..... 17**

**I. Participation Opportunities for New York State Certified Service-Disabled  
Veteran Owned Businesses..... 18**

**J. Sexual Harassment Prevention Certification ..... 19**

**K. NYS and OMH Policies ..... 19**

**L. Contract Term..... 19**

**M. Contract Termination and Reassignment ..... 19**

**N. Citations..... 21**

## **Mitigating the Impact of Trauma in Schools RFA**

### **SECTION 1**

#### **A. Introduction and Background**

The New York State Office of Mental Health (OMH) announces the availability of funds for school districts throughout New York State to implement training and curriculum that will enhance schools' capacity to be trauma-responsive. It is anticipated that OMH will make up to 61 awards across the state, contingent upon funding availability. The combined total of these awards will be up to \$6,100,000 over one year. (See Section F Operating Funds)

The NYS Office of Mental Health (OMH) continues to support our ongoing commitment by advancing prevention, early identification, and integration strategies that promote the social-emotional well-being of children, youth, and their families. Advances in prevention science offer opportunities to build resilience, intervene before a problem is manifested, and provide early identification and treatment of disorders.

The goal of this project is to build resilience throughout a school community by supporting the implementation of evidence-based or evidence-informed programs that will mitigate the impact of trauma and increase students' social-emotional competencies, decrease problem behaviors, aggression, and violence, prevent suicide, and increase mental health awareness for all adults in the school community, including parents, caregivers, and families.

#### **Evidence-Based**

Over the past forty years, there has been growing awareness of the impact of trauma and toxic stress on individuals and families and the importance of taking a trauma-informed approach to promoting resiliency, recovery, and healing. In 1997, "The Adverse Childhood Experiences (ACE) Study" was published. This CDC-Kaiser Permanente study, conducted by Felitti and Anda, was one of the largest investigations of childhood abuse and neglect and household challenges and later-life health and well-being.<sup>i</sup> Adverse Childhood Experiences (ACEs) are potentially stressful or traumatic events that occur during childhood (ages 0-17).<sup>ii</sup> They are often reflective of abuse, neglect, household instability, and/or dysfunction. Research supports that when a child experiences a traumatic event, their capacity to cope may be overwhelmed by strong negative emotions and physical reactions.<sup>iii</sup> Without intervention, exposure to frequent traumatic adversities can lead to prolonged activation of the stress-response system, also known as toxic stress.<sup>iv</sup> Toxic stress from ACEs has been linked to organic changes in brain development, consequently impacting attention, behavior, decision-making, and how the body responds to future stressors.<sup>v vi vii</sup>

The CDC-Kaiser ACE Study identified a list of ten adverse childhood experiences. Since the original study, researchers have expanded the list to include additional adverse events experienced by individuals – such as bullying, medical trauma, and death of a loved one – and adverse events experienced by whole communities – such

as natural disasters, community violence, and war. There is increasing recognition that adverse childhood experiences have a cumulative effect and have significant and long-term impacts on the physical, emotional, and relational well-being of individuals, families, and communities.

For many children and families, experiences of toxic stress, adverse childhood events, and trauma are far too common.

- More than 60% of children reported at least 1 traumatic event by age 16. <sup>viii</sup>
- Nationally, 61 percent of black non-Hispanic children and 51 percent of Hispanic children have experienced at least one ACE, compared with 40 percent of white non-Hispanic children and only 23 percent of Asian non-Hispanic children. <sup>ix</sup>
- At least 1 in 7 children have experienced child abuse or neglect in the past year in the United States. This is likely an underestimate because many cases are unreported. <sup>x</sup>
- In 2019, about 1 in 5 high school students reported being bullied on school property in the last year. <sup>xi</sup>
- One in 9 girls and 1 in 53 boys under the age of 18 experience sexual abuse or assault at the hands of an adult. <sup>xii</sup>

The COVID-19 pandemic has been a chronic stressor for the entire population, impacting well-being across the domains of health, economics, and social relationships. Experiences of toxic stress and trauma have increased exponentially in the last two and a half years as all children, youth, and their families have had to deal with the social-emotional effects of school closings, masking, social isolation, and the effects of illness in families. Many children have been impacted by the trauma of the loss of a parent, caregiver, or other family member due to COVID.

- “Comparing pre-pandemic to the first year of the COVID-19 crisis: The share of children struggling to make it through the day rose nearly 26% — from 9.4% (5.8 million kids) in 2016 to 11.8% (7.3 million kids) in 2020.” <sup>xiii</sup>
- From March 2020 to October 2020, mental-health-related emergency department visits increased 24% for children ages 5 to 11 and 31% for those ages 12 to 17 compared with 2019 emergency department visits, according to CDC data. <sup>xiv</sup>
- <https://www.cdc.gov/mmwr/volumes/69/wr/mm6945a3.htm> As of July 2022, more than 200,000 kids had lost a parent or primary caregiver to the virus. <sup>xv</sup>

Strategies to mitigate the impact of toxic stress and trauma exist on a continuum from prevention to early intervention to treatment. Prevention strategies include holistic programs and curriculums that support wellness and build resilience. These programs equip children with skills to manage and navigate traumatic experiences before they are exposed to traumatic events, thereby reducing the impact of trauma when it occurs.

There is a growing body of evidence that mindfulness practices increase stress resilience and emotional regulation for individuals and transform the culture and climate of entire schools. Mindfulness training has been shown to be an effective preventative strategy for supporting wellness as well as for management of a wide variety of behaviors which, over time, enhances the ability of participants to cope with

stress and improves functioning. The training can be utilized with diverse cultural groups and has been shown to be effective across all age groups. It has been shown to be particularly effective in school settings, improving overall academic performance, reducing disruptive behaviors significantly, and improving socially competent behaviors.

Prevention strategies also include programs whose goal is to reduce the occurrence of traumatic events, such as bullying prevention programs. The CDC defines bullying as a form of youth violence and an adverse childhood experience (ACE).<sup>xxiii</sup> Types of bullying include physical, verbal, social bullying, and cyberbullying, bullying through the use of technology. This form of violence is preventable, and prevention efforts are beneficial for the entire school community as well as for reducing the incidences of bullying. the incidences of bullying.

- “Research shows that both students and educators benefit from bullying prevention efforts.”
- “Results from a comprehensive and systematic review of research on the effectiveness of school-based programs to reduce bullying who that they effectively reduce bullying by 20 to 23 percent and victimization by 17 to 20 percent.”<sup>xxiv</sup> <https://www.stopbullying.gov/resources/research-resources/mtss-prevention-approaches-and-effective-intervention>

Addressing bullying through creating a school-wide bullying prevention strategy and implementing bullying prevention curriculum are effective components for creating a safe school and environment and preventing the experience of trauma in a school community. <https://www.nctsn.org/what-is-child-trauma/trauma-types/bullying/effects>

While universal prevention strategies are critical, it is inevitable that individuals and communities will experience trauma and that there will be a need for intervention strategies that provide the support needed to reduce the impact of the traumatic event. These strategies include training teams in trauma-informed response skills, providing specific support following a traumatic event, and implementing training and strategies that protect responders from vicarious trauma.

The K-12 education system is an ideal setting to recognize and address the range of experiences that may be trauma-inducing for children, youth, and their families. Prevention services are most effective when delivered to children in normative settings, including schools (vs clinic).<sup>xxv</sup> This funding is intended to build on the strengths of providing prevention and intervention strategies in schools by providing funding for schools to implement one or more prevention and intervention strategies in an individual school or throughout the school district. Schools may choose from a menu of evidence-based or evidence-informed programs that meet their identified need.

## **B. Target Population/Eligibility Criteria**

The target population is children enrolled in Pre-K-12 Public School districts and school staff throughout New York State. (Charter schools are not eligible).

### C. Key Events/Timeline

Activity	Date
Release RFA	12/8/22
Questions due	1/4/23
Q&A Posted	1/25/23
Application Submission Deadline –1:00 PM EST	2/9/23
Anticipated Notification of Awards	3/8/23
Anticipated earliest contract start date	7/1/23

### D. Eligible Applicants

Eligible applicants are New York State P-12 Public School districts. (Charter schools are not eligible). In NYC, Geographic School Districts may apply. Each eligible school district may submit only one application. In NYC, each eligible Geographic School District may submit only one application. The applicant can address a single school site or multiple school sites within a school district. Schools that received funding from the Student Mental Health Support Grant to School Districts **are not** eligible to receive funding for this initiative.

### E. Program Requirements

As noted in the introduction, the purpose of these funds is to support schools in the implementation of programs that mitigate the impact of trauma.

As part of this funding, each applicant will be required to attest to complying with each of the following requirements. The Attestation process will be facilitated/completed in Grants Gateway through the completion and upload of Mitigating Trauma in Schools RFA Applicant Information Form found in the Upload Properties section. If you are unable to attest to any component of the program requirements, please note that your application will be automatically disqualified.

#### 1. School Mental Health Assessment

Applicants must have already completed or commit to completing the [School Health Assessment and Performance Evaluation \(SHAPE\)](#) System assessment tool within 6 months of the award OR attest that they have already completed this tool OR commit to completing an assessment using another tool\* within 6 months of the award. If this assessment is not completed within 6 months, the award may be rescinded.

**SHAPE Assessment Tool** is a free web-based platform developed by the [National Center for School Mental Health \(NCSMH\)](#) that offers schools, districts, and states/territories targeted resources to support school mental health quality improvement to increase the quality and sustainability of comprehensive school mental health systems. Applicants will be required to complete the following

assessments in SHAPE:

- i. *School Mental Health Profile*: The School/District Mental Health Profile collects information and provides a snapshot of the services, data systems, and staffing supports already at play in your school/district.
- ii. *School Mental Health Quality Assessment*: The School Mental Health Quality Assessment will help your team assess the quality of your school mental health system based on seven domains and associated best practices.
- iii. *Trauma Responsive Schools Implementation Assessment*: The Trauma Responsive Schools Implementation Assessment (TRS-IA) is an evidence-informed quality improvement tool. The self-assessment comprises eight key domains and takes less than 20 minutes to complete.

\*Another tool that may be used is JED <https://jedfoundation.org/High School>, a program through which the JED Foundation partners with high schools to provide support and guidance to implement strategies that improve student's mental health, including an evaluation of a specific school's or district's strengths and students' mental health needs. This tool may have a cost associated with its use.

## 2. Program Selection

Applicants must select a program(s) from the menu below and commit to beginning implementation in the 2023-2024 school year. This funding may only be used to implement a program that is **not** already in place. Applicants may choose more than one program from the menu as long as their total budget does not exceed \$100,000.

### **Menu of Program Options:**

The following are brief outlines of each program a school district may choose for this funding opportunity. **For complete information and cost specific to this RFA, please see the "Program Snapshot" provided as a reference document in the pre-submission uploads of the Grants Gateway.** The information in that document was provided by each program and includes cost information and additional website links. The snapshots include which components of the program are required and must be purchased and implemented and which components are optional. Applicants should read the snapshots and research the programs thoroughly to determine which program is the best fit for their school(s) or district. For this funding opportunity, Applicants may not select a program they have already started to implement.

#### ***Dynamic Mindfulness***

##### **Program Focus: Mindfulness**

Dynamic Mindfulness (DMind) integrates mindful movement for managing stress held in our bodies, breath regulation techniques for emotion regulation, and centering practices for focused attention and engagement. The program transforms school culture and classroom climate. It has been shown to improve academic performance and social-emotional learning (SEL), increase attendance, and reduce suspensions while enhancing staff well-being and

preventing teacher burnout. **For complete information and costs, see Pages 1-3, Program Snapshot.**

### ***Mindful Schools***

#### **Program Focus: Mindfulness**

Mindful Schools partners with school leaders to engage interest amongst staff to embark on school- and district-wide implementation of mindfulness practices through courses that teach the development of personal mindfulness practices and provide training and curricula for how to teach mindfulness to K-12 youth, as well as workshops, retreats, professional development sessions, and coaching and consulting on best practices for school-wide implementation. **For complete information and costs, see Pages 4-6, Program Snapshot.**

### ***MindUP***

#### **Program Focus: Mindfulness**

MindUP for Schools is an evidence-based program that is grounded in neuroscience, mindful awareness, positive psychology, and social-emotional learning. It has been shown to increase pro-social actions, decrease aggressive behaviors, and improve academic achievement, especially in math and language arts. **For complete information and costs, see Pages 7-8, Program Snapshot.**

### ***Olweus Bullying Prevention***

#### **Program Focus: Bullying Prevention**

The Olweus Bullying Prevention Program (OBPP) (pronounced OI-VAY-us) is designed and evaluated for use in elementary, middle, junior high, and high schools (K-12). The program's goals are to reduce and prevent bullying problems among school children and to improve peer relations at school. The program has been found to reduce bullying among students, improve the social climate of classrooms, and reduce related antisocial behaviors, such as vandalism and truancy. **For complete information and costs, see Pages 9-11, Program Snapshot.**

### ***Second Step (with Bullying Prevention Unit)***

#### **Program Focus: Bullying Prevention**

Second Step® programs, developed by Committee for Children, gives teachers an easy-to-implement, engaging way to teach social-emotional skills and concepts. Second Step programs are designed to help children thrive and be more successful in school, ultimately setting them up to be thoughtful and productive adults. **For complete information and costs, see Pages 12-14, Program Snapshot.**

### ***Trauma Illness Grief (TIG)***

#### **Program Focus: Trauma-responsive prevention, intervention, and recovery**

TIG is a comprehensive training and crisis response network for K-12 education and beyond. The innovative TIG program model trains networks of school-based professionals to meet the holistic needs of students and equips them with evidence-based crisis response skills, resources, and ongoing technical support to help students cope with trauma, violence, illness, death,



and grief in the school setting. **For complete information and costs, see Pages 15-16, Program Snapshot.**

3. Participation in Quarterly Meetings

Applicants must commit to participating in OMH-led quarterly meetings throughout the 2023-2024 school year. The purpose of these meetings will be to review progress, provide technical assistance, and support networking during implementation. The specific format and scheduling of the meetings will be determined after awards are made.

4. Participation in the NYS Trauma-Informed Network

Applicants must commit to joining the NYS Trauma-Informed Network (NYS TIN) and indicate who will be the point person for the school district.

The [New York State Trauma-Informed Network](#) connects advocates of trauma-responsive practices and systems. It provides a formal mechanism to convene all who are interested in and/or engaged in trauma-informed practices. It fosters collaboration, creates networking opportunities, serves as a clearinghouse for resources and training, and provides technical assistance to organizations and communities implementing trauma-informed practices.

Network Features include:

- Trauma-Informed Directory and Resource Library
- Quarterly Networking Meetings
- Development and delivery of the curriculum, Trauma Responsive and Resilience Informed Care
- Statewide Calendar of TIC Events
- Ongoing technical support for the use of the TRUST and TRUST-S, organizational self-assessment tools
- Discussion forums to support connection and collaboration across NYS by affinity and interest groups
- Electronic newsletter sent monthly to all who have registered with the network
- Marketing platform for mass emails

5. Equity, Diversity, and Inclusion

In alignment with OMH's commitment to promoting inclusion, diversity and equity, each program option has included information about how their program incorporates equity and diversity in the **Program Snapshots** (please see the document "**Program Snapshots**" provided as a reference document in the pre-submission uploads of grants gateway). Applicants should attest that they have:

- Thoroughly reviewed this information to ensure alignment with their school district's own diversity and equity policy prior to selecting the program
- A commitment to working to ensure that the program is delivered in a way that is equitable, understandable, and respectful to the diverse cultural beliefs, practices, and communication needs of the individuals being served. (CLAS)

## 6. Data and Reporting

Each awardee will be required to provide information showing their progress on implementation of the selected program. This reporting will include the following:

- a. Quarterly:
  - i. 1<sup>st</sup> Quarter (July 1- September 30, 2023): Report is due by October 30, 2023 and must include that the school district has met with staff from the selected program and developed an implementation plan. Applicants must confirm that they have contacted the selected program(s) and that the program has provided a **letter of commitment** to provide the training or curriculum to the school district in its full fidelity. The school district will be required to provide a copy of the letter of commitment to OMH.
  - ii. 2<sup>nd</sup> Quarter (October 1- December 31, 2023): Report is due by January 31, 2024. The school district must provide a brief summary of progress towards implementation of the program and show that SHAPE assessments (or other assessment tool) have been completed.
  - iii. 3<sup>rd</sup> Quarter (January 1- March 31, 2024): Report is due by April 30, 2024. The school district must provide a brief summary of progress towards implementation of the program.
- b. Final Report  
School districts must provide a project narrative summarizing the grant progress and expenditures throughout the project. The plan must include each selected program if implementing more than one. The final report will be due by August 31, 2024.

## 7. Operating Funding

Up to 61 awards will be distributed through the two regions as described in Section I, with total funding of up to \$100,000 over one year. Applicants must complete the budget that is included in the Applicant Information and Attestation Form. The budget must not exceed \$100,000. The use of additional funds outside of the grant is allowed but should not be included in the proposed budget.

Funding may be used for:

- a. Purchase of the selected program curriculum and educational materials. This includes the required components and additional optional components. For each selected program(s), ensure that all required components are included in the budget. Then review any optional components to be added. Optional components may only be added when all the required components are implemented.
- b. Costs associated with substitute teacher/staff coverage to allow teachers to participate in training (# of staff x number of days x substitute cost)
- c. Marketing materials (This can include posters, pamphlets, etc., for staff or families)
- d. Other costs associated with implementing the program

- e. Food to support activities such as workshops, trainings or supportive groups for parents and students. (This does not include food that a school district is required to provide i.e., breakfast and lunch.)
- f. Printing/copying materials

## **G. Method for Evaluating Applications**

Designated staff will review each application for completeness and verify that all eligibility criteria are met. The Attestation process will be facilitated/completed in Grants Gateway through the completion and upload of Mitigating Trauma in Schools RFA Applicant Information Form found in the Upload Properties section. If an application is not complete or does not meet the basic eligibility and participation standards as outlined in Section D, it will be disqualified..

If the application fails to meet the required elements as described, it will be eliminated from further review.

## **H. Disqualification Factors**

Designated staff will review each application for completeness and verify that all eligibility criteria are met. If an application is not complete or does not meet the basic eligibility standards, it will be eliminated from further review.

Additionally, during the application evaluation process, evaluators will review eligibility criteria and confirm they have been met. During the course of either of these review processes, applications that do not meet basic participation standards will be disqualified, specifically:

- Applications that do not meet the eligible applicant criteria as outlined in Section D.
- Applications that do not provide a completed Applicant Information Form.

## **I. Process for Awarding Contracts Initial Awards and Allocations**

OMH will make up to 61 awards: completed applications meeting all required eligibility components as described in Section H will be awarded (described below) and distributed as follows:

Each region, as described in Table 2, will begin with the designated number of available awards.

Awards for each region will also be awarded on a first- come, first-serve basis until the award allotment is fulfilled.

Table 1. Distribution of Awards per Region

<b>Region*</b>	<b>Number of Awards</b>
<b>1 New York City</b>	<b>25</b>
<b>2 Rest of State</b>	<b>36</b>

If there are not 25 qualified applicants in the New York City region, the awards will be distributed to any remaining qualified Rest of State applicants. If there are not 36 applicants in the Rest of State, the awards will be distributed to the remaining qualified New York City region applicants.

Each Applicant must complete the Applicant Information Form(available in the Pre-submissions Upload page in Grants Gateway)

Applications will be submitted by 1:00 pm on 2/9/23 and time stamped. Distribution of awards will continue as described until all available funds are utilized.

**SECTION 2. Administrative Information**

**A. Designated Contact/Issuing Officer**

OMH has assigned an Issuing Officer for this project. The Issuing Officer or designee shall be the sole point of contact regarding the RFA from the date of issuance of this RFA until the issuance of the Notice of Conditional Award. To avoid being deemed non-responsive, an applicant is restricted from making contact with any other personnel of OMH regarding this RFA. Certain findings of non-responsibility can result in rejection for a contract award. The Issuing Officer for this RFA is:

Carol Swiderski  
 Contract Management Specialist 2 New York State Office of Mental Health  
 Contracts and Claims  
 44 Holland Avenue, 7<sup>th</sup> Floor Albany, NY 12229

[carol.swiderski@omh.ny.gov](mailto:carol.swiderski@omh.ny.gov)

**B. RFA Questions and Clarifications**

All questions or requests for clarifications concerning the RFA shall be submitted in writing to the Issuing Officer by email to [carol.swiderski@omh.ny.gov](mailto:carol.swiderski@omh.ny.gov) by 4:00 PM EST on the “Questions Due” date indicated in Section 1C and will be limited to addressing only those questions submitted by the deadline. No questions can be submitted or will be answered after this date. No questions will be answered by telephone or in person.

**Please put “Mitigating Impact of Trauma in Schools RFA” in the Subject Line.**

The questions and official answers will be posted on the OMH website by 1/25/23

### **C. Addenda to Requests for Application**

In the event it becomes necessary to revise any part of the RFA during the application submission period, an addendum will be posted on the OMH website, the Grants Gateway and the NYS Contract Reporter.

It is the applicant's responsibility to periodically review the OMH website, the NYS Contract Reporter and Grants Gateway to learn of revisions or addendums to this RFA. No other notification will be given.

### **D. Instructions for Bid Submission and Required Format**

All applicants must be registered with the New York State Grants Gateway System.

If you are not already registered:

Registration forms are available at the GGS Website –

<https://grantsmanagement.ny.gov/register-your-organization>

Include your SFS Vendor ID on the form; if you are a new vendor and do not have an SFS Vendor ID, include a Substitute for W-9 (with your signed, notarized registration (also available from website).

All registrations must include an Organization Chart in order to be processed. When you receive your login information, log in and change your password.

If you are an applicant, and have problems complying with this provision, please contact the GGS Help Desk via email – [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov) – OR – by telephone: 518- 474-5595.

#### *How to Submit an Application*

Applications must be submitted online via the Grants Gateway by the date and time posted in Section 1C. Tutorials (training videos) for use of the Grants Gateway (and upon user log in).

**You must use Microsoft Edge to access the Grants Gateway. Using Chrome or Firefox causes errors in the Work Plan section of the application.**

To apply, log into the Grants Gateway as a Grantee, Grantee Contract Signatory or Grantee System Administrator and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name provided on the cover page of this RFA, select the Office of Mental Health as the Funding Agency and hit the Search button. Click on the name of the Grant Opportunity from the search results grid and then click on the APPLY FOR GRANT OPPORTUNITY button located at the bottom left of the Main page of the Grant Opportunity.

In order to access the online application and other required documents such as the attachments, you MUST be registered and logged into the NYS Grants Gateway system in the user role of either a "Grantee: or a "Grantee Contract Signatory" or a

“Grantee System Administrator”.

The ‘Grantee’ role may ONLY Initiate and Save changes to the application such as add/update information to forms, upload documents while the user logged in as ‘GranteeContract Signatory’ or a ‘Grantee System Administrator’ role can perform all the tasks of Grantee role and in addition, can SUBMIT the application to the State. When the application is ready for submission, click the ‘Status Changes’ tab, then click the ‘Apply Status’ button under “APPLICATION SUBMITTED” before the due date and time.

For further information on how to apply, and other information, please refer to the Vendor User Manual document.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grantee Documents section on Grants Management website.

Late applications will not be accepted. Applications will not be accepted via fax, email, hard copy or hand delivery.

Helpful Links:

Grants Reform Videos:

<http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>

Grants Team Email (Application Completion, Policy and Registration Questions): [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov) or by phone at 5198-474-5595

*Instructions for Completing the Workplan and Objectives in NYS Grants Gateway*

The Workplan Overview Form will be used to create the Work Plan portion of the contract. Some of the information requested will be duplicative of information provided earlier in the application. Be sure to follow the guidance provided below.

The Work Plan Period should reflect the anticipated contract period. Contracts will be approved for a five-year term.

The Project Summary section should include a high-level overview of the project as instructed.

The Organizational Capacity section should include the information requested regarding staffing and relevant experience of staff and any applicable consultants to be involved in undertaking the proposed project.

The Objectives and Tasks section should identify grantee-defined objectives and tasks that are relevant to the completion of the proposed project. To get started, add your first Objective Name and Description and then click the [SAVE] button at the top of the page. After hitting Save, a field for the Task Name and Task Description will show under the Objective box. Complete both fields and hit the [SAVE] button at the top of

the page.

After entering the Task information and clicking Save, you will now see a box for the Performance Measure information and a box to enter a second Task. Enter a Performance Measure Name and select the Performance Measure Data Capture Type from the dropdown box. The type you choose from the dropdown will show on the screen for you to complete. Once you've entered the name, data capture type and the text/integer/or date as applicable, click the [SAVE] button at the top of the page.

For Performance Measure Name restate the Objective then enter the narrative requested in the box below. Performance Measures are grantee-defined.

Once entered, click Save. You may continue to add Objectives, Tasks and Performance Measures up to and including the max amount allowed by the state.

The online Workplan is essentially an outline/summary of the work associated with the Project(s) described in the sections above. Please note that if an application is selected for award, the Workplan will be subject to change and can be updated during the contract development/negotiation process.

Applicants should refer to Section 5.2.4 Grantee Defined Workplan of the 'Grantee User Guide' ([Click here for Grants Gateway: Vendor User Guide](#)) for detailed instructions on how to complete the Workplan.

## **E. Reserved Rights**

OMH reserves the right to:

- Reject any or all applications received in response to the RFA that are deemed non-responsive or do not meet the minimum requirements or are determined to be otherwise unacceptable, in the agency's sole discretion;
- Withdraw the RFA at any time, at the agency's sole discretion;
- Make an award under the RFA in whole or in part;
- Disqualify an applicant whose conduct and/or application fails to conform to the requirements of this RFA
- Seek clarifications and revisions of applications for the purposes of assuring a full understanding of the responsiveness to this solicitation's requirements;
- Use application information obtained through the state's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA;
- Prior to the bid opening, direct applicants to submit application modifications addressing subsequent RFA amendments;
- Prior to the bid opening, amend the RFA specifications to correct errors or

- oversight, supply additional information, or extend any of the scheduled dates or requirements and provide notification to potential bidders via the OMH website, Grants Gateway and the New York State Contract Reporter;
- Eliminate any non-material specifications that cannot be complied with by all of the prospective applicants;
  - Waive any requirements that are not material;
  - Negotiate any aspect of the application with the successful applicant in order to ensure that the final agreement meets OMH objectives and is in the best interests of the State;
  - Conduct contract negotiations with the next responsible applicant, should the agency be unsuccessful in negotiating with the selected applicant;
  - Require clarification at any time during the procurement process and/or require correction of 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; and,
  - Cancel or modify contracts due to insufficiency of appropriations, cause, convenience, mutual consent, non-responsibility, or a "force majeure"
  - Changes any of the dates indicated in the Timeline

## **F. Debriefing**

OMH will issue award and non-award notifications to all applicants. Non-awarded applicants may request a debriefing in writing requesting feedback on their own application, within 15 business days of the OMH dated letter. OMH will not offer debriefing to providers who receive an award. OMH will not offer ranking, statistical or cost information of other applications until after the NYS Office of the State Comptroller has approved all awards under this RFA. Written debriefing requests may be sent to the Designated Contact/Issuing Officer as defined in Section 2.A.

## **G. Protests Related to the Solicitation Process**

Protests based on errors or omissions in the solicitation process, which are or should have been apparent prior to the deadline for receipt of all written questions for this RFA, must be filed prior to the deadline of questions. In the event an applicant files a timely protest based on error or omission in the solicitation process, the Commissioner of OMH or their designee will review such protest and may, as appropriate, issue a written response or addendum to the RFA to be posted on the OMH website in the RFA/RFP section. Protests of an award decision must be filed within fifteen (15) business days after the notice of conditional award or five (5) business days from the date of the debriefing. The Commissioner or their designee will review the matter and issue a written decision within twenty (20) business days of receipt of protest.

All protests must be in writing and must clearly and fully state the legal and factual



grounds for the protest and include all relevant documentation. The written documentation should clearly state reference to the RFA title and due date. Such protests must be submitted to:

New York State Office of Mental Health Commissioner  
Ann Marie T. Sullivan, M.D.  
44 Holland Avenue  
Albany, NY 12229

#### **H. Minority and Women Owned Business Enterprises**

OMH recognizes its obligation to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBEs) and the employment of minority group members and women in the performance of OMH contracts. In accordance with New York State Executive Law Article 15-A, OMH expects that all contactors make a good-faith effort to utilize Minority and/or Women Owned Business Enterprises (M/WBE) on any award resulting from this solicitation in excess of \$25,000 for commodities and services or \$100,000 for construction.

With respect to MWBEs, each award recipient must document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project to be described in each grant disbursement agreement and must agree that OMH may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at <https://ny.newnycontracts.com>. For guidance on how OMH will determine a contractor's "good faith efforts", refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR § 142.13, each award recipient acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth herein and in its grant disbursement agreements, such finding constitutes a breach of contract and OMH may withhold payment from the award recipient as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the award recipient achieved the contractual MWBE goals; and (2) all sums paid to MWBEs for work performed or material supplied under the grant disbursement agreement.

By applying, an Applicant agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof in such form as OMH shall require. Additionally, an Applicant may be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan, which shall be submitted in conjunction with the execution of the grant disbursement agreement

except as otherwise authorized by OMH. Any modifications or changes to the MWBE Utilization Plan after the execution of the grant disbursement agreement must be reported on a revised MWBE Utilization Plan and submitted to OMH.

OMH will review the submitted MWBE Utilization Plan and advise the award recipient of OMH acceptance or issue a notice of deficiency within 30 days of receipt.

B. If a notice of deficiency is issued, the award recipient will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OMH, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OMH to be inadequate, OMH shall notify the award recipient and direct the award recipient to submit within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or application.

OMH may refuse to enter into a grant disbursement agreement, or terminate an existing grant disbursement agreement resulting from this solicitation, under the following circumstances:

- a. If an award recipient fails to submit a MWBE Utilization Plan;
- b. If an award recipient fails to submit a written remedy to a notice of deficiency;
- c. If an award recipient fails to submit a request for waiver; or,
- d. If OMH determines that the award recipient has failed to document good faith efforts

The award recipient will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the project. Requests for a partial or total waiver of established goal requirements may be made at any time during the term of the project but must be made no later than prior to the submission of a request for final payment under the grant disbursement agreement.

Each award recipient will be required to submit a Quarterly MWBE Contractor Compliance & Payment Report to OMH over the term of the project, in such form and at such time as OMH shall require, documenting the progress made toward achievement of the MWBE goals established for the project.

### **I. 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 Business (SDVOB), thereby further integrating such businesses into New York State's economy. OMH 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 OMH 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, applicants are expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as proteges, or in other partnering or supporting roles.

OMH hereby establishes an overall goal of 0% for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Applicant/Contractor would reference the directory of New York State Certified SDVOBs found at <https://ogs.ny.gov/Veterans>. Additionally, following any resulting Contract execution, Contractor would be encouraged to contact the Office of General Services' Division of Service-Disabled Veterans' Business Development to discuss additional methods of maximizing participation by SDVOBs on the Contract.

It would be required that "good faith efforts" to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of a resulting awarded Contract as documented.

#### **J. Sexual Harassment Prevention Certification**

State Finance Law Section 139-I requires applicants on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees. Bids that do not contain the certification may not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a statement with their bid detailing the reasons why the certification cannot be made. A template certification document is being provided as part of this RFA. Applicants must complete and return the certification with their application or provide a statement detailing why the certification cannot be made.

#### **K. NYS and OMH Policies**

The applicant/contractor must agree to comply with all applicable New York State and OMH policies, procedures, regulations and directives throughout the term of the contract.

#### **L. Contract Term**

The contracts awarded in response to this RFA will be for a five-year term. Selected applicants awarded a contract under this RFA will be required to adhere to all terms and conditions in OMH's Master Grant Contract.

#### **M. Contract Termination and Reassignment**

There are a number of factors that may result in the contract being terminated and/or reassigned. This includes, but is not limited to, failure to meet to maintain eligibility requirements throughout the contract period; failure to maintain staffing and/or program model; failure to meet and maintain program components; failure to meet

required reporting requirements; failure to meet fidelity requirements within three years from implementation. A contractor will be provided notification if there is need for reassignment.

To reassign the contract, OMH will go to the next highest ranked application for that county. If there are no agencies left with a passing score, OMH will go to the top of the list and work its way down the list to reassign the contract.

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