



**New York State Office of Mental Health**

**Request for Proposal (RFP)  
Technical Assistance Center for  
Children's Behavioral Health Providers**

**January 23, 2019**

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# **Technical Assistance Center for Children's Behavioral Health Providers Request for Proposal (RFP)**

## **I. Introduction and Background**

The continuum of children's behavioral health services in New York State (NYS) is rapidly evolving and expanding to serve the diverse needs of children and their families/caregivers. The entire array of services licensed, funded, or overseen by the NYS Office of Mental Health (OMH) is in a state of change. Services and programs such as peer support, clinic, day treatment, residential, and home and community-based services and supports are transforming keeping pace with broader healthcare system reforms.

In this current environment, it is imperative that providers be positioned to adapt to rapidly shifting care delivery models and payment structures while preserving and growing a skilled and knowledgeable behavioral health workforce. OMH is committed to supporting providers in these efforts.

### **I.1 Purpose of the Request for Proposal**

The field of healthcare is changing rapidly in an effort to achieve the over-arching goals of efficiency, effectiveness and quality outcomes. To assist children's behavioral healthcare providers in being able to evolve and acclimate to the ever-changing healthcare field, the NYS OMH is issuing this Request for Proposal (RFP) to invite eligible applicants to submit proposals for a dedicated training and technical assistance center. The Center would focus on assisting New York State's children's behavioral health providers working across the service continuum of care to enhance the quality of services within strong organizational and business models.

The awardee will be responsible for developing and implementing training in each of the identified topic areas as well as providing targeted technical assistance to New York State's children's behavioral health providers with the goal of:

- Enhancing the quality of care for children and youth and their families/caregivers by:
  - advancing the competencies and skills of the children's behavioral health workforce and,
  - supporting a provider's ability to adequately supervise and retain this skilled workforce.
- Fortifying children's behavioral health providers' organizational and fiscal structures to enable their economic stability,
- Expanding, recruiting and retaining a qualified Family and Youth Peer workforce that will be well equipped to support youth and families receiving children's behavioral health services.

Anticipated outcomes will result in a:

- Robust children’s behavioral health network of providers with a skilled workforce,
- Children’s behavioral health system that will be fiscally stable and sustainable,
- High quality peer workforce that can serve the diverse and unique behavioral health needs of children and their families/caregivers.

**1.2 Award and Funding Methodology** One award of up to \$2,700,000 will be made annually for five years to the bidder with the highest score.

**1.3 Availability of the RFP**

The RFP will be available on the [OMH website](#) and advertised through the NYS Contract Reporter.

**1.4 Right to Modify RFP**

OMH reserves the right to modify any part of this RFP, including but not limited to the date and time by which proposals must be submitted and received by OMH, at any time prior to the deadline for submission of proposals. Modification to this RFP shall be made by issuance of amendments and/or addenda.

Prior to the deadline for submissions of proposals, any such clarifications or modifications as deemed necessary by OMH will be posted on the OMH website and NYS Contract Reporter.

**II. Proposal Submission Requirements**

**2.1 Restricted Period/Designated Contact**

OMH has issued Guidelines pursuant to the New York State Finance Law Sections 139-j and 139-k, which prohibit lobbying on procurement contracts (See Section 3.8). The law provides that, during the Restricted Period of an agency procurement for goods or services, vendors (or Offerors) may only contact the agency’s designated contact person(s), and all contacts, whether permissible or impermissible, shall be recorded:

Restricted period means the period of time commencing with the earliest written notice, advertisement, or solicitation of a Request for Proposal (RFP), Invitation for Bids (IFB), or solicitation of proposals, or any other method for soliciting a response from Applicants intending to result in a procurement contract with OMH and ending with the final contract award and approval by OMH and, where applicable, final contract approval by the Office of the State Comptroller (OSC).

This prohibition applies to any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence the procurement. Violation of any of the requirements described in this Section may be grounds for

a determination that the applicant is non-responsible and therefore ineligible for this contract award. Two violations within four years of the rules against permissible contacts during the “restricted period” may result in the violator being debarred from participating in OMH procurements for a period of four years.

The Office of Mental Health has identified a designated contact to whom all communications regarding this procurement must be made during the restricted period.

The Designated Contact and Issuing Officer for this RFP is:

Carol Swiderski  
New York State Office of Mental Health  
Contracts and Claims Unit, 7th Floor  
44 Holland Avenue  
Albany, NY 12229  
[Carol.Swiderski@omh.ny.gov](mailto:Carol.Swiderski@omh.ny.gov)

## 2.2 Key Events/Time Line

<b>Event</b>	<b>Date</b>
RFP Release	Wednesday, 1/23/19
Deadline for Submission of Questions	Wednesday, 2/13/19
Questions and Answers Posted on OMH Website	Wednesday, 2/27/19
Proposals Due – by 3:00 PM	Wednesday, 3/20/19
Notice of Conditional Award*	Monday, 4/8/19
Contract Start Date *	July 1, 2019

\*estimated dates

## 2.3 RFP Questions and Clarifications

All questions or requests for clarification concerning the RFP shall be submitted in writing by email to the Designated Contact, [Carol.Swiderski@omh.ny.gov](mailto:Carol.Swiderski@omh.ny.gov).

The questions received by the February 13, 2019 deadline will be posted with answers on the OMH website by 4:00 PM on February 27, 2019 and will be limited to addressing only those questions submitted by the deadline. No questions will be answered by telephone or in person.

## **2.4 Addenda to Request for Applications**

In the event that it becomes necessary to revise any part of the RFP during the application submission period, an addendum will be posted on the OMH website and included in the NYS Contract Reporter. It is the applicant's responsibility to periodically review the OMH website and the NYS Contract Reporter to learn of revisions or addendums to this RFP. No other notification will be given.

## **2.5 Eligible Applicants**

Eligible applicants must be located and do business in New York State and have the capacity to provide trainings on a statewide basis.

Eligible applicants must also have:

- Experience and proficiency in conducting statewide training and providing technical assistance through in person and remote means, using the necessary technology to reach a wide breath of audiences and stakeholders,
- An established learning management system to promote, conduct and track provided education and training sessions, along with those registered and participating,
- An understanding in the field of healthcare in NYS, as well as children's behavioral health system of care.

Eligible applicants may subcontract with content experts for specific deliverables. Content experts must be:

- Statewide family and/or youth-run peer support organizations, with experience in serving and supporting the field of peer support workers. **or**
- Not-for-profit providers who are licensed, designated, authorized or funded by the OMH for the provision of children's behavioral healthcare services, **or**
- Children's behavioral health advocacy and/or member agencies, located and doing business in New York State, who have knowledge and expertise of the children's behavioral health system of care, **or**
- Academic experts in the areas of children's mental health treatment, services and evidence-based interventions, who are located and doing business in New York State.

## **2.6 Disqualification Factors**

Following receipt of a proposal, a preliminary review will be conducted by the Issuing Officer or a designee to assess completeness and verify that all eligibility criteria have been met.

Applications that do not meet minimum and mandatory eligibility requirements will be disqualified, specifically:

- Proposals from applicants that do not meet the eligibility criteria as outlined in Section II, 2.5;
- Proposals that do not comply with bid submission and/or required format instructions as specified in Section II, 2.7;

## 2.7 Instructions for Application Submission and Required Format

Each proposal is required to contain:

- Agency Transmittal Form (Attachment A)
- Proposal Narrative
- Operating Budget: for each year of contract (Appendix B)
- Budget Narrative for each year of contract (Appendix B-1)
- Entire submission on agency identified flash drive as one continuous Word or PDF document, as well as one hard copy.

The Proposal Narrative must respond to the criteria in the sequence as outlined in Section 5. and should be concise (no more than 20 pages, not including attachments), one-sided 12-point font. Please number pages “1 of 20”, “2 of 20” etc. The Operating Budget and Budget Narrative (Appendix B and B1) are separate documentations that appear in the RFP section of the OMH website and can be downloaded in PDF format. Applicants must NOT substitute their own budget format. **Failure to use the provided Operating Budget and Budget Narrative formats will result in disqualification for non-responsiveness.**

Applicants must submit one complete, signed hard copy of the full proposal package and one (1) flash drive with your agency’s name on it containing the proposal as **one document** (Word or PDF format) by mail, delivery service, or hand delivery to be received by 3:00 PM EDT on Wednesday, March 20, 2019 each package must include the required proposal components cited above.

Applicants mailing proposals should allow a sufficient mail delivery period to ensure timely arrival of their proposals. Proposals cannot be submitted via email or fax. All proposals received after the due date and time cannot be accepted and will be returned unopened.

## 2.8 Packaging of RFP Responses

See Section II, 2.7 for detailed requirements. Proposals should be sealed in an envelope or boxed and sent to:

Carol Swiderski  
New York State Office of Mental Health  
Contracts and Claims Unit, 7th Floor  
44 Holland Avenue  
Albany, NY 12229

**Attn: Technical Assistance Center for Children’s Behavioral Health Providers**

## **2.9 Mandatory Qualification Submission Requirements – Other Documents**

The submission of a bid/proposal and proof of meeting minimum qualifications constitutes a binding offer to perform said services. Such binding offer shall be firm and not revocable for a period of 120 days after the deadline for bid/proposal submission and will continue thereafter until the Successful Offeror notifies OMH otherwise, in writing. Such deadline may be extended further by mutual agreement.

OMH reserves the right to disqualify any bid that does not include the required documents as outlined in the list below.

A) Documentation must be submitted by applicants on or before the bid due date, Place the completed Bid Submission Checklist as the first page of the bid package, with the following documents, in order, to follow:

- i. Attachment A – Transmittal Form
- ii. Attachment B - Non-Collusive Bidding Certificate: Complete and return with bid. Required by Section 139-D of the State Finance Law
- iii. Attachment C - Vendor Responsibility Questionnaire (VRQ) and Vendor Registration Number Information: Include either hard copy VRQ or online certification. For any entity not already registered to do business with New York State entities, access the link in Attachment C for the Substitute W-9. Complete the online form electronically, download the completed form, and sign in the designated area. Return the completed W-9 with the other bid documents to the designated individual at the OMH facility. All vendors are required to have a vendor registration number to do business with New York State.
- iv.. Attachments J1 and J2: Complete Offeror's Affirmation of Understanding (J1), and OMH Offeror Disclosure of Prior Non-Responsibility Determinations/Attachment (J2).
- v. Appendix A-1(a) – MWBE/EEO Policy Statement: Complete per the instructions
- vii. Attachment D - EEO Employment Opportunity Policy Statement: Complete and return with bid.
- viii. Attachment E - EEO Employment Opportunity Staffing Plan: Complete and return with bid.
- ix. Attachment G – Sexual Harassment Prevention Certification: Complete Certification form or provide attestation of inability to comply and return with bid.
- x. Attachment F - MacBride Fair Employment Principles: Complete and return with bid.

### **III. Administrative Information**

#### **3.1 Term of Contract**

The contract is for five years, dependent upon appropriation funding. The anticipated start date is July 1, 2019.

#### **3.2 Reserved Rights**

The Office of Mental Health reserves the right to:

- Reject any or all proposals received in response to the RFP that are deemed non-responsive, do not meet the minimum requirements or are determined to be otherwise unacceptable, in the agency's sole discretion;
- Withdraw the RFP at any time, at the agency's sole discretion;
- Make an award under the RFP in whole or in part;
- Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFP;
- Seek clarifications of proposals for the purposes of assuring a full understanding of the responsiveness to the solicitation requirements;
- Use proposal 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 RFP;
- Prior to the bid opening, direct applicants to submit proposal modifications addressing subsequent RFP amendments;
- Prior to bid opening, amend the RFP specifications to correct errors or oversight, supply additional information, or extend any of the scheduled dates or requirements and provide notification to potential applicants via the OMH website and the NYS Contract Reporter;
- Eliminate any non-material specifications that cannot be complied with by all of the prospective applicants;
- Change any of the scheduled dates;
- Waive any requirements that are not material;
- Negotiate any aspect of the proposal in order to assure that the final agreement meets OMH objectives;
- Conduct contract negotiations with the next responsible applicant, should the agency be unsuccessful in negotiating with the selected applicant within fifteen (15) business days from notification of selection for award. This is to include completion of all required documents and signature of the contract;
- 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 proposal and/or to determine compliance with the requirements of the solicitation;
- Conduct a readiness review of selected applicant(s) prior to the execution of the contract;
- Cancel or modify contracts due to the insufficient of appropriations; and,

- Use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract.

### **3.3 Debriefing Process**

The Office of Mental Health will issue award and non-award notifications to all bidders. Both awarded and non-awarded bidders may request a debriefing requesting feedback on their own proposal, regardless if it was selected for an award, or disqualified, within fifteen (15) business days of the OMH dated letter. OMH will not offer ranking, statistical or cost information of other proposals until after the NYS Office of the State Comptroller has approved all awards under this RFP. Written debriefing requests may be sent to the Designated Contact, as defined in Section 2.1 of this RFP.

### **3.4 Protests of Award Outcome**

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 RFP, must be filed prior to the deadline for questions. In the event that 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 RFP to be posted on the OMH Website in the 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:

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

### **3.5 Executive Order #38**

Pursuant to Executive Order #38 (<http://governor.ny.gov/executiveorder/38>), dated January 18, 2012, OMH promulgated regulations regarding limits on administrative costs and executive compensation paid by covered providers. See 14 NYCRR Part 513. Any contract awarded through this RFP will be subject to such restrictions and to related requirements. See OMH Master Contract Forms and Instructions, Attachment A-1, section A.12 (Mental Health Regulations). See also <http://executiveorder38.ny.gov/>.

### **3.6 Minority and Women Owned Business Enterprises and Service Disabled Veteran 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 hereby establishes a 16% goal for Minority-owned Business Enterprise (“MBE”) participation, a 14% goal for Women-owned Business Enterprise (“WBE”) participation, and a 6% goal for Service-Disabled Veteran-owned Business Enterprises (“SDVOB”) participation 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 agreement, 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 actually paid to MWBEs for work performed or materials supplied under the grant disbursement agreement.

By submitting an application 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 proposal.

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 a 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 M/WBE 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.

### **3.7 Participation Opportunities for New York State Certified Service-Disabled Veteran Owned Business**

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 (“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 6% 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://online.ogs.ny.gov/SDVOB/search> Additionally, following any resulting Contract execution, Contractor would be encouraged to contact the Office of General Services' Division of Service-Disabled Veterans' Business Development at 518-474-2015 or [VeteransDevelopment@ogs.ny.gov](mailto:VeteransDevelopment@ogs.ny.gov) 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 be documented.

### **3.8 Equal Employment Opportunity**

By submission of a bid or proposal in response to this solicitation, the Applicant/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for New York State Contracts. The Applicant 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 Applicant, 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.

The Applicant will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form # 4, to the State Contracting Agency with their bid or proposal. To ensure compliance with this Section, the Applicant will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan (Form # to be supplied during contracting process) identifying the anticipated work force to be utilized on the Contract. If awarded a Contract, Applicant shall submit, upon request, a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by the Contracting State Agency on a monthly or quarterly basis during the term of the contract. 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.

### **3.9 Conflict of Interest**

Each applicant must identify in writing any financial arrangements it has with all New York State government agencies. It must also identify any individuals who will be performing under the contract that are currently or have been employed by an OMH licensed provider of services or who were formerly employed by OMH (Note: current OMH employees are prohibited from providing services under this contract). If the applicant fails to provide this information, or if after review it is determined that a conflict of interest exists, the bid will be disqualified.

### **3.10 Procurement Lobbying**

OMH has issued Guidelines pursuant to the New York State Finance Law Sections 139-j and 139-k, which prohibit lobbying on procurement contracts. For purposes of the law, procurement contracts include most contracts/Purchase Orders with an estimated annual expenditure in excess of \$15,000 per year, as well as amendments and modifications to such contracts which were not contemplated by the original contract and represent a material change in the scope of the contract.

The law provides that, during the Restricted Period of an agency procurement for goods or services, vendors (or Offerors) may only contact the agency's designated contact person(s), and all contacts, whether permissible or impermissible, shall be recorded:

Violation of any of the requirements described in this Section may be grounds for a determination that the applicant is non-responsible and therefore ineligible for this contract award. Two violations within four years of the rules against permissible contacts during the "restricted period" may result in a violator being debarred from participating in OMH procurements for a period of four years.

- Must limit communications with OMH during the Restricted Period of each procurement to the OMH-designated point(s) of contact. Must affirm in writing vendor's understanding of, and, agreement to comply with the OMH Procurement Guidelines (Attachment J1).

- Must certify whether vendor has been found non-responsible within the previous four years by any Governmental Entity for failure to comply with State Finance Law 139-k or for the intentional provision of false or incomplete information regarding its procurement lobbying law compliance. (Attachment J2)
- Must designate a single point or points of contact for each procurement (See Section 2.1)
- Must require OMH staff to record all Contacts from Offerors during the Restricted Period of each procurement
  - A Contact is any communication with OMH under circumstances where a reasonable person would infer that the communication was intended to influence the procurement
- Must refer all impermissible Contacts for investigation by OMH
- Must make a responsibility determination with regard to State Finance Law Section 139-j and 139-k compliance prior to award of the contract
- Must include a provision in all procurement contracts which allows OMH to terminate the contract if the vendor's certification is found to be intentionally false or intentionally incomplete.

An electronic copy of the complete Procurement Lobbying Law Guidelines is located at:

<http://www.omh.ny.gov/omhweb/procurementguidelines/>

### **3.11 State Finance Law Consultant Disclosure Provisions**

In accordance with New York State Finance Law § 163(4)(g), State agencies must require all contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract.

The successful applicant for procurements involving consulting services must complete a "State Consultant Services Form A, Contractor's Planned Employment from Contract Start Date through End of Contract Term" in order to be eligible for a contract.

The successful winning applicant must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Office of Mental Health, the Office of the State Comptroller and Department of Civil Service.

State Consultant Services Form A: Contractor's Planned Employment and Form B: Contractor's Annual Employment Report may be accessed electronically at <http://www.osc.state.ny.gov/procurement>.

### 3.12 New York State Worker Compensation & Disability Benefits Insurance Requirements:

**Workers' Compensation Requirement:** Section 57 of the New York State Workers Compensation Law (WCL) requires that State and municipal entities prior to entering into a contract must ensure that the contractor applying for that contract has appropriate New York State Workers' Compensation Insurance coverage.

Therefore, as part of your bid submission you must provide one of the following forms to meet this requirement. **Failure to submit one of these forms may result in rejection of your bid.** All New York State Worker's Compensation Board forms can be accessed by going to:

<http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

- i. CE-200 Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage Is Not Required:

Form CE-200 can be filled out electronically on the New York State Workers Compensation Board's website, <http://www.wcb.ny.gov/> under the heading "Forms." Applicants filling electronically are able to print a finished Form CE-200 immediately upon, completion of the electronic application. Applicants without access to a computer may obtain a paper application for the CE-200 by writing or visiting the Customer Service Center at any District Office of the Workers Compensation Board. Applicants using the manual process may wait up to four (4) weeks before receiving a CE-200.

**OR**

- ii. C-105.2 Certificate of Workers' Compensation Insurance (the contractors insurance carrier provides this form) **PLEASE NOTE:** The New York State Insurance Fund provides its own version of this form, the U-26.3;

**OR**

- iii. SI-12 Certificate of Workers' Compensation Self-Insurance (To obtain this form the contractor needs to call the New York State Workers' Compensation Board, Self-Insurance Office at 518- 402-0247), **OR** GSI-105.2 – Certificate of Participation in

Workers' Compensation Group Self- Insurance (The Contractors Group Self-Insurer will provide this form).

### 3.13 Disability Benefit Insurance Requirement:

Section 220(8) of the New York State Workers' Compensation Law (WCL) requires that State and municipal entities prior to entering into a contract must ensure that the contractor applying for that contract has appropriate New York State disability benefits insurance.

All applicants as part of their bid submission must submit one of the following forms in order to meet this requirement. **Failure to provide one of these forms may result in your bid being disqualified.**

iv. CE-200 Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers Compensation And/or Disability Benefits Insurance Coverage Is Not Required:

Form CE-200 can be filled out electronically on the New York State Workers Compensation Board's website, <http://www.wcb.ny.gov/>, under the heading "Forms." Applicants filling electronically are able to print a finished Form CE-200 immediately upon, completion of the electronic application. Applicants without access to a computer may obtain a paper application for the CE-200 by writing or visiting the Customer Service Center at any District Office of the Workers Compensation Board. Applicants using the manual process may wait up to four (4) weeks before receiving a CE-200.

OR

ii. DB-120.1 Certificate of Disability Benefits Insurance (the contractor's insurance carrier provides this form);

OR

iii. DB-155 Certificate of Disability Benefits Self-Insurance (To obtain this form the contractor needs to call the New York State Workers Compensation Board's Self-Insurance Office at 518-402-0247).

### 3.14 Additional Insurance Requirement:

Prior to the start of work the Contractor shall procure at its sole cost and expense, and shall maintain in force at all times **during the term of this Agreement**, policies of insurance as herein below set forth, written by companies authorized by the New York State Insurance Department to issue insurance in the State of New York with an A.M. Best Company rating of —A-II or better. OMH may, at its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when Certificates and/or other policy documentation is accompanied by a completed Excess Lines Association of New York (ELANY) Affidavit; provided that nothing herein shall be construed to require the Agency to accept insurance placed with a non-authorized carrier under any circumstances.

The Contractor shall deliver to OMH evidence of such policies in a form acceptable to the OMH. These policies must be written in accordance with the requirements of the paragraphs below, as applicable.

**Conditions Applicable to Insurance.** All policies of insurance required by this agreement must meet the following requirements:

- i. **Coverage Types and Policy Limits.** The types of coverage and policy limits required from the Contractor are specified in Appendix G, of the contract boilerplate.
- ii. **Policy Forms.** Except as may be otherwise specifically provided herein or agreed in writing by OMH, policies must be written on an **occurrence** basis. Under certain circumstances, the OMH may elect to accept policies written on a claims-made basis provided that, at a minimum, the policy remains in force throughout the performance of the services and for three (3) years after completion of the Contract. If the policy is cancelled or not renewed during that time, the Contractor must purchase at its sole expense Discovery Clause coverage sufficient to complete the 3-year period after completion of the Contract. Written proof of this extended reporting period must be provided to the Agency prior to the policy's expiration or cancellation.
- iii. **Certificates of Insurance/Notices.** Contractor shall provide a Certificate or Certificates of Insurance, in a form satisfactory to the OMH, before commencing any work under this contract. Certificates shall reference the Contract Number. Certificates shall be mailed to the:

**Contract and Procurement Services  
NYS Office of Mental Health  
Community Budget and Financial Management  
Contract & Claims Unit – 7<sup>th</sup> Floor  
44 Holland Avenue  
Albany, NY 12229**

Unless otherwise agreed, policies shall be written so as to include a provision that the policy will not be canceled, materially changed, or not renewed without at least thirty (30) days prior written notice except for non-payment as required by law to the OMH, Attn: NYS Office of Mental Health, 75 New Scotland Avenue, Albany, NY 12208. In addition, if required by the OMH, the Contractor shall deliver to the OMH within forty-five (45) days of such request a copy of any or all policies of insurance not previously provided, certified by the insurance carrier as true and complete.

Certificates of Insurance shall:

- a. Be in the form approved by OMH.
- b. Disclose any deductible, self-insured retention, aggregate limit or any exclusion to the policy that materially changes the coverage required by the contract.
- c. Specify the Additional Insured and Named Insureds as required herein.
- d. Refer to this Contract by number, the Supplemental Certificate, and any other attachments on the face of the certificate,
- e. When coverage is provided by a non-admitted carrier, be accompanied by a completed ELANY Affidavit, and
- f. Be signed by an authorized representative of the insurance carrier or producer.

Original, copies, faxed, and electronic documents (Certificates of Insurance, Supplemental Insurance Certificates and other attachments) will be accepted.

- iv. Primary Coverage:** All insurance policies shall provide that the required coverage shall apply on a primary and not on an excess or contributing basis as to any other insurance that may be available to the OMH for any claim arising from the Contractor's Work under this contract, or as a result of the Contractor's activities. Any other insurance maintained by the OMH shall be excess of and shall not contribute with the Contractor's insurance regardless of the —other insurance clause contained in the Agency's own policy of insurance.
- v. Policy Renewal/Expiration:** At least two (2) weeks prior to the expiration of any policy required by this contract, evidence of renewal or replacement policies of insurance with terms no less favorable to the OMH than the expiring policies shall be delivered to the OMH in the manner required for service of notice in Paragraph A.3. *Certificates of Insurance/Notices*
- vi.** If, at any time during the term of this contract, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in the Contract or proof thereof is not provided to the OMH, the Contractor shall immediately cease Work on the Project. The Contractor shall not resume Work on the Project until authorized to do so by the OMH. Any delay, time lost, or additional cost incurred as a result of the Contractor not having insurance required by the Contract or not providing proof of same in

a form acceptable to the OMH, shall not give rise to a delay claim or any other claim against the OMH. Should the Contractor fail to provide or maintain any insurance required by this contract, or proof thereof is not provided to the OMH, the OMH may withhold further contract payments, treat such failure as a breach or default of the contract, and/or, after providing written notice to the Contractor, require the Surety, if any, to secure appropriate coverage and/or purchase insurance complying with the Contract and charge back such purchase to the Contractor.

**vii. Self-Insured Retention/Deductibles:** Certificates of Insurance must indicate the applicable deductible/self-insured retention on each policy. For Construction contracts – General, Environmental, and/or Builders’ Risk deductibles or self-insured retentions above \$100,000 are subject to approval from the OMH. Additional surety/security may be required in certain circumstances. The Contractor shall be solely responsible for all claim expenses and loss payments within the deductible or self-insured retention.

**viii. Subcontractors:** Should the Contractor engage a Subcontractor, the Contractor shall endeavor to impose the insurance requirements of this document on the Subcontractor, as applicable. Required insurance limits should be determined commensurate with the work of the Subcontractor. Proof thereof shall be supplied to the OMH

### **3.15 Iran Divestment Act**

As a result of the Iran Divestment Act of 2012 (Act). Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL) § 165-a, effective April 12, 2012. By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Applicant/Contractor (or any assignee) certifies that it is not on the “Entities Determined to be Non-Responsive Applicants/Offerors Pursuant to the New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>.

And further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List.

Additionally, Applicant/Contractor is advised that should it seek to renew or extend a Contract awarded in response to this solicitation, it must provide the same certification at the time the Contract is renewed or extended. By submitted a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Applicant/Contractor (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list.

During the term of the Contract, should OMH receive information that a person (as defined in State Finance Law § 165-a), is in violation of the above-referenced certifications, OMH will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then OMH shall take such action as may be appropriate and provided for by law, rule or contract, including, but not limited to seeking compliance, recovering damages, or declaring the Contractor in default.

OMH reserves the right to reject any bid, request for assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

### **3.16 Bid Response**

Neither the State of New York or OMH shall be responsible for the costs or expenses incurred by the bidder in the preparation or presentation of the bid proposal.

### **3.17 Contract Provisions**

The RFP, all information submitted in the applicant's proposal and any revisions hereto, any follow up questions and answers and any RFP addenda or amendments will be included as part of the successful applicant's contract.

### **3.18 Acceptance of Terms and Conditions**

A bid, in order to be responsive to this solicitation, must satisfy the specifications set forth in this RFP. A detailed description of the format and content requirements is presented in Section 2.7 of this RFP.

### **3.19 Disposition of Proposals**

All proposals received by the due date become the property of OMH and shall not be returned. The successful proposal will be incorporated into the resulting contract and will be public record. Any proposals received after the due date will be returned to the applicant unopened.

### **3.20 Contract Execution**

Awards made through this RFP are not final and the resultant contract is not considered executed and binding until it is approved by the Attorney General and the Office of the State Comptroller (OSC) as required by New York State Law.

### **3.21 Freedom of Information Requirements**

All proposals submitted for OMH's consideration will be held in confidence. However, the resulting contract is subject to New York State Freedom of Information Law (FOIL). Therefore, if a Vendor believes that any information in its bid constitutes a trade secret or should otherwise be treated as confidential and wishes such information not be disclosed if requested, pursuant to FOIL (Article 6 of the Public Officer's Law), the Vendor must submit with its bid a separate letter specifically identifying the page number(s), line(s), or other appropriate designation(s) containing such information, explaining in detail why such information is a trade secret and formally requesting that such information be kept confidential. Failure by a Vendor to submit such a letter with its bid identifying trade secrets will constitute a waiver by the Vendor of any rights it may have under Section 89(5) of the Public Officers' Law relating to the protection of trade secrets. The proprietary nature of the information designated confidential by the Vendor may be subject to disclosure if ordered by a court of competent jurisdiction. A request that an entire bid be kept confidential is not advisable since a bid cannot reasonably consist of all data subject to FOIL proprietary status.

### **3.22 Vendor Responsibility.**

Section 163 of the State Finance Law requires that contracts be awarded on the basis of lowest price or best value to responsive and responsible Offeror. The State and courts have determined that responsibility includes integrity, previous performance, legal authority to do business in New York State, and financial and organizational ability to perform the contract.

As part of the procurement process, Offerors, affiliates and any business entity of which the Offeror is a subsidiary and subcontractors (where subcontractor is known at the time of the contract award, and its subcontract will equal or exceed \$100,000 over the life of the contract) are required to complete the Vendor Responsibility Questionnaire and submit it with its proposal. OMH shall conduct reviews of each Vendor for responsibility and responsiveness. The OMH may, at its sole discretion, request additional information, including meeting with the Offeror.

If the Offeror is determined by the OMH to be not responsible, the OMH shall inform the Offeror of such ruling. The Offeror shall have thirty (30) days to request a meeting with the OMH to explain the ruling and to demonstrate the finding to be incorrect or to correct/resolve and issues impacting the Offeror's responsibility. If the OMH's findings remain unchanged after meeting with the Offeror, the Offeror shall be removed from consideration for this contract. The Offeror that is awarded this contract shall update the Vendor Responsibility Questionnaire whenever such information changes and prior to any contract extensions and/or amendments. In the case of an assignment, a Vendor Responsibility Questionnaire should be submitted for the Contractor and Subcontractors. If the Offeror is determined, on the basis of new or previously undisclosed information, to be not responsible, the contract may be terminated, at the OMH's sole discretion.

**3.23 Sales and Compensating Use Tax Certification (Tax Law § 5-A)** Tax Law § 5-A requires contractors awarded State contracts for commodities or services valued at more than \$100,000 over the full term of the contract to certify to the New York State Department of Taxation and Finance ("DTF") that they are registered to collect New York State and local sales and compensating use taxes, if they made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000, measured over a specific period of time. The registration requirement applies if the contractor make a cumulative total of more than \$300,000 in sales during the four completed sales tax quarters which immediately precede the sales tax quarter in which the certification is made. Sales tax quarters are June-August, September-November, December-February and March-May. In addition, contractors must certify to DTF that each affiliate and subcontractor of such subcontractor exceeding such sales threshold during a specified period is registered to collect New York State and local sales compensating use taxes. Contractors must also certify to the procuring State entity that they filed the certification with the DTF and that it is current and complete.

The selected Contractor must file a properly completed Form St-220-CA (with OMH as the Contracting Agency within 48 hours of notification of selection of award) and Form ST-220-TD (with the DTF). These requirements must be met before a contract may take effect. Further information can be found at the New York State Department of Taxation and Finance's website.

### **3.24 NYS and OMH Policies**

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

Policies, Procedures and Standards. The Vendor is responsible for conforming to the policies and procedures of the Agency as outlined in the RFP, including governance standards. Vendor

employees using the Agency's resources shall adhere to all Agency policies and procedures as outlined in the RFP. The policies and procedures shall be provided as needed by the Agency. This includes but is not limited to policies and procedures for Security and Code of Conduct (e.g. Internet usage, passwords, access to the Agency's production systems and intellectual property rights, etc.). Changes in policies will be subject to the Change Control Management process as set forth in the SLA.

### **3.25 Sexual Harassment Prevention Certification**

State Finance Law §139-I requires bidders on state procurements to certify that they have a written policy addressing sexual harassment 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 bidder cannot make the certification, the bidder 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 RFP. Applicants must complete and return the certification with their bid, or provide a statement detailing why the certification cannot be made.

## **IV. Evaluation Factors for Awards**

### **4.1 Method of Evaluation**

Evaluation of proposals will be conducted in two parts: Technical Evaluation and Cost Evaluation. An independent evaluator will compute the Cost Evaluation score using a weighted formula, and a committee consisting of at least three evaluators will complete the Technical Evaluation.

Designated staff will review each proposal for completeness and verify that all eligibility criteria are met. A complete proposal shall include all required components as described in Section 5. If a proposal is not complete or does not meet the basic eligibility and participation standards as outlined in Sections 2.5 and 2.7, the proposal will be eliminated from further review. The agency will be notified of the rejection of its proposal within 15 business days from the proposal due date.

Proposals that meet the criteria as defined in section 2.5 and 2.7 will be reviewed comprehensively to assess the applicant's commitment and ability to accomplish the objectives outlined in this RFP.

Each evaluator will independently review the technical portion of each proposal and compute a technical score. Evaluators of the Technical Evaluation component may then meet to provide clarity or review any questions an evaluator has about a particular section of a proposal. Following any such discussion, evaluators may independently revise their original score in any section and will note changes on the evaluation sheet. Once completed, final Technical Evaluation scores will then be recalculated, averaged, and applied to the Cost Evaluation score to arrive at final scores. In the event of a tie, the applicant with the highest score on Goal 3 will be selected.

## 4.2 Scoring

Summary of Qualifications	10 points
Training for Providers – Behavioral Health Workforce (Goal 1)	18 points
Training for Providers - Effective Business Models (Goal 2)	18 points
Training, Credentialing, Retention and Supervision of Family and Youth Peer Advocates (Goal 3)	24 points
Staffing	10 points
Cost Evaluation	20 points
<b>Total Proposal Score =</b>	<b>100 points</b>

### 4.2.1 Technical Evaluation

The technical evaluation will apply points to the applicant's narrative responses in Section 5.4.

### 4.2.2 Cost Evaluation

Final Number of Points = (Lowest Cost bid received divided by the bid being evaluated) x 20 points

## 4.3 Agency Recommended Award and Notification Process

At the conclusion of the procurement, notification will be sent to the successful and all non-successful applicants. OMH reserves the right to negotiate certain terms and conditions with the selected applicant when making the conditional award. The conditional award is subject to successful contract negotiations between OMH and awardee, as well as approval by the NYS Attorney General and the Office of State Comptroller of the final contract.

OMH reserves the right to conduct a readiness review of the selected applicant prior to the execution of the contract. The purpose of this review is to verify that the applicant is able to comply with all participation standards and meets the conditions detailed in its proposal

## V. Scope of Work - Proposal Narrative

### 5.1 Introduction

OMH is seeking proposals to contract with an entity to provide training and technical assistance to children's behavioral health providers across the OMH service continuum of care during this period of rapid change and expansion of behavioral health services in New York State. The vast changes occurring within the healthcare system will impact children's behavioral health care providers significantly. Therefore, providers require support and technical assistance to adapt to the upcoming programmatic and fiscal pressures.

The awardee will provide training and technical assistance to NYS children's behavioral health providers with the goal of:

- Enhancing the competencies and skills of the children's behavioral health workforce,
- Strengthening children's behavioral providers' organizational and fiscal structures to support long term economic stability,
- Expanding and supporting the expertise of a trained family and youth peer workforce.

Successful applicants should understand the challenges facing children's behavioral health providers and the vast changes within the field of health care impacting the overall children's system of care. Furthermore, the applicants should be aware of and well-versed in the NYS Medicaid Redesign Team efforts and the impact of managed care on the children's service system.

### 5.2 Goals and Objectives

As noted in Section I, 1.1, the purpose of the Technical Assistance Center for Children's Behavioral Health Providers RFP is to create a dedicated training and technical assistance center focused on assisting New York State's children's behavioral health providers working across the service continuum of care to enhance the quality of services within strong organizational and business models.

#### **Goal 1: Advancing the competencies and skills of the children's behavioral health workforce and the provider's ability to supervise and retain this skilled workforce.**

A focus on enhancing the quality of care for youth and their families/caregivers across the children's service continuum by advancing the competencies and skills of the children's behavioral health workforce and supporting a provider's ability to retain this skilled workforce is critical to a robust and effective care.

#### **Objective 1: Promoting the skills and competencies of the behavioral health workforce**

Using a multi-modal approach, the awardee will assist the children's behavioral health workforce across the service continuum to advance their skills and competencies to serve an

ever expanding population. The awardee will provide information, technical assistance, and training on systems, services, and treatment strategies for achieving positive outcomes for youth with behavioral health needs and their families. This includes, but is not limited to, a collection of resources and materials designed to expand and support the use of best practices for both behavioral health providers and the families they work with.

The awardee will provide targeted support and technical assistance to various services and programs for service delivery in a variety of settings; subsequently, service delivery strategies may have various approaches depending on the context of care.

The awardee will be responsible for either directly developing and implementing training in each of the identified topic areas or contracting with experts to provide the training directly and serving as a moderator for the training sessions. The trainings will need to be applicable to a broad array of trainees.

Trainings are to address a wide range of topic areas to support the enhancement of knowledge and service delivery strategies, which may include, but are not limited to, such topic areas as:

- Transition Aged Youth,
- Integration of Culturally Competent Care,
- LGBTQ,
- Early Childhood,
  - Early Childhood Development,
  - Attachment,
- Positive Youth Development,
  - Risk and Protective Factors,
- Youth and Family Engagement Strategies,
- Family-Driven Care,
- Integration of Care,
- Trauma,
  - Trauma Informed Care,
  - Adverse Childhood Experiences (ACES),
  - Its Impact on Youth and the Family,
- Social Determinants of Health,
- Permanency Planning and Strategies for youth in Residential Programs,
- Evidence-Based Practices (for youth with behavioral health challenges).

## **Objective 2: Supporting and Retaining the Behavioral Health Workforce Via Quality Supervision**

Historically we have seen high rates of turnover in the children's behavioral health workforce. The result is often decreased outcomes and a loss of productivity based, in part, on the time required to fill a vacated position and onboard new staff. Quality supervision and targeted attention paid to staff retention can assist providers in maintaining a skilled and knowledgeable

workforce that can positively impact the children and families they serve.

The awardee will develop and deliver trainings to the supervisors and administrators of the children's behavioral health workforce that includes, but not limited to, such topics as:

- Principles of supervision,
- Enhancement of supervisor skills and competencies,
- Models of supervision (i.e. reflective, competency-based, treatment based, developmental approaches integrated approaches),
- Professional development of supervisee,
- Staff retention strategies,
- Supporting staff self-care and addressing staff burnout.

## **Goal 2: Effective Business Models for Children's Behavioral Health Care Providers**

The ability to recruit and maintain a skilled behavioral health workforce is inextricably linked to a provider's robust organizational and fiscal infrastructure. To support long term economic stability, children's behavioral health providers need organizational and fiscal structures that are both adaptive and innovative. They need to be positioned to adapt to rapid shifts in care delivery models, payment structures, and information technology, all while containing their overall costs. The ability of providers to adapt their fiscal and operational models requires substantial expertise dedicated to delivering targeted training and technical assistance with an emphasis on promoting quality and accountability.

### **Objective 1: Organizational Change Management**

In this time of rapid growth and expansion within the children's behavioral health service continuum, providers need to manage change while continuing to meet the needs of the children and families that they serve.

The awardee will provide training and technical assistance to the continuum of OMH Children's behavioral health providers to enhance their understanding on how to implement effective organizational change. This includes, but is not limited to:

- Organizational readiness review,
- Essential elements of change management,
- Implementing meaningful change,
- Overcoming barriers to change,
- Providing tools to implement effective organizational change management.

### **Objective 2: Financial Management and Viability**

Fiscally viable providers need to generate sufficient revenue to meet operating costs and to allow for service growth while maintaining current services and supports to the children and families that they serve.

The applicant will provide training and technical assistance to Children's behavioral health

providers to enhance their fiscal viability to include, but not limited to:

- Revenue Cycle Management,
- Budget Management,
- Medicaid billing/Coding/billing necessities to avoid common errors.

### **Objective 3: Quality Improvement Strategies and Data Driven Decisions**

Children's behavioral health providers face greater accountability as new payers emerge. To meet these challenges, the applicant will provide technical assistance to providers on quality assurance, quality controls, and quality improvement activities which include, but not limited to:

- Documentation & Compliance,
- Standards for Medicaid reimbursement,
- Quality documentation to meet regulatory requirements,
- Utilization Review,
- Agency specific policy and procedures.

A critical component of quality assurance is also focused attention on data collection and tracking for the purpose of ongoing quality improvement and decision making. Therefore, the awardee will also provide training and guidance on:

- How providers use data to better inform clinical practice,
- Accurately and efficiently collecting, analyzing, and utilizing data for organizational planning,
- Use of data to assess quality of care and outcomes to drive treatment decisions.

### **Goal 3: Expanding and Supporting a Qualified Family and Youth Peer Workforce**

Research suggests that peer support has made significant advances in the delivery of high quality family and youth behavioral health services. As noted in a report from the National Technical Assistance Center for State Mental Health Planning (NTAC); "As traditional mental health programs are strained by demands for services at a time of limited fiscal resources, the inclusion of consumer-operated/peer-support services within the continuum of community care is expanding the capacity of the mental health delivery system and promoting recovery in cost effective ways." (<https://docplayer.net/231957-Report-from-ntac-s-national-experts-meeting-on-emerging-new-practices-in-organized-peer-support-march-17-18-2003-alexandria-va.html>).

OMH is committed to the growth, recruitment and retention of a skilled Family and Youth Peer workforce within the OMH children's behavioral health service continuum through training and credentialing, as well as quality supervision efforts.

### **Objective 1: Maintenance of NYS Family and Youth Training and Credentialing**

Over the past 5 years, OMH has worked to professionalize the Family and Youth Peer Support disciplines by developing and supporting a training and credentialing process for Family and Youth Peer Advocates who deliver these services to youth and families. Refer to the following

link for specifics on the current training and credentialing process.

<https://www.ftnys.org/trainingcredentialing/family-peer-advocate-credential/>.

This RFP seeks the continuation and enhancement (when applicable and approved by OMH) of the current training and credentialing process for Family and Youth Peer Advocates.

The Family and Youth Peer Advocate credentials are integral to the future of the children's behavioral health system, wherein peer advocates will be more broadly reimbursable through Medicaid. Therefore, the promotion and growth in availability of the training for the credential is paramount to assuring access to peer services for children and their families.

To adequately communicate the role and scope of peer advocacy, the use of experienced and credentialed family and youth peers as trainers in the FPA and YPA Credentialing process is critical and inherent in the values of peer support. The awardee may plan to draw upon the expertise of the current FPA and YPA training and credentialing body to fulfill this objective. If the applicant chooses not to contract with the existing training and credentialing body they must demonstrate that their agency has ample capacity to manage and provide such a training, including the use of credentialed and experienced family and youth peers, in the credentialing process and for the direct provision of training.

## **Objective 2: Recruitment, Retention and Supervision of the Family and Youth Peer Advocate Workforce**

For Family and Youth Peer Support providers to build the capacity to serve an ever-expanding children's behavioral health population they must continually draw in new staff. Finding the best possible FPAs and YPAs who can fit within a provider organization can be both a challenge and an opportunity.

Once hired, keeping qualified FPAs and YPAs on staff can be difficult if an organization is not well prepared in the area of human resource management. Strengthening the behavioral health workforce requires creating environments that support the health and well-being, not only of the children and families being served but also of Family and Youth Peer workforce.

Quality supervision is a key element in creating and maintaining such environments. Research suggests that the relationship of peers to their respective supervisors is one reason why peers stay or leave the field. OMH is committed to the development of a new wave of supervisors that come directly from within the Family and Youth Peer Support discipline. The outcomes and benefits from this approach are twofold. For newly hired family and youth peers, having supervisors with the personal knowledge and skills of what the job entails is advantageous and combines the support, mentoring, and coaching needed to enhance the quality of their peer work with youth and families. For "seasoned" credentialed Family and Youth Peer Advocates, it creates career pathways for those who wish to foster their professional development into supervisory positions within the discipline.

The awardee will be responsible for developing and implementing training or contracting with experts to provide training on recruitment, retention and supervision of the peer workforce.

Trainings to include but are not limited to:

- Hiring practices and strategies,
- Job description and postings,
- Pre-Hiring and Post-Hire Issues for Consideration,
- Organizational readiness for employing Peer Advocates,
- Method(s) to support newly hired FPA and YPA supervisors,
- The fostering of supervisor champions for the FPA and YPA workforce,
- Specialized supervisory training for Credentialed Family and Youth Peer Advocates who aspire to become supervisors in their respective discipline.

### **5.3 Reporting Requirements**

The awardee will be required to submit quarterly reports to OMH to include:

- A summary of the training sessions (i.e. topics, location, etc.) that were held during the reporting quarter,
- The number of participants per training session,
- Tracking data on the number of unique providers by county and by region who participated in trainings,
- Findings on process undertaken to solicit training needs from children's behavioral health care providers by program type,
- An aggregate report on the analysis of the satisfaction surveys for each training session,
- Additional data and narratives, as requested by OMH.

In addition, the awardee will be required to submit an annual cost report using the Consolidated Fiscal Reporting System. The Consolidated Fiscal Reporting System (CFRS) is a standardized reporting method consisting of schedules which, in different combinations, capture financial information for budgets, quarterly and/or mid-year claims, an annual cost report, and a final claim.

### **5.4 Requirements for Submission**

Proposals submitted for funding under this RFP must include all the following components in the following order. Proposals missing any of the required proposal components will not be considered. See Section II, 2.7 for additional information on proposal format and content.

#### **A. Agency Transmittal Form**

## **B. Summary of Qualifications** (no longer than two pages)

Provide a concise description of the knowledge and experience of the entity that summarizes its qualifications for conducting trainings and providing technical assistance for children's behavioral health care providers. The entity must address its understanding of the challenges facing children's behavioral health providers and the vast changes within the field of health care impacting the overall children's system of care. In addition, it must describe its experience in developing and facilitating trainings related to the various topics required, including:

- Workforce training to ensure effective provision of direct services for children with behavioral health challenges and their family,
- Staff supervision and retention strategies to assure the maintaining of a skilled and knowledgeable workforce,
- Establishment of successful change management strategies,
- Assuring financial management and fiscal viability,
- Quality assurance and data collection and analysis to enhance the provision of care for children and families.

## **C. Proposal Narrative**

### **Goal 1: Advancing the competencies and skills of the children's behavioral health workforce as well as advancing a provider's ability to adequately supervise and retain this skilled workforce.**

Detail how the applicant would propose to complete the required training topics for the behavioral health care workforce to assure quality outcomes for children and families. Trainings should take into consideration the program type within the service continuum. Based on Goal 1 and its respective objectives, this section should:

- Provide a detailed plan on the proposed trainings to be provided, including, but not limited to, the:
  - Type of content to be included in trainings,
  - Mode of delivering the trainings,
  - Logistical elements of providing the trainings, included, but not limited to: registration, locations, tracking of participants, etc.,
  - Qualifications and competencies of the staff member who will be responsible for each aspect of the trainings. If the entity cannot provide any the training directly, describe your plan to identify and contract with experts for those topic areas,
- Describe how you plan to identify and assess for ongoing training and/or support needs by program type,
- Describe your plan to conduct satisfaction and feedback surveys of trainees, collect data and report those findings by program type,
- Detail your plan for outreach, marketing and promotion of trainings.

## **Goal 2: Effective Business Models for Children’s Behavioral Health Care Providers**

Detail how the applicant would propose to complete the required training topics for children’s behavioral health providers on organizational and fiscal infrastructure to support long term economic stability. Trainings should take into consideration program type within the service continuum. Based on Goal 2 and its respective objectives, this section should:

- Provide a detailed plan on the proposed trainings to be provided, including, but not limited to, the:
  - Type of content to be included in trainings,
  - Mode of delivering the trainings,
  - Logistical elements of providing the trainings, included, but not limited to: registration, locations, tracking of participants, etc.,
  - Qualifications and competencies of the staff member who will be responsible for each aspect of the trainings. If the entity cannot provide any the training directly, describe your plan to identify and contract with experts for those topic areas,
- Describe how you plan to identify and assess for ongoing training and/or support needs by program type,
- Describe your plan to conduct satisfaction and feedback surveys of trainees, collect data and report those findings by program type,
- Detail your plan for outreach, marketing and promotion of trainings.

## **Goal 3: Expanding and Supporting a Qualified Family and Youth Peer Workforce**

Detail how the applicant will maintain and enhance the Family and Youth Peer Support training and credentialing process, as well as, support the ongoing recruitment, retention and supervision of peer advocates. The narrative should:

- Describe your experience in the maintenance and oversight of an established learning management system,
- Describe your plan to identify and contract with experts for topic areas in which the applicant is not able to provide the training directly,
- Provide a detailed plan on administering all aspects of the current FPA and YPA training which includes online and in-person sessions. Please include the qualifications and competencies of the staff members involved in this aspect of the YPA and FPA training and credentialing,
- Provide a detailed plan on administering all aspects of the current FPA and YPA credentialing process which includes the maintenance or development of a family peer and youth peer advisory committee associated with the oversight and management of both credentials. Please include the qualifications and competencies of the staff members involved in this aspect of the YPA and FPA training and credentialing process,
- Describe your plan on marketing and promoting the Family and Youth Peer Training and Credentialing process to the FPS and YPS disciplines,
- Describe your plan to support and train on recruitment and retention strategies specific to the Family and Youth Peer workforce,

- Submit a detailed plan for the development and implementation of a supervisory training specifically for Credentialed Family and Youth Peer Advocates to include:
  - Content of trainings,
  - Mode of delivery of training,
  - Frequency of trainings,
- Describe your plan to conduct satisfaction and feedback surveys of trainees, collect and maintain data, and report those findings,
- Detail your plan to identify and assess for ongoing training and/or support needs.

#### **D. Organization and Staffing**

Detail your plan to staff the Training and Technical Assistance Center in order to achieve all goals and objectives outlined. Information provided should clearly delineate the roles and responsibilities of employed personnel, as well as any other contractual or collaborative organizations or individuals. The narrative should include the following:

- An organizational chart and description of organizational structure, lines of supervision, and management oversight for the proposed Center,
- The accompanying narrative should also include who is responsible for what day-to-day key tasks, such as providing leadership; communications and promotions; training; data collection, monitoring ongoing progress; and preparing quarterly reports, the qualifications, expertise, and relevant experience of key personnel conducting training and providing leadership over the Center. This includes any plans for subcontracting to other allowable entities outlined in Section 2.5 for content expertise or specific staffing qualifications.

#### **E. Operating Budgets and Budget Narratives**

Be sure to use the required budget formats – the Operating Budget Form and the Budget Narrative Form (Appendix B and B1) – to develop your budgets and budget narratives. Do not substitute your own budget formats. The information provided will be utilized to complete the Financial Assessment (see Section IV, 4.2.2).

- Develop Yearly Operating Budgets for Years 1-5. For a five-year grant period, OMH will award successful applicants up to \$2,700,000 annually.
- Complete Budget Narratives for all the detailed expense and revenue components that make up the total operating budget and include the calculation or logic that supports the budgeted value of each category.

***REMINDER*** – All required Attachment and Appendices must be provided with proposal submission. Please refer to Sections 2.7 and 2.9.