



**Forensic Homeless
Intensive Case Management Program
New York City**

**Request for Proposals
New York City
August 2019**

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1. Introduction and Background

1.1 Purpose of the Request for Proposal

In response to the New York State Legislative commitment to dedicate resources for individuals with serious mental illness (SMI) releasing from prison to the community, the New State Office of Mental Health (OMH) announces the availability of funds in the amount of \$338,000 annually, through a competitive Request for Proposal (RFP) process, for the Forensic Homeless Intensive Case Management (ICM) Program. The ICM Program is designed to assist mentally ill homeless individuals returning to New York City from New York State prisons with accessing housing and developing skills to remain independent and in stable housing.

Three (3) Intensive Case Managers will provide intensive case management services at a ratio of 1:12 for a period of 3 to 12 months, as clinically indicated. The Intensive Case Managers may be located on-site at the Department of Homeless Services shelter or serve clients mobile in various shelters to facilitate access to the shelter system and mental health care coordination services for individuals being released from prison. The referral process is managed through the Reentry Coordination System (RCS), currently operated by the Center for Urban Community Services (CUCS). The ICM Program will work in collaboration with Central New York Psychiatric Center Pre-Release Services, the Reentry Coordination System, the New York City Department of Homeless Services (DHS), the New York State Department of Corrections and Community Supervision (DOCCS), the New York City Department of Health and Mental Hygiene, and community treatment providers. Within a 3 to 12 month timeframe, the ICM Program will secure longer term community based care coordination to a Health Home, Assertive Community Treatment, Forensic Assertive Community Treatment, Shelter Assertive Community Treatment, or other long term mental health care coordination provider.

1.2 Target Population/Eligibility Criteria

The target population is adults with serious mental illness (SMI) returning to the five boroughs of New York City from New York State prisons who are homeless and will release undomiciled to the New York City Shelter system. All referrals who meet the criteria for SMI are accepted regardless of offenses. The program is voluntary and the client has the right to refuse services. However, the program is expected to accept all referrals within the eligible population and to provide a detailed description and offer of ICM services to the client in person upon release to determine if the client is willing to accept and sign consent to receive ICM services.

Eligible Populations Include:

- SMI clients

- AOT clients
- Level I, II, and III sex offenders
- Parolees and Non-parolees

2. Proposal Submissions

2.1 Designated Contact/Issuing Officer

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

Carol Swiderski
Contract Management Specialist 2
New York State Office of Mental Health
Contracts and Claims
44 Holland Avenue, 7th Floor
Albany, NY 12229
carol.swiderski@omh.ny.gov

2.2 Letter of Intent

Agencies interested in responding to this Request for Proposal **must** submit a Letter of Intent to Bid to the OMH Issuing Officer by 9/13/19. The Letter of Intent to Bid shall be non-binding.

Please mail the letter of intent to the Issuing Officer:
Carol Swiderski
Contract Management Specialist 2
New York State Office of Mental Health
Contracts and Claims
Attention: Letter of Intent
44 Holland Avenue, 7th Floor
Albany, NY 12229

2.3 Key Events/Timeline

RFP Release Date	8/28/19
Letter of Intent to Bid Due	9/13/19
Questions Due	9/20/19
Questions and Answers Posted on Website	10/14/19
Proposals Due by 4:00 PM EST	10/23/19
Anticipated Award Notification	11/15/19
Anticipated Contract Start Date	7/1/20

2.4 Disposition of Proposals

All proposals received by the due date become the property of OMH and shall not be returned. Any proposals received after the due date will be returned to the applicant unopened.

2.5 Eligible Agencies

Eligible applicants are not-for-profit agencies with 501(c) (3) incorporation that have experience providing mental health services to persons with serious mental illness who have been involved with the criminal justice system, through programs that are licensed by OMH or funded by OMH or a Local Government Unit (LGU).

If unsure if your agency is an eligible applicant, contact the Issuing Officer identified in Section 2.1.

2.6 RFP Questions and Clarifications

All questions or requests for clarification concerning the RFP shall be submitted in writing to the Issuing Officer by e-mail to carol.swiderski@omh.ny.gov by 4:00 PM EST on the "Questions Due" date indicated in section 2.3 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.

The questions and official answers will be posted on the OMH website by 10/14/19.

2.7 Addenda to Request for Proposals

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, 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 RFP. No other notification will be given.

2.8 Disqualification Factors

Following the opening of bids, a preliminary review of all proposals will be conducted by the Issuing Officer or a designee to review each proposal's submission for completeness and verify that all eligibility criteria have been met. Additionally, during the proposal evaluation process, evaluators will also be reviewing eligibility criteria and confirming that they have been met. During the course of either of these review processes, proposals that do not meet basic participation standards will be disqualified, specifically:

- Proposals from applicants that do not meet the eligibility criteria as outlined in 2.5; or
- Proposals that do not comply with bid submission and/or required format instructions as specified in 2.11 or
- Proposals from eligible not-for-profit applicants who have not completed Vendor Prequalification, as described in 2.11, by the proposal due date of 4:00 PM EST on 10/23/19.

2.9 Grants Gateway Requirement

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the [Grants Gateway](#) and complete the Vendor Prequalification process in order for proposals to be evaluated and any resulting contracts executed.

Proposals received from eligible not-for-profit applicants who have not been Prequalified by the proposal due date of 4:00 PM EST on 10/23/19 cannot be evaluated; therefore, such proposals will be disqualified from further consideration.

Please do not delay in beginning and completing the prequalification process. The State reserves five (5) days to review submitted prequalification applications. Prequalification applications submitted to the State for review less than 5 days prior to the RFP due date and time may not be considered. Applicants should not assume their prequalification information will be reviewed if they do not adhere to this timeframe.

2.10 Proposals Executive Order #38

[Pursuant to Executive Order #38](#), dated January 18, 2012, OMH promulgated regulations regarding limits on administrative costs of 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. Please refer to Appendix C of this RFP for a link to OMH Master Contract Forms and Instructions, Attachment A-1, Section A.12 (Mental Health Regulations). See also [Executive Order #38 Homepage](#).

2.11 Instructions for Bid Submission and Required Format

Each proposal submission through the Grants Gateway is required to contain:

- Operating Budget (Appendix B)
- Budget Narrative (Appendix B1)

All applicants must be registered with the New York State Grants Gateway System (GGS) and all Not-for-Profit agencies must be prequalified prior to proposal submission.

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 a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the website).

All registration 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 -- OR -- by telephone: 1-518-474-5595.

How to Submit a Proposal

Proposals must be submitted online via the Grants Gateway by the date and time posted on the cover of this RFP. Tutorials (training videos) for use of the Grants Gateway (and upon user log in):

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 RFP, 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 proposal 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 a ‘Grantee Contract 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 proposals will not be accepted. Proposals will not be accepted via fax, e-mail, hard copy or hand delivery.

Helpful Links

Some helpful links for questions of a technical nature are below.

Grants Reform Videos (includes a document vault tutorial and an application tutorial) on

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

(Technical questions)

Grants Team Email (Proposal Completion, Policy and Registration questions): grantsgateway@its.ny.gov or by phone at 518-474-5595.

2.12 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 also grantee-defined and should reflect some measurable benchmark(s) in order to demonstrate adequate progress within the 18 months of the award date, as required by the RFP. 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.

3. Administrative Information

3.1 Reserved Rights

OMH reserves the right to:

- Reject any or all proposals received in response to the RFP 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 RFP at any time, at the agency's sole discretion
- Make an award under the RFP in whole or in part;
- Disqualify and applicant whose conduct and/or proposal fails to conform to the requirements of the RFP;
- Seek clarifications and revisions of proposals for the purposes of assuring a full understanding of the responsiveness to this 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 the 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 bidders via the OMH website, Grants Gateway and the New York State (NYS) 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 proposal 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 proposal and/or to determine a applicant's compliance with the requirements of the solicitation;
- Cancel or modify contracts due to insufficiency of appropriations, cause, convenience, mutual consent, non-responsibility, or a "force majeure".

3.2 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 proposal, within 15 business days of the OMH dated letter. OMH will not offer debriefing to providers who are awarded a team. 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.

3.3 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 RFP, must be filed prior to the deadline for 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 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 RFP 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 Ave
Albany, NY 12229

3.4 Term of Contracts

The contracts awarded in response to this RFP will be for a five year term. Selected applicants awarded a contract under this RFP will be required to adhere to all terms and conditions in OMH's Master Grant Contract. OMH reserves the right to change the contract period for the first year so that it is more or less than 12 months in order to align the contract period with OMH's New York City fiscal cycle (July 1 through June 30).

3.5 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 hereby establishes a 0% goal for Minority-owned Business Enterprise (MBE) participation, a 0% goal for Women-owned Business Enterprise (WBE) participation, based on the current availability of qualified MWBES, 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 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 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.

3.6 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 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.

3.7 Equal Opportunity Employment

By submission of a bid or proposal in response to this solicitation, the Applicant/Contractor agrees with all terms and conditions of Master Contract for Grants, Section IV(J) – Standard Clauses for All New York State Contracts including Clause 12 – Equal Employment Opportunities for Minorities and Women. The Contractor 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 Contractor, 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 Opportunity Policy Statement, 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 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, Contractor shall 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 and non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment status 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.

3.8 Sexual Harassment Prevention Certification

State Finance Law §139-l 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 RFP. Applicants must complete and return the certification with their bid, or provide a statement detailing why the certification cannot be made.

3.9 Bid Response

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

3.10 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 this format and content requirements is presented in Section 2.11 of this RFP.

3.11 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 an applicant 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 Public Officer's Law), the applicant 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 an applicant to submit such a letter with its bid identifying trade secrets will constitute a waiver by the applicant 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 applicant 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 a FOIL proprietary status.

3.12 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.

4. Evaluation Factors and Awards

4.1 Evaluation Criteria

All proposals will be rated and ranked in order of highest score based on an evaluation of each applicant's written submission as well as OMH internal reviews.

The Evaluation will apply points in the following categories as defined in Section 6:

Technical Evaluation	Points
Population	15
Description of Program	20
Implementation	20
Agency Performance	15
Utilization Review, Reporting, and	10

Quality Improvement	
Financial Assessment	20
Total Proposal Points	100 Points

For a detailed description of evaluation criteria for the Technical Evaluation and the Financial Assessment components, see Section 6 (Proposal Narrative).

4.2 Method for Evaluating Proposals

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 2.11. If a proposal is not complete or does not meet the basic eligibility and participation standards as outlined in Section 2.5, the proposal will be eliminated from further review. The agency will be notified of the rejection of its proposal within 10 working days of the proposal due date.

Proposals will be conducted in two parts: Technical Evaluation and Financial Assessment. The technical evaluation committee, consisting of at least three evaluators, will review the technical portion of each proposal and compute a technical score. A financial score will be computed separately based on the operating budget and budget narrative submitted.

Evaluators of the Technical Evaluation component may then meet to discuss the basis of those ratings. Following the discussion, evaluators may independently revise their original score in any section. Once completed, final Technical Evaluation scores will then be recalculated, averaged, and applied to the final Financial Assessment score to arrive at final scores.

Any proposal not receiving a minimum average score of 70 will be eliminated from consideration.

In case of a tie in the scoring process, the proposal with the highest score on the Description of Program (Section 6.2) of the Proposal Narrative will be ranked higher.

4.3 Process for Awarding Contracts

4.3.1 Initial Awards and Allocations

Proposals will be ranked, and one award made to the applicant with the highest score to assume the operation of the Forensic Homeless Intensive Case Management Program, which will operate in DHS Shelter system in all five boroughs of New York City.

4.3.2 Contract Termination and Reassignment

There are a number of factors that may result in the contract being reassigned. This includes, but is not limited to, failure to meet start-up milestones, failure to maintain staff to client ratio, excluding referrals based on criminal or substance abuse history, or poor performance outcomes. A contractor will be provided notification if there is need for reassignment.

To reassign the contract, OMH will go to the next highest ranked proposal. 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. OMH reserves the right to contact and offer an award, in order of ranked score and ability to develop the citywide team, to the other applicants.

4.4 Award Notification

At the conclusion of the procurement, notification will be sent to successful and non-successful applicants. All awards are subject to approval by the NYS Attorney General and the Office of the State Comptroller before an operating contract can be finalized.

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.

OMH will work with the awarded provider to determine start-up activities for their awarded ICM team, including hiring staff and procuring office space.

5. Scope of Work

5.1 Introduction

This RFP is issued to provide Intensive Case Management (ICM) services to individuals referred from CNYPC Pre-release Services through the Reentry Coordination System and who meet the following criteria:

- Individuals with serious mental illness (see Appendix D for OMH definition); **and**
- Are presently living in a New York State prison and are homeless and returning to a DHS Shelter in New York City

The Forensic Homeless Intensive Case Management Program is part of the OMH New York City Forensic Housing Initiative, which provides support to participating housing and care coordination providers through

access to: dedicated mental health parole officers, specialized staff training through the Academy for Justice-Informed Practice, and targeted technical assistance upon request. The Initiative convenes quarterly meetings with all funded providers and stakeholders to discuss cross-systems coordination challenges and to share information regarding program resources for the target population.

The Forensic Homeless Intensive Case Management Program agency must partner with CNYPC Pre-Release Services, the Reentry Coordination System, the New York City Department of Homeless Services (DHS), the New York State Department of Corrections and Community Supervision (DOCCS), the NYC Department of Health and Mental Hygiene, and community treatment providers.

5.1.1 Central New York Psychiatric Center (CNYPC) Pre-Release Services

CNYPC Pre-Release Services provides extensive discharge planning to assist in the transition from prison to community. Pre-Release Services, in collaboration with the Department of Corrections and Community Supervision (DOCCS) and the Reentry Coordination System (RCS), applies for and facilitates access to entitlements, such as Social Security, Medicaid, the Medication Grant Program, and housing, and arranges post-release appointments with mental health clinics, including Personalized Recovery Oriented Services (PROS) programs. Some participants may have an Assisted Outpatient Treatment (AOT) order.

Pre-Release Services works in tandem with the providers and the participants, based on the participants' needs. Participants will be released from prison with a supply and/or a prescription of psychiatric medication. Until entitlements are in place, psychiatric medication may be provided by the Medication Grant Program.

5.1.2 Reentry Coordination System (RCS)

All referrals to the ICM Program will go from CNYPC Pre-release Services through the Reentry Coordination System, a centralized referral system designed to manage access to mental health housing, intensive case management, and outpatient clinic referrals in New York City, for individuals who are seriously mentally ill being released from the New York State prisons. RCS is currently operated by the Center for Urban Community Services (CUCS). RCS will forward the referral packets to the ICM Program for review.

5.1.3 Dedicated Mental Health Parole Caseloads

Applicants under parole supervision may be placed on a dedicated mental health parole caseload – a collaborative initiative between OMH and DOCCS to establish dedicated parole officers with special expertise in mental health and substance use issues; and who are assigned smaller caseloads to meet the unique needs of the target population. The dedicated parole officers work closely with OMH and community

providers to enhance the opportunities for these individuals to adapt to living in their communities, subsequently reducing their high risk of unwanted release outcomes, including criminal recidivism.

5.1.4 Academy for Justice-Informed Practice

Specialized staff training is available through the Academy of Justice-Informed Practice that focuses on the education and skills required for working with a justice-involved population. Staff training opportunities include but are not limited to: understanding violence and staff safety; understanding the criminal justice system; supporting mandated clients including working with parole; trauma-informed care for justice-involved individuals; reducing recidivism and promoting recovery; the clinical impact of incarceration; substance use disorders; and first person perspectives on the experience of incarceration to recovery.

5.2 Objectives and Responsibilities

The Forensic Homeless ICM Program provider will provide essential transitional care coordination services for a period of 3 to 12 months, including but not limited to, the following as clinically indicated or appropriate:

- Day of release warm handoff at Parole offices located citywide or assigned New York City Shelter, in collaboration with CNYPC Pre-Release Services, DOCCS Community Supervision, and all community providers outlined in the discharge plan.
- Assessment and care planning
- Assistance with accessing housing
- Linkage to vocational services, psychosocial clubhouses, community supports, community based behavioral health programs, and medical providers
- Referral and Advocacy to obtain entitlements (Medicaid, Cash Assistance, SNAP, TANF, SSI/SSD, Veterans Benefits, etc.)
- Coordination of peer recovery support
- Obtaining identification (birth certificates, non-drivers ID's, and social security cards)
- Advocacy
- Utilize funds to provide for basic individual needs such as clothing, hot meal, and metro cards
- Transition planning and linkage to community based service providers, including transition to longer term care management services (e.g., Health Home, ACT, Forensic ACT, Shelter Partnership Act, Intensive Mobile Treatment)

Awardee will have the capacity to serve 36 individuals at any given time and maintain staffing ratio of 1:12.

Awardee must adhere to the following basic tenets related to Intensive Case Management services:

- Provide services that are tailored to meet the individual's specific needs
- Deliver comprehensive and flexible treatment, support, and rehabilitation services to individuals in the Shelter system, private residence, hospital or clinic settings. This means that interventions and skills training will be carried out at the locations where individuals live, work, and socialize, and where support is needed
- Engage individuals with co-occurring substance use, histories of trauma, and criminal justice involvement
- Key components of evidence-based practices will inform treatment, and will be derived from models such as Critical Time Intervention (CTI), Integrated Dual Disorder Treatment Motivational Interviewing, Contingency Management, and Trauma-Informed Care, etc.
- Maintain the organizational capacity to ensure small caseloads and continuity of care

Awardee must adhere to the following:

- Conduct at least six face-to-face contacts per month, or as clinically indicated upon release from prison. The level of intensity and rationale should be clearly documented in the progress notes.
- Pre-release services – Outreach to CNYPC Pre-Release Coordinator to review referral package, confirm release date, discharge plan, parole assignment (if Client is on parole) schedule telephone interview with Client to initiate engagement and preparation for reentry meeting. Also, outreach to prospective treatment providers to confirm referral for aftercare treatment intake appointments and to initiate establishing working collaborative
- Day of release warm handoff coordinated with CNYPC Pre-Release Services, Parole and other community providers listed in the discharge plan
- Provide Clients direct escort/transport from Parole to their approved residence (Shelter)
- Conduct comprehensive needs assessment and person-centered service plan
- Direct referral and linkage to OMH forensic housing or other housing, including submission of New York City Human Resources Administration (HRA) application
- Direct escort/transport to complete intake appointments and program linkages
- Provide weekly care management support to promote treatment compliance
- Maintain chart with accurate documentation of all casework activities, assessment, treatment planning including discharge/transition
- Proactive care coordination with all treatment providers and Parole Officers (if Client is on parole) – Collaborative relationship

building and case conferencing to coordinate services, identify and address treatment barriers, promote treatment compliance and facilitate a smooth community re-integration

- Pre-discharge/transition planning consistent with the program's length of stay (LOS) mandate (i.e., 3 to 12 months)
- Comprehensive discharge planning involving the Client, relative/friend support, treatment providers and Parole Officers
- Compliance with AOT Program requirements, including DOHMH AOT requirements

The ICM Program will assess for suicide risk, violence risk, substance use, health, and clinical needs using standardized screening and assessment instruments initially and then as needed.

The ICM Program will have a clear understanding of the service needs of persons with SMI and a demonstrated ability to coordinate services internally and externally.

The ICM Program should have an awareness of geographical expectations as individuals may relocate amongst boroughs. The ICM Program will serve individuals residing anywhere in the borough where they provide services. For example, recipients may move between boroughs due to an individual's geographic choice, reunification with family or friends, or a desire to move in with or near a friend. The ICM Program will follow individuals to the new borough, assist with transition to the new setting, then work with New York City Department of Health and Mental Hygiene or Health Home to transfer and arrange warm hand off to longer term care coordination in the borough of preference.

All staff should complete the Academy for Justice-Informed Practice Behavioral Health/Criminal Justice Certificate Program.

The ICM Program will collaborate and coordinate with providers of Chemical Dependence, Inpatient Rehabilitation, Medically Managed Detoxification, Chemical Dependence Medically Supervised Inpatient and Outpatient Withdrawal, and other OASAS licensed and/or designated programs and harm reduction, including syringe exchange programs, to work closely, and ensure warm handoffs.

The ICM Program should be competent in the transitional practice framework and the dimensions of 1) engagement, 2) skills of self-management and 3) transfer of care and community engagement.

5.2.1 Reporting and Meeting Attendance Requirements

Awardee must comply with all OMH fiscal reporting requirements as outlined in the "Aid to Localities Spending Plan Guidelines (<https://apps.omh.ny.gov/omhweb/spguidelines/>)."

Awardees will be required to maintain accurate reporting of all admissions, completion of follow up assessments, and discharges through OMH's Child and Adult Integrated Reporting System (CAIRS), and adhere to any requirements OMH may subsequently develop.

Awardees will complete regular reports on all individuals who are court mandated (AOT) via the DOHMH Portal.

Awardee must agree to comply with the CNYPC Pre-Release Services and Reentry Coordination System (RCS) referral process to ensure that the ICM slots will only be filled with referrals coming out of CNYPC.

Awardee is required to conform to the reporting requirements of the Reentry Coordination System (RCS). RCS tracks the rates of acceptance, rejection, and follow-up procedures for supported housing referrals, as well as tracking of the status of housing and outpatient mental health referrals. As such, awardee is required to conform to the reporting requirements of RCS, including real time notification of vacancies and rationale for referrals not accepted.

Awardee must attend periodic stakeholder meetings convened in New York City by OMH.

5.2.2 Staffing Requirements

Awardee will provide an adequate level of professional staffing to perform the required work.

Awardee will have office space that is appropriately located within the five (5) boroughs of New York City.

Awardee will hire core staff (Part-time Director/Coordinator, 3 ICM staff). Awardee will hire all staff that have the appropriate qualifications to meet the needs of the target population, and will do so in a timeline that maintains the staff ratio of no more than 1:12. It is highly recommended that awardee take special consideration of incorporating a peer specialist in their staffing plans. Awardee will maintain a plan for regular supervision of all staff members, including the Coordinator.

5.3 Operating Funding

One award will be made in the amount of \$1,690,000 for the five years. Annual funding for each of the 5 years is \$338,000.

6. Proposal Narrative

When submitting proposals for funding under this RFP, the narrative must address all components listed below, in the following order:

Describe your agency mission.

6.1 Population

- a. Describe in narrative form the characteristics of the population to be served by the Forensic Homeless ICM Program.
- b. Describe your understanding of the service needs of persons with SMI and co-occurring substance use disorders who are or have been justice-involved, and your ability to coordinate services internally and externally. Include the cultural and linguistic needs of recipients residing in the borough and communities you will be serving.
- c. Describe care management approaches and/or best practices for the SMI, co-occurring substance use, justice-involved homeless population, including the importance of trauma-informed services
- d. Describe experience in providing and coordinating care among behavioral health, medical, housing, and other providers and creating a continuum of integrated services that promote recovery, independence, and individual choice.
- e. Describe and demonstrate your experience in engaging adults with mental illness in the community and who have histories in institutional settings, and specifically in working with those who release to the community from prison.

6.2 Description of Program

- a. Describe how you will collaborate and coordinate with CNYPC Pre-Release Services and the Reentry Coordination System to review all referrals in a timely manner, facilitate pre-release telephone interview with the Client and prepare for reentry.
- b. Describe how you will collaborate and coordinate with CNYPC Pre-Release Services, the Reentry Coordination System, the New York City Department of Homeless Services (DHS), the NYS Department of Corrections and Community Supervision (DOCCS), the New York City Department of Health and Mental Hygiene, and community treatment providers on day of release and discharge warm handoff. Describe discharge criteria, policies, procedures, and use of Heath Home network providers, including care management as applicable.
- c. Describe how you will collaborate and coordinate with providers of Chemical Dependence, Inpatient Rehabilitation, Medically Managed Detoxification, Chemical Dependence Medically Supervised Inpatient and Outpatient Withdrawal, and other OASAS licensed and/or designated programs and

harm reduction, including syringe exchange programs, to work closely, and ensure warm handoffs.

- d. Provide a description of what engagement practices and strategies you will use targeted to the SMI homeless justice-involved population.
- e. Provide a description of crisis response assessment and plan should recipient exhibit acute symptoms and warning signs of psychiatric distress.
- f. Describe what the program's procedure will be for ongoing advocacy and connection to permanent housing including interface with Human Resources Administration (HRA) and SPOA.
- g. Provide a description of all services provided by the Forensic Homeless ICM Program Monday through Friday 9:00am – 5:00pm.
- h. Describe the program's individual assessment and person-centered care planning process, including strategies to engage and motivate individuals towards their recovery.

6.3 Implementation

- a. Describe start-up and phase-in activities necessary to implement the program. Include timeframes in your description. If the agency currently provides mental health services as part of another program (e.g., clinic), identify the host program.
- b. A description of how the agency will create a physical space that supports the ICM Program and its work and information about other supports the agency will provide for the program relative to equipment and administrative oversight. Define the geographic boundaries of the areas to be served by the proposed program.
- c. Describe initial and ongoing staff training and supervision, including commitment for staff to become certified in Academy for Justice-Informed Practice Behavioral Health/Criminal Justice Certificate Program.
- d. Describe your marketing approach and demonstrate how your organizational capacity to recruit, retain, train, and support an adequate level of professional and appropriately qualified staff to carry out programmatic duties. Provide your plan to remaining staff and that teams remain staffed based on caseload ratio of 1:12.

- e. Provide how you will ensure that staff gain competence in integrated mental health, co-occurring substance use disorder and trauma treatment, justice-informed services, access to housing/HRA, supported employment, family psychoeducation, and wellness self-management.
- f. Demonstrate how you will achieve the use of peer involvement to support recipients in their recovery from co-occurring mental health and substance use disorders, some with histories of trauma, who are justice-involved.

6.4 Agency Performance

- a. Describe the agency's experience in providing culturally relevant services with the incorporation of key community entities, consumers, and their families.
- b. Current licensed OMH providers must note the following over the last 2-year period: their agency's ability to target OMH priority populations, average length of stay, staffing fill levels, team size and capacity levels, any approved moratoriums including reason and length, and ability to transition individuals into community based services. Agencies will also be evaluated on the timeliness of CAIRS reporting, CAIRS length of stay averages, completion of staff trainings, and team profile.
- c. Applicants that do not have an existing OMH licensed team must attach a copy of recent monitoring reports for any mental health services program the agency operates that were issued by a city, state or federal government agency. These agencies will also be evaluated on relevant CAIRS data entry and timeliness of entry, of licensing, and other performance related data as applicable.

6.5 Utilization Review, Reporting, and Quality Improvement

- a. Describe how you will ensure confidentiality of individuals' medical records in ways that conform to all local, state and federal confidentiality and privacy regulations.
- b. Describe and demonstrate the effectiveness of your proposed approach to self-monitoring and ensuring ongoing quality improvement for the ICM program.
- c. Describe your proposed plan to ensure that a comprehensive assessment for each recipient is completed within 30 days of admission and every 3 months thereafter until discharge.

- d. Describe your proposed plan to ensure compliance with the following reporting requirements, including systems access: Child and Adult Integrated Reporting System (CAIRS), DOHMH Portal (for AOT individuals).
- e. Describe your proposed plan to ensure compliance with the reporting requirements of the Reentry Coordination System (RCS), including real time notification of vacancies and rationale for referrals not accepted.

6.6 Financial Assessment

- a. The proposal must include a 5-year Budget (Appendix B). \$338,000 is available annually. Note that administrative costs cannot be more than 15 %. Any travel costs included in the Budget must conform to New York State rates for travel reimbursement. Applicants should list staff by position, full-time equivalent (FTE), and salary.
- b. Describe how your agency manages its operating budget. Also, applicants must complete a Budget Narrative (Appendix B1) which should include the following:
 - 1. detailed expense components that make up the total operating expenses;
 - 2. the calculation or logic that supports the budgeted value of each category; and,
 - 3. description of how salaries are adequate to attract and retain qualified employees.