



**Office of
Mental Health**

Community-Based Diversion Programs

**(Cayuga, Essex, Franklin, Fulton, Montgomery, Madison, Oneida, St. Lawrence, or
Warren/Washington counties)**

Request for Proposals

Grant Procurements

(On-Line Submission Required)

Statewide Financial System (SFS) Identifier- MH253022

March 2026

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Community-Based Diversion Programs

**RFP# MH253022
Applicant Checklist**

Frequent Issues/Questions:

- Please begin working on your application in SFS **no later than 5 business days before the application due date** and **submit no later than 48 hours before the due date**. This will allow you time to troubleshoot any issues that arise that may prevent you from submitting. Exceptions will not be considered or made for an applicant who cannot complete their proposal/application by the due date and time of the RFP.
- All required forms/templates are available in the “Event Comments and Attachments” section of SFS. Please note that there are restrictions to the type, size and naming conventions of the files and attachments uploaded in SFS. For more information, please review the SFS Attachment Guide [here](#). Failure to comply with these guidelines may result in attachments not being viewable to reviewers.
- No workplan is required at this time, if awarded, a workplan will be developed during the contract development phase.
- The “Bid Amount” box is required to be filled out in SFS. Please enter the total amount of funding your organization is requesting from NYS OMH in this box.
- New York State reserves 5-10 business days from the receipt of complete Prequalification Applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits prequalify as soon as possible. Failure to successfully complete the prequalification process early enough will prohibit the submission of the application in SFS.

Please complete the following checklist prior to submission of your proposal. This checklist **SHOULD NOT** be submitted, it is for your use only.

Confirm the following:

- Your organization has met the eligibility requirements outlined in **Section 2.4 Eligible Agencies**
- Your organization is prequalified in SFS. SFS will prevent submission if your organization is a not-for-profit and not prequalified (see **Section 2.8 and 2.9 of the RFP document** for more information on Registration, Prequalification and Training Resources for SFS)
- Updates to the RFP can happen at any time, per **Section 2.6**, check the OMH website for any updates to the RFP posted by OMH.
- Notification of intent to apply was sent to local government unit and proof has been uploaded in SFS. A list of County Local Mental Hygiene Directors can be found [here](#).
- Provider Contact form completed and uploaded in SFS
- Sexual Harassment Prevention Certification Completed and uploaded in SFS
- Gender Based Violence and the Workplace Certification completed and uploaded in SFS.
- Proposal Template completed and any applicable attachments labeled with question numbers (example: question 6.2a calls for a sample assessment tool, the assessment tool should be labeled as 6.2a and added at the end of the Proposal Template)

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- Proposal Template and attachments (except budget, see next checkbox) combined into one PDF and uploaded in SFS under Q1
- Budget Template Completed (left in Excel) and uploaded in SFS under Q2
- Application submitted in SFS prior to the due date and time listed in **Section 2.2 Key Events/Timeline** (OMH strongly advises that applicants do not wait until the last day/last few hours to complete and submit applications/proposals to Grant RFPs. Exceptions will not be considered or made for an applicant who cannot complete their proposal/application by the due date and time of the RFP.)

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1. Introduction And Background

1.1 Purpose of the Request for Proposal

It is the mission of New York State Office of Mental Health to promote the mental health of all New Yorkers, with a particular focus on providing hope and recovery for individuals with serious mental illness. This mission translates to our Division of Forensic Services, which provides mental health services for justice-involved adults. Within OMH's Division of Forensic Services, the Diversion Center plays a key role in supporting New York State jurisdictions in the development, implementation, evaluation, and replication of initiatives to reduce the arrest and incarceration of persons meeting specific criteria for a serious mental illness (SMI) as well as behavioral health issues presenting in complex and chronic ways which impact overall functioning. Since 2018, the Diversion Center has provided funding to support diversion services for adults, aimed at improving outcomes for individuals involved in both the criminal justice system and mental health service system. Services focus on diverting individuals from incarceration and/or reducing the risk of recidivism.

The Diversion Center views diversion programming through the lens of the Sequential Intercept Model (SIM) to best understand opportunities to divert individuals from the criminal justice system. The Sequential Intercept Model (SIM) views the criminal justice system as a series of six intercepts: community services, law enforcement, initial detention/initial court hearings, jails/courts, reentry, and community corrections. This is a linear process that represents a typical progression an individual might experience through the criminal justice system. Please refer to the Substance Abuse and Mental Health Services Administration (SAMHSA) [website](#) for more information on the SIM.

NYS OMH is announcing this Request for Proposals (RFP) for the development or enhancement of diversion programs, rooted in evidence-based programming or emerging promising practice, at any intercept point on the SIM, that is designed to reduce the risk of criminal justice involvement for adults with mental health and/or behavioral health needs.

Notice: Notification of intent to apply should be made to the Local Governmental Unit (county director of community services) for each county to be served under the program application, as defined in Section 41 of the New York State Mental Hygiene Law. Proof of this notification is required to be uploaded in SFS and should not be sent directly to the procurement unit.

1.2 Target Population/Eligibility Criteria

The target population to be served by the proposed diversion program model is individuals at least 18 years of age with complex and/or chronic behavioral health issues and who are involved with the criminal justice system at one or more intercepts on the Sequential Intercept Model.

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-

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responsive, an 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:

Jeremy Rossello
New York State Office of Mental Health
Contracts and Claims
44 Holland Avenue, 7th Floor
Albany, NY 12229
OMHLocalProcurement@omh.ny.gov

2.2 Key Events/Timeline

RFP Release Date	3/10/2026
Questions Due	4/1/2026
Questions and Answers Posted on Website	4/22/2026
Proposals Due by 2:00 PM EST*	5/13/2026
Anticipated Award Notification	6/11/2026
Anticipated Contract Start Date	1/1/2027

*OMH strongly advises that applicants do not wait until the last day/last few hours to complete and submit applications/proposals to Grant RFPs. Exceptions will not be considered or made for an applicant who cannot complete their proposal/application by the due date and time of the RFP. **Please note that there are restrictions to the type, size and naming conventions of the files and attachments uploaded in SFS. For more information, please review the SFS Attachment Guide [here](#). Failure to comply with these guidelines may result in attachments not being viewable to reviewers.**

2.3 Disposition of Proposals

All proposals submitted by the due date and time become the property of OMH. Any proposals not received by the due date and time do not get reviewed and are excluded from consideration.

2.4 Eligible Agencies

Prequalification is required for all not-for-profit organizations seeking grant funding from New York State. Please see Section 2.8 and Section 2.9 for additional Prequalification Information.

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 and a history of criminal justice involvement through a state, county, or municipal contract or memorandum of understanding. Applicants must currently be providing services in one of the following counties: Cayuga, Essex, Franklin, Fulton, Montgomery, Madison, Oneida, St. Lawrence Warren, or Washington.

Please be advised that all questions regarding Eligibility will be responded to through the

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official posting of the Questions and Answers. No questions about Eligibility will be responded to either individually or prior to the posting of the Q&As.

2.5 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 OMHLocalProcurement@omh.ny.gov by the "Questions Due" date indicated in section 2.2 and will be limited to addressing only those questions submitted by the deadline. No questions can be submitted or will be answered after this date. No questions will be answered by telephone or in person. Please enter "Name of RFP" in the subject line of the email.

The questions and official answers will be posted on the OMH website by the date listed in the timeline section 2.2.

2.6 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 and the NYS Contract Reporter.

It is the applicant's responsibility to periodically review the [OMH Procurement website](#) and the [NYS Contract Reporter](#) to learn of revisions or addendums to this RFP. No other notification will be given.

2.7 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 2.4; or
- Proposals that do not comply with bid submission and/or required format instructions as specified in 2.9 or
- Proposals from eligible not-for-profit applicants who have not completed Vendor Prequalification, as described in 2.8, by 2:00 PM EST on the Proposal Due Date posted in section 2.2.

2.8 SFS Prequalification 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 be Prequalified 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 2:00 PM EST on the Proposal Due Date posted in section

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2.2 will not be able to submit their bid response through SFS.

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.

2.9 Vendor Registration, Prequalification and Training Resources for Not-for-Profits

NOTE: All applications must be submitted through the Statewide Financial System (SFS). No applications will be accepted electronically, US Postal Service, express mail delivery service or hand delivered.

For any application that does not contain all of the required documentation and/or “See Attached” responses that were to be uploaded, please be advised that the application will be reviewed and scored as submitted. For any incomplete response or missing and/or inappropriately submitted documentation, points will be deducted. It is the responsibility of the applicant to ensure, prior to submission, that the application is appropriate and complete. A workplan is not required for this RFP.

Each proposal submission through SFS is required to contain:

- Operating Budget (Appendix B)

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

Not-for-profit organizations must Register as a vendor with the Statewide Financial System and successfully Prequalify to be considered for an award.

This grant opportunity is being conducted as an SFS bid event. Not-for-profit vendors that are not prequalified can initiate and complete bid responses. However, not-for-profit vendors that are not prequalified will NOT be allowed to submit their bid response for consideration.

Information on [Registration](#) and [Prequalification](#) are available on the Grants Management Website. A high-level synopsis is provided below.

Registering as an SFS Vendor

To register an organization, send a complete [Grants Management Registration Form for Statewide Financial System \(SFS\) Vendors](#) and accompanying documentation where required by email to grantsmanagement@its.ny.gov You will be provided with a Username and Password allowing you to access SFS.

Note: New York State Grants Management reserves 5-10 business days from the receipt of complete materials to process a registration request. Due to the length of time this process could take to complete, it is advised that new registrants send in their

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registration form as soon as possible. Failure to register early enough may prevent potential applicants from being able to complete a grant application on time.

If you have previously registered and do not know your Username, please contact the SFS Help Desk at (855) 233-8363 or at Helpdesk@sfs.ny.gov. If you do not know your Password, please click the [SFS Vendor Forgot Password](#) link from the main log in page and follow the prompts.

Prequalifying in SFS

- Log into the SFS Vendor Portal.
- Click on the Grants Management tile.
- Click on the Prequalification Application tile. The Prequalification Welcome Page is displayed. Review the instructions and basic information provided onscreen.

Note - If either of the above referenced tiles are not viewable, you may be experiencing a role issue. Contact your organization's Delegated Administrator and request the Prequalification Processor role.

- Select the Initiate a Prequalification Application radio button and click the Next button to begin the process. Starting with Organization Information, move through the steps listed on the left side of the screen to upload Required Documents, provide Contacts and Submit your Prequalification Application.

Note - If the Initiate a Prequalification Application radio button is not available, your organization may have already started a prequalification application and could even be prequalified. Click on the Version History Link to review your organization's prequalification status. If you are not currently prequalified, or your prequalification expires prior to the due date of this RFA, you will need to choose Collaborate on or Update your application.

- System generated email notifications will be sent to the contact(s) listed in the Contacts section when the prequalification application is Submitted, Approved, or returned by the State for more information. If additional information is requested, be certain to respond timely and resubmit your application accordingly.

Note: New York State reserves 5 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible. Failure to successfully complete the Prequalification process early enough will prohibit the submission of the application in SFS.

Final Submission Format

Please note that all responses/applications/submissions to this RFP **must** be submitted through the Statewide Financial System (SFS). No mailed, delivered or emailed submissions will be accepted. OMH strongly recommends that applicants plan accordingly and allow themselves enough time to appropriately complete and submit by

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the due date and time of this RFP.

When providing uploads in response to any of the questions posed (other than the Fiscal/Budget component), please upload only PDF versions of those documents. When saving these files before uploading, with the exception of an underscore, please do not use any special characters in the file name, letters only should be used. All attachments required with the proposal must be combined into the proposal template PDF and clearly labeled. Uploading documents that are not in PDF form (other than the budget, which must be uploaded as an excel document) will result in the disqualification of the application.

Specific questions about SFS should be referred to the SFS Help Desk at helpdesk@sfs.ny.gov.

On Demand Grantee Training Material

A recorded session with information about the transition to SFS is available for Grantees on the Grants Management website - <https://grantsmanagement.ny.gov/> and in SFS Coach.

The following training material focused on grants management functionality is currently available in SFS Coach:

- An SFS Vendor Portal Reference Guide (https://upk.sfs.ny.gov/UPK/VEN101/FILES/SFS_Vendor_Portal_Access_Reference_Guide.pdf) to help Grantees understand which Grants Management roles they need in the SFS Vendor Portal based on the work they are currently involved in.
- A Grantee Handbook (upk.sfs.ny.gov/UPK/VEN101/FILES/Grantee_User_Manual.pdf), which provides screenshots and step-by-step guidance on how to complete Grants Management-related tasks in SFS
- On-demand recorded training videos focused on each aspect of the Grants Management business process

Agencies can view vendor training material in SFS Coach by selecting **SFS Training for Vendors** from the Topic drop-down list.

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;

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- Disqualify any applicant, and rescind any conditional award or contract made to such applicant whose conduct as a provider does not meet applicable standards as determined solely by OMH 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's 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, SFS 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 an 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";
- Change any of the scheduled dates stated in the RFP.

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 calendar days of the OMH dated letter. OMH will not offer debriefing to providers who receive an award. OMH will not offer ranking, statistical, or cost information of other proposals until after the NYS Office of the State Comptroller has

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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 three-year term. OMH reserves the right to modify the first period of the contract to coincide with the applicable fiscal period. For New York City contracts, the fiscal period is July 1 through June 30 of each year. Selected applicants awarded a contract under this RFP will be required to adhere to all terms and conditions in OMH's Contract for Grants.

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. OMH expects that all contactors make a good-faith effort to utilize Minority and/or Women Owned Business Enterprises (M/WBE), on any award resulting from this solicitation in excess of \$25,000 for commodities and services or \$100,000 for construction.

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

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“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:

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

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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 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

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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 Gender-Based Violence and the Workplace Certification

State Finance Law §139-m requires all vendors bidding on state contracts to implement and attest to a Gender-Based Violence and the Workplace policy. Applicants on state

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procurements must certify that they have a written policy addressing gender-based violence and the workplace that meets the minimum requirements of State Finance Law§139-m. 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.

3.10 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.

3.11 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 2.9 of this RFP.

3.12 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.

3.13 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. **Please note that there are restrictions to the type, size and naming conventions of the files and attachments uploaded in SFS.**

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For more information, please review the SFS Attachment Guide [here](#). Failure to comply with these guidelines may result in attachments not being viewable to reviewers.

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

Technical Evaluation	Points
Notification of LGUs	1
Population	8
Program Description & Cross System Collaboration	30
Implementation & Data Collection	24
Agency Performance	5
Utilization Review, Reporting, and Quality Improvement	12
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 2.9. If a proposal is not complete or does not meet the basic eligibility and participation standards as outlined in Section 2.4, 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 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 Program Description & Cross System Collaboration (Section 6.3) of the Proposal Narrative will be ranked higher.

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4.3 Process for Awarding Contracts

OMH will review and evaluate proposals submitted by eligible applicants. One award will be made to the four applicants receiving the highest final total scores. If the top highest scoring proposals occur in the same county, the awards will be given to the next highest scoring applicant in a non-awarded county.

Table 1

Counties Eligible to Receive an Award
Cayuga
Essex
Franklin
Fulton
Montgomery
Madison
Oneida
St. Lawrence
Warren
Washington

4.4 Initial Awards and Allocations

Proposals will be ranked, and 4 award (s) made to the applicants with the highest scores to assume the operation of Community-Based Diversion. Only one (1) award will be given per county. If the top highest scoring proposals occur in the same county, the awards will be given to the next highest scoring applicant in non-awarded county.

4.5 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:

- a) Failure to meet start-up milestones.
- b) Failure to serve the identified population.
- c) Failure to collect data and/or update designated data collection tool identified by OMH's Diversion Center.
- d) Failure to communicate and/or collaborate with OMH's Diversion Center.
- e) Failure to demonstrate program effectiveness.

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. In the event the award cannot be made, OMH reserves the right to re-procure the terminated or reassigned contract.

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4.6 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.

5. Scope of Work

5.1 Introduction

The Local Governmental Unit (LGU), Director of Community Service (DCS)/Mental Health Commissioner has a statutory authority and responsibility for oversight and cross-system management of the local mental hygiene system to meet the needs of individuals and families affected by mental illness, substance use disorder and/or intellectual/developmental disability in their communities. LGU collaboration is a vital part of the work of the community-based diversion program. Applicants should notify the LGU(s) of their intent to apply. Proof of this notification is required to be uploaded in SFS and should not be sent directly to the procurement unit.

Diversion programs are designed to reduce the contact individuals with complex and/or chronic behavioral health issues have with the criminal justice system. OMH is seeking proposals from qualified organizations to provide services in one of the following counties Cayuga, Essex, Franklin, Fulton, Montgomery, Madison, Oneida, St. Lawrence, Warren or Washington with the goal of designing or enhancing diversion program(s) at any point on the Sequential Intercept Model (SIM).

Diversion programs develop innovative outreach and engagement strategies to engage participants and community partners. Stakeholder investment and continued buy-in is critical as it can provide availability for cross system training, increase opportunities for data sharing, and provide a mechanism for checks and balances for evaluating program impact. Stakeholders can include, although are not limited to, members of county mental health departments, court systems, law enforcement agencies, community behavioral health providers, hospitals, county jail mental health providers, persons with lived experience, and local government policy makers.

Diversion programs play a critical role in keeping individuals with serious mental illness (SIM) out of the criminal justice system by connecting them to timely treatment and supports rather than incarceration. These programs improve outcomes for individuals while reducing the strain on courts, jails, and public safety systems, ultimately promoting more effective use of resources and better community stability.

5.2 Objectives and Responsibilities

The awarded vendor(s) will be expected to meet the objectives and responsibilities below. These will form the basis for the scope of work and contract deliverables when an award is made.

- A. Programs will be required to maintain accurate reporting and case records according to Regulation and Program Guidance. A unique CFR Program Reporting Code will

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be created for tracking of these funds. A unique CFR Program Reporting Code has been created for tracking of these funds; funding will be reported under code 1760.

- B. OMH providers are expected to ensure continuous quality improvement of services, including regular monitoring and evaluation of outcomes. To support these efforts, it is expected that providers have a quality, supervisory, operational and IT / data infrastructure to routinely self-monitor and ensure ongoing quality improvement of services, including analyzing utilization review findings and recommendations.
- C. It is also expected that providers will routinely submit data to OMH, including client-identified data, quality and program data. Data submission requirements and guidance will be provided by OMH.
- D. The proposed program model should address the holistic needs of the individual, which may include making referrals and connecting individuals to employment, education, housing, transportation, mental health treatment, and/or substance use treatment, and liaising with collateral contacts.
- E. Engagement with other community stakeholders is expected, including, but not limited to, housing providers, treatment providers, Single Point of Access (SPOA), court personnel (including judges and treatment courts), defense attorneys and district attorneys, jail personnel, probation, Alternatives to Incarceration (ATI) programs, pre-trial programs, etc.
- F. Programs are expected, when available and appropriate, to collaborate with other OMH funded programs which may include, but is not limited to, Court-Based Mental Health Navigators, Aligning to Build Lasting Engagement (ABLE) teams, Assertive Community Treatment Teams (ACT), Forensic Assertive Community Treatment Teams (FACT), Intensive & Sustained Engagement Teams (INSET), Forensic Intensive & Sustained Engagement Teams (F-INSET), Assisted Outpatient Treatment (AOT), and Safe Options Support Teams (SOS).
- G. It is expected that programs utilize the Sequential Intercept Model (SIM) in their program development, implementation, execution, and evaluation. Please refer to the Substance Abuse and Mental Health Services Administration (SAMHSA) [website](#) for more information on the SIM.
- H. Programs will be required to attend and participate in, at a minimum, quarterly check-in meetings with OMH's Diversion Center and/or OMH's Bureau of Forensic Evaluation Research and Data Analytics (BFERDA).

5.3 Operating Funding

The total available funding is in the amount of \$2,400,000. Four awards will be made in the amount of \$200,000.00 annually starting January 1, 2027, ending December 31, 2029.

Applicants are reminded that funding to support the operation of this program is contingent upon the continued availability of federal funding.

6. Proposal Narrative

Please note that there are restrictions to the type, size and naming conventions of the files and attachments uploaded in SFS. For more information, please review the SFS Attachment Guide [here](#). Failure to comply with these guidelines may result in attachments not being viewable to reviewers.

A proposal template is provided in the “Event Comments and Attachments” section of SFS and MUST be used to answer the following questions. Any supporting attachments MUST be included in the upload of the proposal template as one continuous PDF document AND be labeled specific to the question number it is associated with. **Proposals/applications not submitted as described (other than the budget which must be uploaded in excel format) will result in disqualification of the application.**

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

6.1 Notification of LGUs

- a. To receive the point for LGU notification, identified in section 4.1 Evaluation Criteria, please provide proof that LGU(s) were notified of your agency’s Intent to Apply to this RFP (e.g., sent email, certified letter, etc.). A list of County Local Mental Hygiene Directors can be found [here](#). Proof of this notification is required to be uploaded in SFS and should not be sent directly to the procurement unit.

6.2 Population

The target population to be served by the proposed diversion program model is individuals at least 18 years of age meeting criteria for a serious mental illness (SMI) which includes behavioral health issues presenting in complex and chronic ways that impact overall functioning, and who are involved with the criminal justice system. Programs should be serving at least one intercept on the SIM but could be serving multiple intercepts. Proposals should:

- a. Identify which county your program serves.
- b. Explain how you will operationally define the target population and your agency's approach to confirming eligibility of program participants.
- c. Describe how your program will fill or enhance a gap in services for your community. Please note, if you have completed SIM Mapping in the last three years, please attach a copy or indicate priorities from the SIM, and how your proposed diversion program aims to meet those identified areas.
- d. Describe approaches and/or best practices in engaging/supporting the target population.

6.3 Program Description & Cross System Collaboration

Describe the diversion program your county is looking to develop or enhance with this funding opportunity. Proposals must include:

- a. How this program seeks to reduce the arrest and/or incarceration of individuals 18 years or older with complex and/or chronic behavioral health issues.
- b. Include information on how many individuals you propose to serve on a quarterly basis.
- c. Describe your network, internally and externally, of behavioral health and criminal justice stakeholders, and all other providers. Explain how you plan to utilize those networks to facilitate a successful diversion program.
- d. Describe how you will engage with stakeholders to implement or enhance cross-training opportunities across agencies and/or systems.
- e. Describe your agency's expertise in providing diversion services to this population.
- f. Identify which intercept(s) on the SIM your program model addresses.
- g. Describe in detail the referral process for your diversion program.
- h. Describe how you will conduct outreach to establish trust and engagement with referred individuals. Include how you intend to build and strengthen working relationships with participants.
- i. Describe how you will identify and address the holistic needs of the individual, which may include making referrals and connecting individuals to employment, education, housing, transportation, mental health treatment, substance use treatment and liaising with collateral contacts.
- j. Describe how you will determine that an individual has been successful in your program and is ready to graduate/move off the caseload.

6.4 Implementation & Data Collection

Implementation plans must include:

- a. Detailed description of how your program will or does address the intercept(s) identified in 6.3(f). Keep in mind the following:
 - i. Using the model on the Substance Abuse and Mental Health Services Administration (SAMHSA) [website](#), clearly defines how your program model addresses diversion at the intercept(s) identified in your program description.
 - ii. Specify how you will collaborate with criminal justice and behavioral health stakeholders at the proposed intercept(s) but also at the intercepts that flow in and out of the intercept that your program does/will serve.
 - iii. Specify how the proposed program does or will fill a gap or enhance the

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current services landscape in your community.

- b. Describe the staffing plans. This should include the roles, titles, qualifications and duties of each proposed position. For each position, outline the onboarding/training plan. The Diversion Center strongly suggests including how you will train on trauma informed practices, mental health first aid, and Academy for Justice-Informed Practices (CUCS) Behavioral Health-Criminal Justice Certificate Training Program.

Please note, if you plan to staff peers, you must specify how you will recruit, retain, train, and provide support that is in alignment with the role and values of peer support work, including supervision that supports these values and role clarity.

Please attach an organization chart.

- c. If this is a new program, provide a realistic timeline for the project, including key activities and responsible staff. If this is a previously funded program, describe your timeline for enhancing/updating the project. For both new and previously funded agencies, include which staff or units within the organizational structure will carry out each of the objectives outlined in the RFP.
- d. Describe ways in which your agency currently collects, or plans to collect, and use data for program management, to promote best practices and – most importantly – to support the achievement of participants’ recovery goals.
- e. Please describe the plan for the continued sustainability of the program.

6.5 Agency Performance

- a. To objectively measure the impact of your diversion program, awardees must demonstrate a willingness and ability to work with OMH, the Diversion Center, and/or the Bureau of Forensic Evaluation, Research, and Data Analytics (BFERDA) on program oversight, training, and data collection. At a minimum, you must attend quarterly program check-in meetings with the potential for additional as-needed meetings to troubleshoot program or data collection challenges. Further, the data collection process will be an ongoing and iterative process. Please answer, based on which question best applies to your proposal, information requested below
 - a) If you have been previously funded by the Diversion Center, describe how you have been successful in collaborating with OMH, the Diversion Center, and/or BFERDA. Explain how you plan to improve or enhance your collaboration.
 - b) If you have not been previously funded by the Diversion Center, please describe how you have successfully collaborated with other state or local government grant providers in the past. This should include information

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on successful data collection and sharing methods.

6.6 Utilization Review, Reporting, and Quality Improvement

Programs should describe their current or anticipated Continuous Quality Improvement (CQI) process, including how they expect to collect data that will determine how they are progressing in achieving objectives. Specific program quality improvement activities should include:

- a. How your organization will utilize CQI data
- b. Plans for collecting and using data to monitor and improve program performance
- c. How the organization will provide training and support to systems to assure staff competencies
- d. The process that supervisory staff will implement to identify problems and develop solutions
- e. How your organization will collaborate with OMH Diversion Center and BFERDA to establish data collection systems to support quality improvement.
- f. Plans for tracking the program's record in providing required deliverables

6.7 Financial Assessment

- a. The proposal must include a 3-year Budget (Appendix B). \$200,000.00 is available annually. The indirect cost/administrative overhead rate is capped at 15%. Providers must follow Consolidated Fiscal Report (CFR) Ratio-Value guidance which excludes equipment/property from the direct cost base. If the applicant has a Federal Negotiated Indirect Cost Rate Agreement (NICRA), the proposal must include it, and OMH must utilize that rate as the indirect rate for the period it is active. Any travel costs included in the Budget must conform to U.S. General Services Administration 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. Please include the following:
 - detailed expense components that make up the total operating expenses;
 - the calculation or logic that supports the budgeted value of each category; and,
 - description of how salaries are adequate to attract and retain qualified employees.