



Evaluation of the New York State Assisted Outpatient Treatment Program

Request for Proposals

Grant Procurements

(Online Submission Required)

July 6, 2023

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1. Introduction and Background

1.1 Purpose of the Request for Proposal

The New York State Office of Mental Health announces the availability of funds for an experienced evaluator to examine outcomes associated with the New York State Assisted Outpatient Treatment (AOT) program. The evaluator's responsibilities are detailed in Section 5.4. Up to \$1,000,000 will be awarded to one eligible applicant for a total period of two (2) years.

1.2 Background on OMH

New York State has a large, multi-faceted mental health system that serves more than 700,000 individuals each year. OMH operates more than 20 psychiatric centers across NYS. OMH also regulates, certifies, and oversees more than 4,500 programs operated by local governments and nonprofit agencies. OMH's mission is to promote the mental health of all New Yorkers, with a particular focus on providing hope and recovery for adults with serious mental illness and children with serious emotional disturbances.

“At the local level, County (or City of New York) Mental Health Directors operate, direct and supervise their AOT programs. Local Mental Health Directors coordinate delivery of court-ordered services, file petitions, and receive and investigate reports of persons who may be in need of AOT. They also insure AOT service delivery by directly providing services, coordinating with OMH services, and/or utilizing not-for-profit programs.

OMH plays a key role in the oversight of AOT. The OMH Commissioner appoints Program Coordinators who monitor and oversee operation of AOT across NYS. Each OMH Field Office has an AOT Program Coordinator. The OMH AOT Program Coordinator works with local mental health directors, oversees and monitors care provided to persons under AOT, and can require local Directors of AOT programs to take corrective action if court-ordered services are not delivered in a timely manner. In addition, OMH's oversight role is enhanced by data collected on an ongoing basis for the evaluation of AOT.”¹

1.3 Introduction to AOT

History: On August 9, 1999, the Governor signed Kendra's Law (Chapter 408 of the Laws of 1999), creating a statutory framework for court-ordered Assisted Outpatient Treatment (AOT) to ensure that individuals with mental illness and a history of hospitalizations or violence participate in community-based services appropriate to their needs. Kendra's Law was named in memory of Kendra Webdale, a young woman who died in January 1999 after being pushed in front of a New York City subway train by a man with a history of mental illness and hospitalizations who was not receiving treatment at that time. Kendra's Law became effective in November 1999 and has been reviewed periodically by the legislature for continuation.

Kendra's Law Iterations and Evaluations: Since the Law's inception, the New York State Office of Mental Health (OMH) has been evaluating the impact of Kendra's Law on individuals receiving court-ordered services.

- In January 2003, OMH issued an Interim Report required by Kendra's Law, which reviewed the implementation and status of AOT and presented findings from OMH's

¹ <https://my.omh.ny.gov/bi/aot>

evaluation of the program. This was followed by a Final Report on the status of AOT in New York State which was also statutorily required by the original Kendra's Law and updates the Interim Report.

- In 2009, an evaluator from Duke University published its report on the NYS AOT program, representing the first independent evaluation of the program.²
- The law was renewed in 2005 with a technical correction, and again in 2010 with several amendments. In 2013, the law was amended substantively by the SAFE Act, and was renewed again in 2017 for an additional five years.
- The budget session of April 2022 included several new substantive changes to the Law, and further extended the law's effect until 2027. At this time, OMH committed to an independent evaluation, as described in this RFP.
- In January and February 2023, OMH completed a series of focus groups of individuals with personal experience with AOT, family members of individuals with such experience, advocates, and providers, to better understand the experience of receiving and providing services through AOT and to provide an opportunity for public feedback. Focus groups' questions varied based on the roles of the participants (e.g., provider groups answered a somewhat different set of questions than groups of consumers, but questions covered the same themes). Therefore, information gleaned from providers was more reflective of relevant sub-topics to them, such as training, implementation of the AOT program, and administrative considerations, than for consumers, who spoke more directly and personally to the experience of receiving services through AOT. Still, all groups responded to certain core questions about AOT, including, but not limited to: what engages individuals most/least; how does family involvement contribute to the experience of AOT; what does the general public understand or perceive about AOT in your community?
 - **A thematic summary from all sessions is available in Appendix 4.**
 - **Detailed qualitative information from these groups is available to applicants upon request.**

Program Resources: Funding was provided statewide to provide infrastructure to support these efforts, and since that time the Office of Mental Health has also established positions at the five regional field offices who specialize in AOT programming and support the LGUs. Central Office staff are also dedicated to monitoring and follow up efforts as well as trainings and guidance documents.

This program not only impacts the local county department of mental health administrative staff and direct care staff, but non-profit providers, area hospitals, local law enforcement agencies, court districts and county legal staff as well as judges and court personnel as well.

Scale and Impact:³ Since November 1999, there have been over 20,000 unduplicated initial AOT orders. Counties in New York State have reported doing over 46,000 investigations of records to determine whether individuals met the statutory criteria for Assisted Outpatient Treatment. Counties have filed over 32,500 petitions with just over 31,000 being granted since 1999 (95%). The number of renewal orders sought and granted is just over 16,300, which is about 55% of total orders getting renewed. Statewide about 37% of AOT orders that do not get

² Swartz, M. S., Swanson, J. W., Steadman, H. J., Robbins, P. C., & Monahan, J. (2009). New York State assisted outpatient treatment program evaluation. Available: <https://my.omh.ny.gov/analyticsRes1/files/aot/aot-2009-report.pdf>

³ All data presented in this sub-section are available in publicly available reports on the OMH website: <https://my.omh.ny.gov/bi/aot>

renewed are due to the individual no longer meeting AOT criteria (minus the time sensitive clauses regarding hospitalizations or violence) which can be interpreted as the individual successfully being served by less restrictive alternative services. 13% are due to being hospitalized at time of renewal. 6% are due to incarceration at time of renewal. 17% were offered voluntary services in an attempt to further engage. 5% moved out of state and 7% were “unable to be served at time of legal action” and petitions had to be adjourned.

The New York State AOT program has historically demonstrated reductions in hospitalizations compared to periods prior to AOT and during and after by 66%, incarceration by 73%, and episodes of homelessness by 63%. At present there are just under 3,500 individuals on active AOT orders statewide.

1.4 Target Population/Eligibility Criteria

This program will be valuable to the advocacy community, the community of individuals currently or formerly receiving AOT services and those who are AOT-eligible, and AOT providers, administrators, and local governmental units.

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, 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:

Amanda Szczepkowski
Contract Management Specialist 2
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: July 6, 2023
Questions Due: July 20, 2023, at 2:00 PM EST*
Questions and Answers Posted on Website: August 3, 2023
Proposals Due: August 22, 2023 at 1:00 PM EST*
Anticipated Award Notification: September 13, 2023
Anticipated Contract Start Date: January 1, 2024

*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.

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

Eligible applicants are not-for-profit agencies and research and academic institutions, including think tanks, evaluators, and consultancies, that have experience with mixed methods evaluations of services and/or programs in health care and/or court-ordered services.

Please be advised that all questions regarding Eligibility will be responded to through the 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 2:00 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 August 3, 2023.

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, 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.

2.7 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 2.9, by the proposal due date of 1:00 PM EST on August 22, 2023.

2.8 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 1:00 PM EST on August 22, 2023 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.

2.9 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.

2.9.1 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):

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

To apply, log into the Grants Gateway as a Grantee, Grantee Contract Signatory or Grantee System Administrator and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name provided on the cover page of this 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.

2.9.2 Helpful Links

Some helpful links for technical questions 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.

2.9.3 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 two-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 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 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 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 two-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.

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

With respect to MWBEs, each award recipient must document its good faith efforts to provide meaningful opportunities for participation by MWBEs as subcontractors and suppliers in the performance of the project to be described in each grant disbursement agreement, and must agree that OMH may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at <https://ny.newnycontracts.com>. For guidance on how OMH will determine a contractor's "good faith efforts", refer to 5 NYCRR §142.8. In accordance with 5 NYCRR § 142.13, each award recipient acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth herein and in its grant disbursement agreements, such finding constitutes a breach of contract and OMH may withhold payment from the award recipient as liquidated damages. Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the award recipient achieved the contractual MWBE goals; and (2) all sums paid to MWBEs for work performed or material supplied under the grant disbursement agreement.

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

- A. An MWBE Utilization Plan, which shall be submitted in conjunction with the execution of the grant disbursement agreement except as otherwise authorized by OMH. Any modifications or changes to the MWBE Utilization Plan after the execution of the grant disbursement agreement must be reported on a revised MWBE Utilization Plan and submitted to OMH.

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

- B. If a notice of deficiency is issued, the award recipient will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OMH, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OMH to be inadequate, OMH shall notify the award recipient and direct the award recipient to submit within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or 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-I requires applicants on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor’s model policy and training standards) to all its employees. Bids that do not contain the certification may not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a statement with their bid detailing the reasons why the certification cannot be made. A template certification document is being provided as part of this 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 2.9 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
Methodological Approach	25
Implementation Plan	25
Relevant Experience	20
Inclusion and Diversity	10
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 75 will be eliminated from consideration.

In case of a tie in the scoring process, the proposal with the highest score on the **Methodological Approach** domain (Section 6.1.) 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 responsibilities of the AOT Program Evaluation.

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, and failure to address a sufficient range of 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.

4.3.3 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 Overview and Purpose of Procurement

The New York State Office of Mental Health (OMH) is soliciting applicants qualified to perform a mixed-methods evaluation of the New York State Assisted Outpatient Treatment (AOT) program. **The AOT program is described in detail in Section 5.2.** OMH is seeking bidders to develop and finalize a study design, collect, synthesize, and analyze qualitative and quantitative data, and prepare a written report of the findings. The goal of this RFP, therefore, is to identify the services most effective to achieve the scope outlined in this procurement document.

The selected contractor will collaborate with OMH to finalize a study design that will directly compare treatment outcomes for mental health consumers who receive court ordered community-based services to individuals who received a comprehensive package of voluntary services. The study must respond to elements articulated in detail in Section 5.4.3. The selected vendor will be responsible for preparing the evaluation design, collecting and analyzing data, and writing a report. It is expected that the evaluator will include OMH representatives in oversight activities and provide regular updates to OMH leadership throughout the project period.

5.2 Objectives and Responsibilities for AOT Evaluation

5.2.1 Primary Responsibilities

- Collaborate with OMH to finalize an evaluation design inclusive of elements defined in Section 5.4.3.
- Prepare a project timeline, to be approved by OMH.
 - Prepare quarterly interim status reports (in an agreed-upon format) to keep OMH apprised of progress on project timeline.
- Prepare a report, due to OMH by January 1, 2026, summarizing the results of the evaluation.
- Collect and organize *retrospective* AOT data from various sources.
- Collect *prospective* data on individuals with active AOT orders.
- Provide effective and client-focused project execution, managed by a dedicated Project Manager, who will provide quarterly status updates to OMH staff and manage the work plan, schedule, and timely submission of deliverables

5.2.2 Goal of Evaluation:

The AOT Evaluation should address the following research questions:

- What does AOT accomplish, and where are its points of impact?
- How do treatment outcomes compare between individuals receiving court-ordered community-based services and those receiving comprehensive, voluntary services?
- How does the compulsory aspect of AOT mediate outcomes, relative to outcomes (including engagement and attendance) among individuals receiving comprehensive, voluntary services?
- Do participants get the services they need (including needs as defined clinically and by participants)?

5.2.3 Required Considerations for Evaluation Design:

The study must directly compare treatment outcomes for mental health consumers who receive court ordered community-based services to individuals who received a comprehensive package of voluntary services. OMH appreciates this is a challenging task, as a randomized control trial is not possible in this context. Therefore, applicants will, in response to Section 6.1, need to explain how they will consider the following:

1. The number of individuals who received each type of service and where they were located in NYS;
2. The disparity of services in consideration of the geographic location in NYS;
3. Type of services received by race, age, and gender, and socioeconomic status;
4. The rate of hospitalization, homelessness, contacts with law enforcement and incarceration;
5. Housing status;
6. Employment history and ability to obtain and maintain employment; and
7. New investments to create and expand said services.
8. Evidence that court-ordered services were offered as a last resort and in the least restrictive setting.

5.3 Operating Funding

One award will be made in the amount of \$1,000,000 for the two years.
Annual funding for each of the two years is \$500,000.

6. Proposal Narrative

To confirm eligibility: please provide a general description of the applicant’s mission, history, and range of business. This description should focus on the required services defined in Section 5.4.1., and expertise and experience relevant to this RFP, **specifically the applicant’s identification as a not-for-profit agency, research or academic institution (includes think tanks, evaluators, and consultants), and documented experience with mixed methods evaluations of services and/or programs in health care and/or court-ordered services.**

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

6.1 Methodological Approach

Before responding to Section 6.1, please review Reference Document 2: “Methodological Considerations for Preparing Proposal Narrative,” which is available separately in the Grants Gateway.

- 6.1.1 Describe the proposed evaluation, with the caveat that OMH may request adjustments to suit its needs and the needs of AOT participants and providers.
- 6.1.2 Please provide a description of the applicant’s proposed approach to defining and operationalizing a comparison group, conducting the study, and answering the research questions posed in Section 5.4.2.
- 6.1.3 Explain how you will develop a detailed plan for data collection and analysis customized to the particular context of the AOT program. Describe the plan for

quantitative analyses, **including for each of the outcomes listed in Section 5.4.3.**

6.2 Implementation Plan

6.2.1 Explain/describe:

- How applicant will approach data collection, management, and quality assurance.
- How applicant will approach human subjects research ethics, including any IRB approval, if necessary.
- Approach to collaboration with OMH.
- Project management approach.
- Report development process.

6.2.2 Describe your proposed regular reporting process to keep OMH apprised of progress and any challenges. OMH anticipates regular meetings with the selected vendor to receive status updates, facilitate introductions with interagency stakeholders, etc.

6.3 Relevant Experience

6.3.1 Provide a description of relevant past experience and/or expertise in these areas:

- Experience with mixed methods analysis for evaluating complex health care interventions or programs, including:
 - collecting and cleaning quantitative outcome data;
 - generating and analyzing qualitative data, including interacting with vulnerable patient populations, including conducting interviews and focus groups;
 - analyzing data with a focus on demographic variables, including race, ethnicity, sex, geography, and other relevant factors;
 - using multiple data sources with different lag times (e.g., administrative health care data, housing data, and arrest data); and, if possible,
 - concurrent analysis of retrospective data with collection of prospective data;
- Knowledge of programs serving patients with complex needs, including those with social, behavioral health, and medical needs, and knowledge of compulsory treatment;
- Skill in report-writing for general audiences;
- High level of performance and organization, including project management skills and adherence to a work plan and schedule of deliverables;
- Working cooperatively with a government client (e.g., city or state agencies), providers, and other relevant stakeholder types; and
- Maintaining high standards of professionalism and integrity, including appropriate confidentiality and data security safeguards.

6.3.2 Past Projects:

Provide a brief description of one or two projects you have conducted within the past five years that demonstrate experience and expertise relevant to this evaluation. If possible, please upload one sample report on a project or initiative pertinent to this procurement, and one sample presentation that synthesizes the findings contained within such report.

6.3.3 Data Protection:

Please briefly describe your experience obtaining IRB approval for evaluations that include data on special populations, as well as in implementing data privacy and security protocols to protect confidential data.

6.4 Inclusion and Diversity

To perform the objectives in this proposal, a diversity, equity, and inclusion lens is critical. Addressing issues of equity and inclusion requires planned, purposeful, and active steps to reduce disparities for marginalized and underserved populations. It is critical that the applicants have the experience and technical ability to address special population disparities in the research approaches used. In your response:

- Describe efforts to ensure staffing, including advisory leadership, for this project will include individuals from diverse backgrounds (e.g., race, ethnicity, gender, people with lived experience of the community mental health system).
- For any parts of the research approach that involve participant recruitment, as applicable, (e.g., focus groups), please describe how you will ensure the inclusion of diverse and demographically representative participants.
- Discuss your familiarity with the relationship between factors such as race, ethnicity, gender, and age— and disparities (e.g., in access, quality, treatment outcomes) among special populations.
- Discuss your familiarity with the concepts of structural racism, bias, inequities, and the social determinants of mental health, and how these affect the lives of individuals in the public mental health system.
- Describe how your research approach would identify disparities among special populations (e.g., race, ethnicity, gender, sexual orientation, individuals in rural areas and those with transportation challenges, and people with limited English proficiency).

6.5 Financial Assessment

- a. The proposal must include a 2-year Budget. \$500,000 is available annually. The indirect cost/administrative overhead rate is capped 15%. Providers must follow Consolidated Fiscal Report (CFR) Ratio-Value guidance which excludes equipment/property from the direct cost base. Federal Negotiated Indirect Cost Rate Agreements (NICRA) are not allowable. 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.